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Form 990-PF

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

OMB No 1545-0052

2011

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 2011, or tax year beginning 01-01-2011, and ending 12-31-2011

Check all that apply: Initial return, Amended return, Initial return of a former public charity, Address change, Final return, Name change

Name of foundation: RATTRAY KIMURA FOUNDATION. Employer identification number: 13-4110129. City or town, state, and ZIP code: NEW YORK, NY 10021.

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))

Table with 5 columns: (a) Revenue and expenses per books, (b) Net investment income, (c) Adjusted net income, (d) Disbursements for charitable purposes. Rows include Revenue (1-12) and Operating and Administrative Expenses (13-26).

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

Part II Balance Sheets		Beginning of year		End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value	
Assets	1 Cash—non-interest-bearing	501	10,103	10,103	
	2 Savings and temporary cash investments	391,919	141,552	141,552	
	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				
	10a Investments—U S and state government obligations (attach schedule)				
	b Investments—corporate stock (attach schedule)	153,928	234,755	249,983	
	c Investments—corporate bonds (attach schedule)				
	11 Investments—land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____				
	12 Investments—mortgage loans				
	13 Investments—other (attach schedule)				
	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)	546,348	386,410	401,638		
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 ▶ _____)	0	47,150			
23 Total liabilities (add lines 17 through 22)	0	47,150			
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ <input type="checkbox"/>				
	and complete lines 24 through 26 and lines 30 and 31.				
	24 Unrestricted				
	25 Temporarily restricted				
	26 Permanently restricted				
	Foundations that do not follow SFAS 117, check here ▶ <input checked="" type="checkbox"/>				
	and complete lines 27 through 31.				
27 Capital stock, trust principal, or current funds					
28 Paid-in or capital surplus, or land, bldg, and equipment fund					
29 Retained earnings, accumulated income, endowment, or other funds	546,348	339,260			
30 Total net assets or fund balances (see page 17 of the instructions)	546,348	339,260			
31 Total liabilities and net assets/fund balances (see page 17 of the instructions)	546,348	386,410			

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	546,348
2	Enter amount from Part I, line 27a	2	-197,184
3	Other increases not included in line 2 (itemize) ▶ _____	3	33
4	Add lines 1, 2, and 3	4	349,197
5	Decreases not included in line 2 (itemize) ▶ _____	5	9,937
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	339,260

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)
1 a CENTRAL FD OF CANADA CLASS A NPV NON-V		2009-06-08	2011-04-21
b CAPITAL GAIN DIVIDENDS	P		
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 35,616		17,718	17,898
b			1,164
c			
d			
e			

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) FMV as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
a			17,898
b			
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	19,062
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	

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))
2010	196,164	613,108	0.31995
2009	116,958	646,514	0.180906
2008	96,554	717,745	0.134524
2007	145,826	636,207	0.229212
2006	128,197	245,122	0.522993

2 Total of line 1, column (d).	2	1.387585
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	0.277517
4 Enter the net value of noncharitable-use assets for 2011 from Part X, line 5.	4	673,591
5 Multiply line 4 by line 3.	5	186,933
6 Enter 1% of net investment income (1% of Part I, line 27b).	6	0
7 Add lines 5 and 6.	7	186,933
8 Enter qualifying distributions from Part XII, line 4.	8	695,499

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)

1a	Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1 Date of ruling or determination letter _____ (attach copy of letter if necessary—see instructions)		
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input checked="" type="checkbox"/> and enter 1% of Part I, line 27b	1	0
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	0
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	0
6	Credits/Payments		
a	2011 estimated tax payments and 2010 overpayment credited to 2011	6a	1,482
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	1,482
8	Enter any penalty for underpayment of estimated tax Check here <input type="checkbox"/> if Form 2220 is attached	8	
9	Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9	
10	Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	1,482
11	Enter the amount of line 10 to be Credited to 2012 estimated tax 1,482 Refunded	11	

Part VII-A Statements Regarding Activities

	Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		No
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)? <i>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.</i>		No
c Did the foundation file Form 1120-POL for this year?		No
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? <i>If "Yes," attach a detailed description of the activities.</i>		No
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? <i>If "Yes," attach a conformed copy of the changes</i>		No
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		No
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? <i>If "Yes," attach the statement required by General Instruction T.</i>		No
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?	Yes	
7 Did the foundation have at least \$5,000 in assets at any time during the year? <i>If "Yes," complete Part II, col (c), and Part XV</i>	Yes	
8a Enter the states to which the foundation reports or with which it is registered (see page 19 of the instructions) 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? <i>If "No," attach explanation .</i>	Yes	
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 2011 or the taxable year beginning in 2011 (see instructions for Part XIV on page 27)? <i>If "Yes," complete Part XIV</i>		No
10 Did any persons become substantial contributors during the tax year? <i>If "Yes," attach a schedule listing their names and addresses</i>		No

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 page 20 of the instructions).	11		No
12 Did the foundation acquire a direct or indirect interest in any applicable insurance contract before August 17, 2008?	12		No
13 Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ▶ _____	13	Yes	
14 The books are in care of ▶ <u>CAROL RATTRAY PRESIDENT</u> Telephone no ▶ _____ Located at ▶ <u>923 FIFTH AVENUE 8A NEW YORK NY</u> ZIP+4 ▶ <u>10021</u>			
15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 —Check here ▶ <input type="checkbox"/> and enter the amount of tax-exempt interest received or accrued during the year ▶	15		
16 At any time during calendar year 2011, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country?	16	Yes	No
See the instructions for exceptions and filing requirements for Form TD F 90-22.1 If "Yes", enter the name of the foreign country ▶ _____			

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

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.		Yes	No
1a During the year did the foundation (either directly or indirectly)			
(1) Engage in the sale or exchange, or leasing of property with a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
(6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days). <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
b If any answer is "Yes" to 1a(1)–(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see page 20 of the instructions)? <input type="checkbox"/> Organizations relying on a current notice regarding disaster assistance check here. ▶ <input type="checkbox"/>	1b		
c Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2011?	1c		No
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 2011, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2011? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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		
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? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
b If "Yes," did it have excess business holdings in 2011 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? (<i>Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2011.</i>)	3b		
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a		No
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 2011?	4b		No

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)? 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? Yes No
If "Yes," attach the statement required by Regulations section 53.4945–5(d).

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

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? Yes No
If "Yes" to 6b, file Form 8870.

7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? Yes No

b If yes, did the foundation receive any proceeds or have any net income attributable to the transaction? Yes No

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
CAROL RATTRAY 923 FIFTH AVENUE NEW YORK, NY 10021	PRESIDENT 0	0		
TIMOTHY RATTRAY 923 FIFTH AVENUE NEW YORK, NY 10021	SECRETARY 0	0		

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

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

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

1	Expenses

Part IX-B Summary of Program-Related Investments (see page 23 of the instructions)

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

1 N/A	Amount

All other program-related investments See page 24 of the instructions

3	Amount

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	280,871
b	Average of monthly cash balances.	1b	402,978
c	Fair market value of all other assets (see page 24 of the instructions).	1c	0
d	Total (add lines 1a, b, and c).	1d	683,849
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	0
3	Subtract line 2 from line 1d.	3	683,849
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see page 25 of the instructions).	4	10,258
5	Net value of noncharitable-use assets. Subtract line 4 from line 3 Enter here and on Part V, line 4	5	673,591
6	Minimum investment return. Enter 5% of line 5.	6	33,680

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	33,680
2a	Tax on investment income for 2011 from Part VI, line 5.	2a	0
b	Income tax for 2011 (This does not include the tax from Part VI).	2b	
c	Add lines 2a and 2b.	2c	0
3	Distributable amount before adjustments Subtract line 2c from line 1.	3	33,680
4	Recoveries of amounts treated as qualifying distributions.	4	
5	Add lines 3 and 4.	5	33,680
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	33,680

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	695,499
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	0
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required).	3a	0
b	Cash distribution test (attach the required schedule).	3b	0
4	Qualifying distributions. Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4	4	695,499
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	0
6	Adjusted qualifying distributions. Subtract line 5 from line 4.	6	695,499

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 2010	(c) 2010	(d) 2011
1 Distributable amount for 2011 from Part XI, line 7				33,680
2 Undistributed income, if any, as of the end of 2011				
a Enter amount for 2010 only.			0	
b Total for prior years 2009 , 2008 , 2007				
3 Excess distributions carryover, if any, to 2011				
a From 2006.	116,375			
b From 2007.	116,024			
c From 2008.	60,667			
d From 2009.	84,632			
e From 2010.	167,055			
f Total of lines 3a through e.	544,753			
4 Qualifying distributions for 2011 from Part XII, line 4 ▶ \$ <u>695,499</u>				
a Applied to 2010, but not more than line 2a			0	
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 2011 distributable amount.				33,680
e Remaining amount distributed out of corpus	661,819			
5 Excess distributions carryover applied to 2011 <i>(If an amount appears in column (d), the same amount must be shown in column (a).)</i>				
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	1,206,572			
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 2010 Subtract line 4a from line 2a Taxable amount—see page 27 of the instructions			0	
f Undistributed income for 2011 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2011				0
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 2006 not applied on line 5 or line 7 (see page 27 of the instructions).	116,375			
9 Excess distributions carryover to 2012. Subtract lines 7 and 8 from line 6a	1,090,197			
10 Analysis of line 9				
a Excess from 2007.	116,024			
b Excess from 2008.	60,667			
c Excess from 2009.	84,632			
d Excess from 2010.	167,055			
e Excess from 2011.	661,819			

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

1a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2011, enter the date of the ruling.

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

	Tax year	Prior 3 years			(e) Total
	(a) 2011	(b) 2010	(c) 2009	(d) 2008	
2a 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 organization had \$5,000 or more in assets at any time during the year—see page 27 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))

See Additional Data Table

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 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	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)				
a <i>Paid during the year</i> See Additional Data Table				
Total				3a 695,499
b <i>Approved for future payment</i>				
Total				3b

Additional Data

Software ID:

Software Version:

EIN: 13-4110129

Name: RATTRAY KIMURA FOUNDATION
C/O CAROL RATTRAY

Form 990PF - Special Condition Description:

Special Condition Description

Form 990PF Part XV Line 1a - 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).

CAROL RATTRAY
TIMOTHY S RATTRAY

Form 990PF Part XV Line 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 <i>Paid during the year</i>				
CHINA INSTITUTE IN AMERICA 125 EAST 65TH STREET NEW YORK, NY 10065	NONE	501(C)(3)	EDUCATIONAL PROGRAMMING	0
SAINT DAVID'S SCHOOL 12 EAST 89TH STREET NEW YORK, NY 101280678	NONE	501(C)(3)	GENERAL SUPPORT	0
MARYMOUNT SCHOOL 1026 FIFTH AVENUE NEW YORK, NY 10028	BOARD MEMBER	501(C)(3)	GENERAL SUPPORT	0
ASIAN CULTURAL COUNCIL 6 WEST 48TH STREET 12TH FLOOR NEW YORK, NY 100361802	NONE	501(C)(3)	2011 ANNUAL FUND	25,000
AMERICAN CANCER SOCIETY 271 WEST 125TH STREET NEW YORK, NY 10027	NONE	501(C)(3)	DN FY10 NATIONAL CAMPAIGN	0
ARGHAND TRUST 3 HUBBARD PARK CAMBRIDGE, MA 02138	NONE	501(C)(3)	GENERAL SUPPORT	1,000
AMERICAN FRIENDS OF THE SHANGHAI MUSEUM 530 EAST 86TH STREET NEW YORK, NY 10028	NONE	501(C)(3)	GENERAL SUPPORT	1,000
CORNELL UNIVERSITY 130 E SENECA STREET SUITE 400 ITHACA, NY 148504353	NONE	501(C)(3)	HAITI EARTHQUAKE FUND	221,090
ORPHEUS CHAMBER ORCHESTRA 490 RIVERSIDE DRIVE NEW YORK, NY 10027	NONE	501(C)(3)	ACCESS ORPHEUS	0
ASIA SOCIETY 725 PARK AVENUE NEW YORK, NY 10021	NONE	501(C)(3)	GENERAL SUPPORT	2,500
BATES COLLEGE 2 ANDREWS ROAD LEWISTON, ME 04240	NONE	501(C)(3)	GENERAL SUPPORT	0
COLLEGIATE SCHOOL 260 WEST 78TH STREET NEW YORK, NY 10024	NONE	501(C)(3)	GENERAL SUPPORT-ANNUAL FUND	5,000
DEFENDERS OF THE HISTORIC UPPER EAST SIDE LENOX HILL STATION PO BOX 768 NEW YORK, NY 10021	NONE	501(C)(3)	GENERAL SUPPORT	25
THE GREENWICH POLICE SILVER SHIELD ASSOC PO BOX 1123 GREENWICH, CT 06836	NONE	501(C)(3)	GENERAL SUPPORT	0
METROPOLITAN MUSEUM OF ART 1000 FIFTH AVENUE NEW YORK, NY 100280198	NONE	501(C)(3)	GENERAL SUPPORT	550
NATURE CONSERVANCY 4245 NORTH FAIRFAX DRIVE SUITE 100 ARLINGTON, VA 22203	NONE	501(C)(3)	HAITI EARTHQUAKE FUND	100,000
NATURE CONSERVANCY 4245 NORTH FAIRFAX DRIVE ARLINGTON, VA 222031606	NONE	501(C)(3)	GENERAL SUPPORT (\$9,500), FEDERATED STATES OF MICRONESIA (\$10,000), CHINA (\$5,000)	24,500
MARYMOUNT SCHOOL 1026 FIFTH AVENUE NEW YORK, NY 10028	BOARD MEMBER	501(C)(3)	TEACHER SUPPORT	0
ORPHEUS CHAMBER ORCHESTRA 490 RIVERSIDE DRIVE 11TH FLOOR NEW YORK, NY 100275788	NONE	501(C)(3)	GENERAL SUPPORT	25,000
RE FOUNDATION 367 WEST 19TH STREET SUITE A NEW YORK, NY 10011	NONE	501(C)(3)	GENERAL SUPPORT	5,000
THE LUNG CANCER ALLIANCE 888 16TH STREET NW SUITE 150 WASHINGTON, DC 20006	NONE	501(C)(3)	COMBINED FEDERAL CAMPAIGN	0
UNITE - LA 350 S BIXEL LOS ANGELES, CA 90017	NONE	501(C)(3)	GENERAL SUPPORT	10,000
UNITED BOYS & GIRLS CLUBS OF SANTA BARBARA PO BOX 1485 SANTA BARBARA, CA 93102	NONE	501(C)(3)	GENERAL SUPPORT	10,000
VAJRA LIGHT BUDDHIST CENTER 234 NORTH CENTRAL AVENUE HARTSDALE, NY 10530	NONE	501(C)(3)	GENERAL SUPPORT	0
NATIONAL AUDUBON SOCIETY 225 VARICK STREET 7TH FLOOR NEW YORK, NY 10014	NONE	501(C)(3)	WOMEN IN CONSERVATION	0
ASIAN UNIVERSITY FOR WOMEN 1100 MASSACHUSETTES AVENUE SUITE 3 CAMBRIDGE, MA 02138	NONE	501(C)(3)	GENERAL SUPPORT	0
BATES COLLEGE 2 ANDREWS ROAD LEWISTON, ME 042406028	NONE	501(C)(3)	ASIAN STUDIES FUND (\$8,334), 'PARENTS' FUND (\$2,500), AND ANNUAL FUND (\$500)	11,334
CENTRAL PARK CONSERVANCY 14 E 60TH STREET NEW YORK, NY 10022	NONE	501(C)(3)	GENERAL SUPPORT AND WOMEN'S COMMITTEE	3,250
CHINA INSTITUTE IN AMERICA 125 EAST 65TH STREET NEW YORK, NY 10065	NONE	501(C)(3)	GALLERY EXHIBITION SPONSORSHIP	4,000
COLUMBIA BUSINESS SCHOOL 622 WEST 113TH STREET NEW YORK, NY 10025	NONE	501(C)(3)	COLUMBIA BUSINESS FUND	3,000

Form 990PF Part XV Line 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)				
a <i>Paid during the year</i>				
CORNELL UNIVERSITY130 E SENECA STREET SUITE 400 ITHACA, NY 14850	NONE	501(C)(3)	ANNUAL FUND (\$500), MARTIE YOUNG INTERNSHIP/JOHNSON MUSEUM (\$10,000)	10,500
CORNELL UNIVERSITY130 E SENECA STREET SUITE 400 ITHACA, NY 14850	NONE	501(C)(3)	WOMEN'S FENCING TEAM	1,500
FRIENDS WITHOUT A BORDER1123 BROADWAY 1210 NEW YORK, NY 10010	NONE	501(C)(3)	GENERAL SUPPORT	100
JUVENILE DIABETES RESEARCH FOUNDATION26 BROADWAY 14TH FLOOR NEW YORK, NY 10004	NONE	501(C)(3)	GENERAL SUPPORT	2,000
LANDMARK WEST45 WEST 67TH STREET NEW YORK, NY 10023	NONE	501(C)(3)	GENERAL SUPPORT	500
MARYMOUNT SCHOOL1026 FIFTH AVENUE NEW YORK, NY 10028	BOARD MEMBER	501(C)(3)	GENERAL SUPPORT	60,000
NOCHE FLAMENCAC/O KOSZYN COMPANY 41 EAST 11TH STREET 11TH FLOOR NEW YORK, NY 10003	NONE	501(C)(3)	GENERAL SUPPORT	0
ORPHEUS CHAMBER ORCHESTRA 490 RIVERSIDE DRIVE 11TH FLOOR NEW YORK, NY 10027	NONE	501(C)(3)	NOVEMBER 13, 2010 EVENT	0
PHILHARMONIC ORCHESTRA OF THE AMERICAS30 WEST 63RD STREET SUITE 3L NEW YORK, NY 10023	NONE	501(C)(3)	GENERAL SUPPORT	0
TEAM ONE FAMILY1029 TEANECK ROAD SUITE 3B TEANECK, NJ 07666	NONE	501(C)(3)	GENERAL SUPPORT	0
SOIL SUSTAINABLE ORGANIC INTEGRATED LIVELIHOOD124 CHURCH ROAD NEW YORK, NY 13460	NONE	501(c)(3)	HAITI EARTHQUAKE FUND	100,000
FONKOZE USA1700 KALORAMA ROAD NW SUITE 102 WASHINGTON, DC 20009	NONE	501(c)(3)	HAITI EARTHQUAKE FUND	60,000
ACCION INTERNATIONAL556 ROLAND STREET SUITE 300 BOSTON, MA 02129	NONE	501(c)(3)	GENERAL SUPPORT	250
BACH SOCIETY ORCHESTRAMUSIC BUILDING HARVARD UNIVERSITY CAMBRIDGE, MA 02138	NONE	501(c)(3)	JAPAN RELIEF	200
CHURCH OF ST THOMAS MORE65 EAST 89TH STREET NEW YORK, NY 10128	NONE	501(c)(3)	GENERAL SUPPORT	100
THE CORNELL LAB OF ORNITHOLOGYTEAGLE HALL CAMPUS ROAD ITHACA, NY 14853	NONE	501(c)(3)	GENERAL SUPPORT (\$40), EINAUDI (\$910)	950
THE DUNHUANG FOUNDATION250 HIGHLAND AVENUE NORWALK, CT 06854	NONE	501(c)(3)	GENERAL SUPPORT	1,000
GLENVILLE VOLUNTEER FIRE COMPANY INC266 GLENVILLE ROAD GREENWICH, CT 06831	NONE	501(c)(3)	GENERAL SUPPORT	25
JAPAN SOCIETY333 EAST 47TH STREET NEW YORK, NY 10017	NONE	501(c)(3)	JAPAN EARTHQUAKE RELIEF FUNF	5,000
NEW YORK PUBLIC RADIO160 VARICK STREET NEW YORK, NY 10013	NONE	501(c)(3)	GENERAL SUPPORT	250
ROUND HILL ASSOCIATION33 ROUND HILL CLUB ROAD GREENWICH, CT 06831	NONE	501(c)(3)	GENERAL SUPPORT	25
SHEN WEI DANCE ARTS135 WEST 29TH STREET SUITE 1100 NEW YORK, NY 10001	NONE	501(c)(3)	GENERAL SUPPORT	750
SILVER SHIELD ASSOCIATION POLICE GREENWICH PO BOX 1123 GREENWICH, CT 06836	NONE	501(c)(3)	GENERAL SUPPORT	100
Total				695,499

TY 2011 Accounting Fees Schedule

Name: RATTRAY KIMURA FOUNDATION

C/O CAROL RATTRAY

EIN: 13-4110129

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
TAX RETURN PREPARATION	2,989	2,989	2,989	
FIDELITY ACCOUNTING FEES	33	33	33	

**TY 2011 All Other Program
Related Investments Schedule**

Name: RATTRAY KIMURA FOUNDATION
C/O CAROL RATTRAY

EIN: 13-4110129

Category	Amount
N/A	

Note: To capture the full content of this document, please select landscape mode (11" x 8.5") when printing.

TY 2011 Depreciation Schedule

Name: RATTRAY KIMURA FOUNDATION

C/O CAROL RATTRAY

EIN: 13-4110129

**TY 2011 Investments Corporate
Stock Schedule**

Name: RATTRAY KIMURA FOUNDATION
C/O CAROL RATTRAY

EIN: 13-4110129

Name of Stock	End of Year Book Value	End of Year Fair Market Value
8200 SHRS CENTRAL FD CDA	126,503	160,802
600 SHRS VALE S A ADR N/C	19,441	12,870
3700 SHRS. TEMPLETON GLOBAL	34,970	34,965
300 SHRS. ETFS PLATINUM TR	53,841	41,346

TY 2011 Land, Etc. Schedule

Name: RATTRAY KIMURA FOUNDATION

C/O CAROL RATTRAY

EIN: 13-4110129

TY 2011 Legal Fees Schedule

Name: RATTRAY KIMURA FOUNDATION

C/O CAROL RATTRAY

EIN: 13-4110129

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
PATTERSON BELKNAP WEBB & TYLER	335	335	335	

TY 2011 Other Decreases Schedule**Name:** RATTRAY KIMURA FOUNDATION

C/O CAROL RATTRAY

EIN: 13-4110129

Description	Amount
50% MEALS AND ENTERTAINMENT DISALLOWED	845
FEDERAL TAXES	1,977
FEDERAL TAXES AMENDED RETURNS	7,115

TY 2011 Other Expenses Schedule

Name: RATTRAY KIMURA FOUNDATION

C/O CAROL RATTRAY

EIN: 13-4110129

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
ASSISTANT FEES	4,181	4,181	4,181	
DELAWARE CORP & TAX	418	418	418	
NY ANNUAL FEE	185	185	185	
POSTAGE	10	10	10	
MISCELLANOUS	115	115	115	
CITI BANK FEE	13	13	13	

TY 2011 Other Increases Schedule**Name:** RATTRAY KIMURA FOUNDATION

C/O CAROL RATTRAY

EIN: 13-4110129

Description	Amount
MISCELLANEOUS	33

TY 2011 Other Liabilities Schedule**Name:** RATTRAY KIMURA FOUNDATION

C/O CAROL RATTRAY

EIN: 13-4110129

Description	Beginning of Year - Book Value	End of Year - Book Value
OUTSTANDING CHECKS AT YEAR END	0	47,150

TY 2011 Taxes Schedule

Name: RATTRAY KIMURA FOUNDATION

C/O CAROL RATTRAY

EIN: 13-4110129

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FOREIGN TAXES	161	161	161	