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Form **990-PF**

Department of the Treasury  
Internal Revenue Service

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

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

OMB No 1545-0052

**2011**

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

G Check all that apply

☐ Initial return

☐ Initial return of a former public charity

☐ Final return

☐ Amended return

☐ Address change

☐ Name change

Name of foundation  
THE ROTHBERT FUND INC

**A Employer identification number**  
13-6162570

Number and street (or P O box number if mail is not delivered to street address)  
475 RIVERSIDE DRIVE  
ROOM/SUITE 1830

Room/suite

**B Telephone number** (see page 10 of the instructions)

City or town, state, and ZIP code  
NEW YORK, NY 10115

**C** If exemption application is pending, check here ☐

**D 1.** Foreign organizations, check here ☐

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






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

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

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

**I** Fair market value of all assets at end of year (from Part II, col. (c), line 16)  
\$ 4,264,816




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



Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see page 11 of the instructions) )		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	<b>1</b> Contributions, gifts, grants, etc , received (attach schedule)	3,500			
	<b>2</b> Check <input checked="" type="checkbox"/> if the foundation is <b>not</b> required to attach Sch B				
	<b>3</b> Interest on savings and temporary cash investments	33	33		
	<b>4</b> Dividends and interest from securities. . . . .	117,831	117,831		
	<b>5a</b> Gross rents . . . . .				
	<b>b</b> Net rental income or (loss) _____				
	<b>6a</b> Net gain or (loss) from sale of assets not on line 10	109,316			
	<b>b</b> Gross sales price for all assets on line 6a _____ 759,593				
	<b>7</b> Capital gain net income (from Part IV, line 2) . . . .		109,316		
	<b>8</b> Net short-term capital gain . . . . .				
	<b>9</b> Income modifications . . . . .				
	<b>10a</b> Gross sales less returns and allowances				
Operating and Administrative Expenses	<b>b</b> Less Cost of goods sold . . . . .				
	<b>c</b> Gross profit or (loss) (attach schedule) . . . . .				
	<b>11</b> Other income (attach schedule) . . . . .				
	<b>12 Total.</b> Add lines 1 through 11 . . . . .	230,680	227,180		
	<b>13</b> Compensation of officers, directors, trustees, etc				
	<b>14</b> Other employee salaries and wages . . . . .				
	<b>15</b> Pension plans, employee benefits . . . . .				
	<b>16a</b> Legal fees (attach schedule). . . . .	 2,493	1,994		499
	<b>b</b> Accounting fees (attach schedule). . . . .	 7,000	2,333		4,667
	<b>c</b> Other professional fees (attach schedule) . . . . .	 12,705	12,705		
	<b>17</b> Interest . . . . .				
	<b>18</b> Taxes (attach schedule) (see page 14 of the instructions)	 2,856	756		
	<b>19</b> Depreciation (attach schedule) and depletion . . . .				
	<b>20</b> Occupancy . . . . .	9,301			9,301
	<b>21</b> Travel, conferences, and meetings . . . . .	1,742			1,742
	<b>22</b> Printing and publications . . . . .				
	<b>23</b> Other expenses (attach schedule). . . . .	 44,968			44,969
	<b>24 Total operating and administrative expenses.</b>				
	Add lines 13 through 23 . . . . .	81,065	17,788		61,178
	<b>25</b> Contributions, gifts, grants paid . . . . .	151,500			151,500
	<b>26 Total expenses and disbursements.</b> Add lines 24 and 25	232,565	17,788		212,678
	<b>27</b> Subtract line 26 from line 12				
	<b>a Excess of revenue over expenses and disbursements</b>	-1,885			
	<b>b Net investment income</b> (if negative, enter -0-)		209,392		
	<b>c Adjusted net income</b> (if negative, enter -0-)				

For Privacy Act and Paperwork Reduction Act Notice, see page 30 of the instructions.

Cat No 11289X

Form **990-PF** (2011)

Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions )	Beginning of year	End of year	
			(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash—non-interest-bearing . . . . .			
	2	Savings and temporary cash investments . . . . .	253,031	560,840	560,840
	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 . . . . .	254		
	10a	Investments—U S and state government obligations (attach schedule)	404,708	 304,818	349,795
	b	Investments—corporate stock (attach schedule) . . . . .	2,025,846	 1,969,582	2,360,873
	c	Investments—corporate bonds (attach schedule). . . . .	1,052,307	 899,527	993,308
	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)	3,736,146	3,734,767	4,264,816

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 ▶ _____)	 406	 912	
	23	Total liabilities (add lines 17 through 22) . . . . .	406	912	

Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ <input checked="" type="checkbox"/> and complete lines 24 through 26 and lines 30 and 31.				
	24	Unrestricted . . . . .	3,698,009	3,701,080	
	25	Temporarily restricted . . . . .	37,731	32,775	
	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			
	30	Total net assets or fund balances (see page 17 of the instructions) . . . . .	3,735,740	3,733,855	
	31	Total liabilities and net assets/fund balances (see page 17 of the instructions) . . . . .	3,736,146	3,734,767	

Part III Analysis of Changes in Net Assets or Fund Balances

1	Total net assets or fund balances at beginning of year—Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year’s return) . . . . .	1	3,735,740
2	Enter amount from Part I, line 27a . . . . .	2	-1,885
3	Other increases not included in line 2 (itemize) ▶ _____	3	
4	Add lines 1, 2, and 3 . . . . .	4	3,733,855
5	Decreases not included in line 2 (itemize) ▶ _____	5	
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30 . . . . .	6	3,733,855

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co )		(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo , day, yr )	(d) Date sold (mo , day, yr )
1a	See Additional Data Table			
b				
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 See Additional Data Table			
b			
c			
d			
e			

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

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

2	Capital gain net income or (net capital loss)	<div><div>If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7</div></div>	2	109,316
3	Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) <div>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</div>		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	220,643	4,212,306	0 052381
2009	205,964	3,881,892	0 053058
2008	221,914	4,757,862	0 046642
2007	216,835	5,180,857	0 041853
2006	216,635	4,741,200	0 045692

2	Total of line 1, column (d).	2	0 239626
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 047925
4	Enter the net value of noncharitable-use assets for 2011 from Part X, line 5.	4	4,388,570
5	Multiply line 4 by line 3.	5	210,322
6	Enter 1% of net investment income (1% of Part I, line 27b).	6	2,094
7	Add lines 5 and 6.	7	212,416
8	Enter qualifying distributions from Part XII, line 4.	8	212,678

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 VIExcise 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	2,094	
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	2,094	
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	2,094	
6		Credits/Payments				
a		2011 estimated tax payments and 2010 overpayment credited to 2011	6a	1,400		
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	1,400	
8		Enter any penalty for underpayment of estimated tax Check here <input checked="" type="checkbox"/> if Form 2220 is attached		8	1	
9		Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed . . . . .		9	695	
10		Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid. . . . .		10		
11		Enter the amount of line 10 to be Credited to 2012 estimated tax	0	Refunded	11	

Part VII-AStatements Regarding Activities

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? . . . . .		Yes	No
		1a		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)? . . . . .			No
	If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.			
c	Did the foundation file Form 1120-POL for this year? . . . . .	1c		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? . . . . .	2		No
	If "Yes," attach a detailed description of the activities.			
3	Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes . . . . .	3		No
4a	Did the foundation have unrelated business gross income of \$1,000 or more during the year? . . . . .	4a		No
b	If "Yes," has it filed a tax return on Form 990-T for this year? . . . . .	4b		
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year? . . . . .	5		No
	If "Yes," attach the statement required by General Instruction T.			
6	Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either			
	• By language in the governing instrument, or			
	• By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument? . . . . .	6	Yes	
7	Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col (c), and Part XV	7	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? If "No," attach explanation .	8b	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)? If "Yes," complete Part XIV . . . . .	9		No
10	Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses	10		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 <b>ROOTHBERTFUND.ORG</b>	13	Yes	
14	The books are in care of <b>CORPORATION</b> Telephone no <b>(212) 870-3206</b> Located at <b>475 RIVERSIDE DRIVE NEW YORK NY</b> ZIP+4 <b>10115</b>			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of <b>Form 1041</b> —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? ( <b>Exception.</b> 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 <b>any</b> 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. <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		
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? If "Yes," list the years 20____, 20____, 20____, 20____ <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
b	Are there any years listed in 2a for which the foundation is <b>not</b> applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to <b>all</b> 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))?

YesNo

(2)

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

YesNo

(3)

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

YesNo

(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).

YesNo

(5)

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

YesNo

5b

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.

YesNo

6a

Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?

YesNo

6b

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

YesNo

7a

At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?

YesNo

7b

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

YesNo

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
See Additional Data Table				

2

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

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

Total

number of other employees paid over \$50,000.

## Part VIII

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

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

<b>Total</b> number of others receiving over \$50,000 for professional services. . . . .	▶
--	---

## Part IX-A Summary of Direct Charitable Activities

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

1	
2	
3	
4	

**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	Amount
--	--------

1	N/A	
2		
	All other program-related investments See page 24 of the instructions	
3		

**Total.** Add lines 1 through 3. . . . . 



Part X

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc , purposes		
a	Average monthly fair market value of securities. . . . .	1a	4,182,795
b	Average of monthly cash balances. . . . .	1b	272,479
c	Fair market value of all other assets (see page 24 of the instructions). . . . .	1c	127
d	Total (add lines 1a, b, and c). . . . .	1d	4,455,401
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation). . . . .	1e	
2	Acquisition indebtedness applicable to line 1 assets. . . . .	2	
3	Subtract line 2 from line 1d. . . . .	3	4,455,401
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see page 25 of the instructions). . . . .	4	66,831
5	Net value of noncharitable-use assets. Subtract line 4 from line 3 Enter here and on Part V, line 4	5	4,388,570
6	Minimum investment return. Enter 5% of line 5. . . . .	6	219,429

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	219,429
2a	Tax on investment income for 2011 from Part VI, line 5. . . . .	2a	2,094
b	Income tax for 2011 (This does not include the tax from Part VI ). . . . .	2b	
c	Add lines 2a and 2b. . . . .	2c	2,094
3	Distributable amount before adjustments Subtract line 2c from line 1. . . . .	3	217,335
4	Recoveries of amounts treated as qualifying distributions. . . . .	4	
5	Add lines 3 and 4. . . . .	5	217,335
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	217,335

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	212,678
b	Program-related investments—total from Part IX-B. . . . .	1b	
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc , purposes. . . . .	2	
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required). . . . .	3a	
b	Cash distribution test (attach the required schedule). . . . .	3b	
4	Qualifying distributions. Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4	4	212,678
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	2,094
6	Adjusted qualifying distributions. Subtract line 5 from line 4. . . . .	6	210,584
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			
2	Undistributed income, if any, as of the end of 2011			
a	Enter amount for 2010 only. . . . .			
b	Total for prior years 20____, 20____, 20____			
3	Excess distributions carryover, if any, to 2011			
a	From 2006. . . . .			
b	From 2007. . . . .			
c	From 2008. . . . .			
d	From 2009. . . . .			
e	From 2010. . . . .			
f	Total of lines 3a through e. . . . .			
4	Qualifying distributions for 2011 from Part XII, line 4 ▶ \$ 212,678			
a	Applied to 2010, but not more than line 2a			
b	Applied to undistributed income of prior years (Election required—see page 26 of the instructions)			
c	Treated as distributions out of corpus (Election required—see page 26 of the instructions). . .			
d	Applied to 2011 distributable amount. . . . .			
e	Remaining amount distributed out of corpus			
5	Excess distributions carryover applied to 2011 (If an amount appears in column (d), the same amount must be shown in column (a).)			
6	Enter the net total of each column as indicated below:			
a	Corpus Add lines 3f, 4c, and 4e Subtract line 5			
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. . . . .			
f	Undistributed income for 2011 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2011. . . . .			
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). . . . .			
9	Excess distributions carryover to 2012. Subtract lines 7 and 8 from line 6a. . . . .			
10	Analysis of line 9			
a	Excess from 2007. . . . .			
b	Excess from 2008. . . . .			
c	Excess from 2009. . . . .			
d	Excess from 2010. . . . .			
e	Excess from 2011. . . . .			
			125,592	217,335
			125,592	
			125,592	
				87,086
				130,249

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)

☐ 4942(j)(3) or ☐ 4942(j)(5)

2a	Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed . . . . .	Tax year	Prior 3 years			(e) Total
		(a) 2011	(b) 2010	(c) 2009	(d) 2008	
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) )

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

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

THE ROTHBERT FUND  
475 RIVERSIDE DR  
ROOM 252  
NEW YORK, NY 101150252  
(212) 870-3116

b

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

A FOUR-PAGE SCHOLARSHIP APPLICATION IS AVAILABLE ON-LINE OR FROM THE OFFICE IT REQUIRES PERSONAL INFORMATION, EDUCATIONAL STATUS, EDUCATIONAL HISTORY, BACKGROUND (EMPLOYMENT) INFORMATION, FINANCIAL INFORMATION ON EDUCATIONAL EXPENSES AND RESOURCES, PRESENT ACTIVITIES, THREE RECOMMENDATION LETTERS AND TWO ESSAYS ON AUTOBIOGRAPHICAL INFORMATION A SELECTION OF APPLICANTS ARE INTERVIEWED BY BOARD MEMBERS SUCCESSFUL GRANTEES ARE SELECTED FROM THIS GROUP BY THE SCHOLARSHIP COMMITTEE PREVIOUS GRANTEES SEEKING CONTINUING SUPPORT FOR THEIR EDUCATION SUBMIT A TWO PAGE SCHOLARSHIP RENEWAL APPLICATION, WHICH UPDATES THEIR INFORMATION, FINANCES, AND PERSONAL DEVELOPMENT OVER THE PREVIOUS YEAR

c

Any submission deadlines

APPLICATIONS MUST BE RECEIVED BY FEBRUARY 1 FOR THE AWARDS THAT ARE GENERALLY FUNDED IN THE JULY - A

d

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

THE ROTHBERT FUND MAKES TWO TYPES OF GRANTS 1 SCHOLARSHIP GRANTS FOR GRADUATE AND UNDERGRADUATE STUDY APPLICANTS FOR THESE GRANTS ARE REQUIRED TO COMPLETE THE APPROPRIATE APPLICATION 2 FELLOWSHIP GRANTS TO ORGANIZATIONS QUALIFIED UNDER I R C SECTION 501(C)(3) ON BEHALF OF FELLOWS, INDIVIDUALLY OR IN GROUPS, WHO ARE NO LONGER RECEIVING SCHOLARSHIP GRANTS QUALIFYING FELLOWS MAY APPLY FOR THESE GRANTS AT ANY TIME AND THEIR APPLICATIONS ARE REVIEWED AND ACTED UPON BY A COMMITTEE MADE UP OF MEMBERS OR FORMER MEMBERS OF THE BOARD OF DIRECTORS OF THE FUND

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 Paid during the year See Additional Data Table				
Total . . . . .			3a	151,500
b Approved for future payment				
Total . . . . .			3b	

Enter gross amounts unless otherwise indicated		Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See page 28 of the instructions )
		(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	
<b>1</b>	Program service revenue					
<b>a</b>	_____					
<b>b</b>	_____					
<b>c</b>	_____					
<b>d</b>	_____					
<b>e</b>	_____					
<b>f</b>	_____					
<b>g</b>	Fees and contracts from government agencies					
<b>2</b>	Membership dues and assessments. . . .					
<b>3</b>	Interest on savings and temporary cash investments					33
<b>4</b>	Dividends and interest from securities. . . .					117,831
<b>5</b>	Net rental income or (loss) from real estate					
<b>a</b>	Debt-financed property. . . . .					
<b>b</b>	Not debt-financed property. . . . .					
<b>6</b>	Net rental income or (loss) from personal property					
<b>7</b>	Other investment income. . . . .					
<b>8</b>	Gain or (loss) from sales of assets other than inventory					109,316
<b>9</b>	Net income or (loss) from special events					
<b>10</b>	Gross profit or (loss) from sales of inventory. .					
<b>11</b>	Other revenue <b>a</b> _____					
<b>b</b>	_____					
<b>c</b>	_____					
<b>d</b>	_____					
<b>e</b>	_____					
<b>12</b>	Subtotal. Add columns (b), (d), and (e). .					227,180
<b>13</b>	<b>Total.</b> Add line 12, columns (b), (d), and (e). . . . .					227,180

[illegible]

## Part XVII

<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>Yes</b>	<b>No</b>
<b>a</b>	Transfers from the reporting foundation to a noncharitable exempt organization of			
	(1) Cash. . . . .	<b>1a(1)</b>		<b>No</b>
	(2) Other assets. . . . .	<b>1a(2)</b>		<b>No</b>
<b>b</b>	Other transactions			
	(1) Sales of assets to a noncharitable exempt organization. . . . .	<b>1b(1)</b>		<b>No</b>
	(2) Purchases of assets from a noncharitable exempt organization. . . . .	<b>1b(2)</b>		<b>No</b>
	(3) Rental of facilities, equipment, or other assets. . . . .	<b>1b(3)</b>		<b>No</b>
	(4) Reimbursement arrangements. . . . .	<b>1b(4)</b>		<b>No</b>
	(5) Loans or loan guarantees. . . . .	<b>1b(5)</b>		<b>No</b>
	(6) Performance of services or membership or fundraising solicitations. . . . .	<b>1b(6)</b>		<b>No</b>
<b>c</b>	Sharing of facilities, equipment, mailing lists, other assets, or paid employees. . . . .	<b>1c</b>		<b>No</b>

[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>b</b> If "Yes," complete the following schedule					
<b>(a)</b>	<b>Name of organization</b>	<b>(b)</b>	<b>Type of organization</b>	<b>(c)</b>	<b>Description of relationship</b>

Sign Here	Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete Declaration of preparer (other than taxpayer or fiduciary) is based on all information of which preparer has any knowledge				
	*****			2012-10-26	*****
	Signature of officer or trustee			Date	Title
	Paid Preparer's Use Only	Preparer's Signature RICHARD J BELLEW		Date 2012-11-05	Check if self-employed <input checked="" type="checkbox"/>
		Firm's name RICHARD J BELLEW CPA			Firm's EIN
1123 ROUTE 9					
Firm's address GARRISON, NY 10524			Phone no (845) 736-2100		

May the IRS discuss this return with the preparer shown above? See instructions . . . . . ☐ Yes ☒ No

**Additional Data**

**Software ID:**  
**Software Version:**  
**EIN:** 13-6162570  
**Name:** THE ROTHBERT FUND INC

**Form 990PF - Special Condition Description:**

<b>Special Condition Description</b>
--------------------------------------

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

(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 )
US TREASURY BOND	P		2011-05-15
FEDERAL HOME LOAN 4 4%	P		2011-07-15
FEDERAL HOME LOAN 3 75%	P		2011-07-15
AT&T CORP 7 3%	P		2011-10-15
BERKSHIRE HATHAWAY	P		2011-10-15
CLIFFS NATURAL RESOURCES	P		2011-10-15
HONEYWELL INTERNATIONAL	P		2011-10-15
PEOPLES UNITED FINANACIAL	P		2011-10-15
RTI INTERNATIONAL METALS	P		2011-10-15
RIO TINTO ADR	P		2011-10-15
FEDERAL HOME LOAN MTG 1 625%	P		2011-10-15
RIO TINTO ADR	P		2011-10-15
UNITED PARCEL	P		2011-10-15
JACOBS ENGINEERING GROUP	P		2011-10-15


















Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

(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)
99,992		99,890	102
100,000		101,500	-1,500
108,000		101,530	6,470
50,326		50,250	76
14,629		10,072	4,557
11,907		6,992	4,915
14,007		3,361	10,646
72,163		58,288	13,875
12,067		26,104	-14,037
123,594		58,738	64,856
100,000		100,010	-10
25,351		12,769	12,582
13,477		11,785	1,692
14,080		8,988	5,092

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

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	
			102
			-1,500
			6,470
			76
			4,557
			4,915
			10,646
			13,875
			-14,037
			64,856
			-10
			12,582
			1,692
			5,092

Form 990PF Part VIII Line 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
LEONISA ARDIZZONE 	DIRECTOR 0 10	0	0	0
C/O THE ROOTHBERT FUND 475 RIVERSIDE DRIVE NEW YORK,NY 10115				
JAMES G HEINEGG 	DIRECTOR 1 60	0	0	0
C/O THE ROOTHBERT FUND 475 RIVERSIDE DRIVE NEW YORK,NY 10115				
JANE FRIEDMAN CENTURY 	VP, DIRECTOR 5 80	0	0	0
C/O THE ROOTHBERT FUND 475 RIVERSIDE DRIVE NEW YORK,NY 10115				
JOHN P DEVLIN 	DIRECTOR 0 30	0	0	0
C/O THE ROOTHBERT FUND 475 RIVERSIDE DRIVE NEW YORK,NY 10115				
DONNA M JOHNSON 	DIRECTOR 0 60	0	0	0
C/O THE ROOTHBERT FUND 475 RIVERSIDE DRIVE NEW YORK,NY 10115				
MARK OVERMYER-VELAZQUEZ 	DIRECTOR 0 20	0	0	0
C/O THE ROOTHBERT FUND 475 RIVERSIDE DRIVE NEW YORK,NY 10115				
JASON T BUHLE 	FELLOW REPRE 0 60	0	0	0
C/O THE ROOTHBERT FUND 475 RIVERSIDE DRIVE NEW YORK,NY 10115				
BLAKE T NEWTON III 	PRES, DIRCTR 4 00	0	0	0
C/O THE ROOTHBERT FUND 475 RIVERSIDE DRIVE NEW YORK,NY 10115				
JAMES A ROSENGARTEN 	DIRECTOR 2 50	0	0	0
C/O THE ROOTHBERT FUND 475 RIVERSIDE DRIVE NEW YORK,NY 10115				
CHARLES VAN HORNE 	VP,TREAS,DIR 3 00	0	0	0
C/O THE ROOTHBERT FUND 475 RIVERSIDE DRIVE NEW YORK,NY 10115				
STEVEN F WILDER 	ASST TR,DIR 0 10	0	0	0
C/O THE ROOTHBERT FUND 475 RIVERSIDE DRIVE NEW YORK,NY 10115				
NATHALIS W WAMBA 	DIRECTOR 0 10	0	0	0
C/O THE ROOTHBERT FUND 475 RIVERSIDE DRIVE NEW YORK,NY 10115				
BARBARA A EDWARDS 	DIRECTOR 0 40	0	0	0
C/O THE ROOTHBERT FUND 475 RIVERSIDE DRIVE NEW YORK,NY 10115				
JEFFREY K PEGRAM 	DIRECTOR 0 60	0	0	0
C/O THE ROOTHBERT FUND 475 RIVERSIDE DRIVE NEW YORK,NY 10115				
VIJAY R VARMA 	DIRECTOR 0 60	0	0	0
C/O THE ROOTHBERT FUND 475 RIVERSIDE DRIVE NEW YORK,NY 10115				

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)				
<b>a</b> Paid during the year				
ARROJ ALINY INSTITUTE OF TECHNOLOG OLD WESTBURY,NY 11568		PAID	SCHOLARSHIP	3,000
MONICA BARTHOLOMEWOHIO STATE UNIVERSITY COLUMBUS,OH 43210			SCHOLARSHIP	3,000
MICAH J COLSTONUNIVERSITY OF MARYLAND COLLEGE PARK,MD 20742			SCHOLARSHIP	3,000
MICHAEL L D'ANGELO UNIVERSITY OF NEW HAMPSHI DURHAM,NH 03824			SCHOLARSHIP	2,500
CLAIRE K GERUSONBOSTON COLLEGE CHESTNUT HILL,MA 02467			SCHOLARSHIP	3,000
JULIAN D GLOVERUNIVERSITY OF MIAMI MIAMI,FL 33103			SCHOLARSHIP	3,000
RAFAEL Y GRINBERGPRINCETON PRINCETON,NJ 08542			SCHOLARSHIP	3,000
SONYA B GUERRAJAMES MADISON UNIVERSITY HARRISONBURG,VA 22807			SCHOLARSHIP	3,000
BEKINWARI O IDONIBOYE UNIVERSITY OF PENNSYLVANI PHILADELPHIA,PA 19104			SCHOLARSHIP	3,000
DEAN T JEPSONSYRACUSE UNIVERSITY SYRACUSE,NY 13244			SCHOLARSHIP	3,000
DEVIN D JEPSONINDIANA UNIV OF PENNSYLVIA INDIANA,PA 15705			SCHOLARSHIP	3,000
GREGOR JORDAN-DETMORE BROWN UNIVERSITY PROVIDENCE,RI 02912			SCHOLARSHIP	3,000
NOELLE R LATTIMORENEW YORK UNIVERSITY NEW YORK,NY 10003			SCHOLARSHIP	3,000
JULIANNE LEWISCHEYNEY UNIVERSITY CHEYNEY,PA 19319			SCHOLARSHIP	3,000
KAMEL D LOVEJOYNEW ENGLAND COLLEGE HENNIKER,NH 03242			SCHOLARSHIP	1,500
MICHELLE Y LUUNIVERSITY OF PENNSYLVANI PHILIDELPHIA,PA 19104			SCHOLARSHIP	3,000
NEERAJ NANDANANVIRGINIA POLYTECNIC INSTI BLACKSBURG,VA 24051			SCHOLARSHIP	3,000
ODUNOLA I OJEWUMI UNIVERSITY OF MARYLAND COLLEGE PARK,MD 20742			SCHOLARSHIP	3,000
IVAN I PLISGEORGETOWN UNIVERSITY WASHINGTON,DC 20057			SCHOLARSHIP	3,000
ALYSSA C RAMOS-REYNOSO ARCADIA UNIVERSITY GLENSIDE,PA 19038			SCHOLARSHIP	3,000
DJUAN D SHORTUNIVERSITY OF MARYLAND COLLEGE PARK,MD 20742			SCHOLARSHIP	3,000
MICHAEL T SULLIVAN BINGHAMTON UNIVERSITY BINGHAMTON,NY 13902			SCHOLARSHIP	3,000
BRANDON C WALKERUNIVERSITY OF MARYLAND COLLEGE PARK,MD 20742			SCHOLARSHIP	3,000
DOMINIQUE L WALKERBENNETYT COLLEGE GREENSBORO,NC 27401			SCHOLARSHIP	3,000
ISAIAH M WESTEMORY UNIVERSITY ATLANTA,GA 30322			SCHOLARSHIP	2,500
OYINADE ADERIBIGBEUNIV OF PENNA SCH OF MED PHILADELPHIA,PA 19104			SCHOLARSHIP	3,000
ISRA J BHATTYYALE LAW SCHOOL NEW HAVEN,CT 06520			SCHOLARSHIP	3,000
JASON T BUHLECOLUMBIA UNIVERSITY NEW YORK,NY 10027			SCHOLARSHIP	3,000
CHARLES M CHRISTIANBOSTON UNIV SCH OF THEOLO BOSTON,MA 02215			SCHOLARSHIP	3,000
JOSEPH M COCHRANUNIVERSITY OF THE SOUTH SEWABEE,TN 37383			SCHOLARSHIP	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)				
<b>a</b> Paid during the year				
PHILIP M FORNESSPRINCETON THEOLOGICAL SEM PRINCETON,NJ 08542			SCHOLARSHIP	2,000
CHRIS K GARRECHT-WILLIAMS COLUMBIA UNIV SCH OF ARTS NEWYORK,NY 10027			SCHOLARSHIP	3,000
AMY B GRACEYLOYOLA UNIVERSITY BALTIMORE,MD 21210			SCHOLARSHIP	3,000
ANDRE W GUDZELAK JRDREXEL UNIVERSITY PHILADELPHIA,PA 19104			SCHOLARSHIP	3,000
DEREK L JOHNSONPOLYTECHNIC INSTITUTE NYU BROOKLYN,NY 11201			SCHOLARSHIP	3,000
ILUNGA L KALALAWASHINGTON UNIV IN ST LOU SAINT LOUIS,MO 63139			SCHOLARSHIP	2,500
LAMIA Y KHANALPERT MED SCHOOL BROWN PROVIDENCE,RI 02912			SCHOLARSHIP	3,000
MELISSA A LATIGOFEINBERG SCHOOL OF MEDICI CHICAGO,IL 60611			SCHOLARSHIP	3,000
ALEXANDER S LOWRYWHARTON SCHOOL U OF PA PHILADELPHIA,PA 19104			SCHOLARSHIP	2,500
ASHLEY MINNERMARYLAND INSTITUE COLLEGE BALTIMORE,MD 21217			SCHOLARSHIP	3,000
G SHERMAN H MORRISONANTIOCH UNIVERSITY YELLOW SPRINGS,OH 45387			SCHOLARSHIP	3,000
ROSEMARY A NEEDHAM-CURTIS LAWRENCE TECHNOLOGICAL UN SOUTHFIELD,MI 48075			SCHOLARSHIP	2,500
BROOKE M ODLENJ INSTITUTE OF TECHNOLOG NEWARK,NJ 07191			SCHOLARSHIP	3,000
SOOJIN S OHHARVARD GRADUATE SCHOOL CAMBRIDGE,MA 02138			SCHOLARSHIP	3,000
TYREE T OREDEINUNIV OF MEDICINE DENTIS PISCATAWAY,NJ 08854			SCHOLARSHIP	3,000
WILLIAM B OWENUNION THEOLOGICAL SEMINAR NEWYORK,NY 10027			SCHOLARSHIP	2,500
AARON L ROCKETTAMERICAN UNIVERSITY WASHINGTON,DC 20016			FELLOWSHIP GRANT	4,000
MIA SCHARPHIEHARVARD UNIVERSITY CAMBRIDGE,MA 02138			SCHOLARSHIP	3,000
LINDA A SIMMONSHARVARD DIVINITY SCHOOL CAMBRIDGE,MA 02138			SCHOLARSHIP	3,000
JOEL M SOMMERUNIV OF MEDICINE DENTIS NEW BRUNSWICK,NJ 08903			SCHOLARSHIP	3,000
ELLEN STIEFVATERCOLUMBIA UNIVERSITY NEWYORK,NY 10027			SCHOLARSHIP	3,000
D ANDREW SIRSCHKYPRINCETON THEOLOGICAL SEM PRINCETON,NJ 08540			SCHOLARSHIP	3,000
<b>Total . . . . . ▶ 3a</b>				151,500

# TY 2011 Accounting Fees Schedule

**Name:** THE ROOTHBERT FUND INC

**EIN:** 13-6162570

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
TAX PREPARATION & AUDITING	7,000	2,333		4,667

**TY 2011 Compensation Explanation****Name:** THE ROOTHBERT FUND INC**EIN:** 13-6162570

Person Name	Explanation
LEONISA ARDIZZONE	
JAMES G HEINEGG	
JANE FRIEDMAN CENTURY	
JOHN P DEVLIN	
DONNA M JOHNSON	
MARK OVERMYER-VELAZQUEZ	
JASON T BUHLE	
BLAKE T NEWTON III	
JAMES A ROSENGARTEN	
CHARLES VAN HORNE	
STEVEN F WILDER	
NATHALIS W WAMBA	
BARBARA A EDWARDS	
JEFFREY K PEGRAM	
VIJAY R VARMA	

**TY 2011 Investments Corporate  
Bonds Schedule****Name:** THE ROTHBERT FUND INC**EIN:** 13-6162570

<b>Name of Bond</b>	<b>End of Year Book Value</b>	<b>End of Year Fair Market Value</b>
ALLERGAN INC	99,650	115,757
AT&T CORP		
CONSOLIDATED EDISON	49,750	58,819
FEDERAL HOME LOAN CORP		
IBM	102,276	134,196
JOHNSON CONTROLS	100,500	100,883
MERRILL LYNCH & CO	97,500	91,839
PEPSICO INC	99,850	116,175
PITNEY BOWES	100,671	107,314
WALMART STORES	100,011	112,039
WELLS FARGO	49,919	52,786
WM WRIGLEY JR CO	99,400	103,500



TY 2011 Investments Corporate

Stock Schedule

Name: THE ROTHBERT FUND INC

EIN: 13-6162570

Name of Stock	End of Year Book Value	End of Year Fair Market Value
ALBERMARIE CORP	66,146	51,510
BERKSHIRE HATHAWAY INC	40,288	61,040
BRISTOL MYERS SQUIBB	77,787	56,384
CISCO SYSTEMS	48,211	36,160
CITIGROUP	61,801	3,947
CLIFFS NATURAL RESOURCES	27,970	49,880
COMCAST CORP	40,272	17,806
DANAHER CORP	144,089	188,160
DOW CHEMICAL	23,610	28,760
GOLDMAN SACHS	91,433	90,430
HEARTLAND EXPRESS INC	57,359	80,967
HONEYWELL INTERNATIONAL	30,253	146,745
IBM	107,623	183,880
INTEL CORP	113,613	97,000
ISHARES TR MSCI EMERGING MARKETS	41,552	37,940
JACOBS ENGINEERING GROUP	69,657	125,798
L-3 COMMUNICATION HOLDINGS INC	71,732	53,344
MANTECH INTERNATIONAL CORP	36,635	31,240
MCDONALDS CORP	47,287	60,198
MOOG INC	108,043	131,790
NIKE INC CLASS B	65,951	77,096
NUCOR CORP	86,689	79,140
ORACLE CORPORATION	76,875	51,300
PEOPLES UTD FINANCIAL		
PROCTER & GAMBLE	60,136	66,710
RIO TINTO		
ROYAL DUTCH SHELL	30,272	109,635
RTI INTERNATIONAL METALS	78,311	34,815
THERMO FISHER SCIENTIFIC	54,840	67,455
UNITED PARCEL SERVICE	47,139	58,552

Name of Stock	End of Year Book Value	End of Year Fair Market Value
UNITED TECHNOLOGIES CORP	89,321	204,652
VERIZON COMMUNICATIONS	74,687	78,539

**TY 2011 Investments Government  
Obligations Schedule****Name:** THE ROTHBERT FUND INC**EIN:** 13-6162570**US Government Securities - End of  
Year Book Value:**

201,397

**US Government Securities - End of  
Year Fair Market Value:**

237,594

**State & Local Government  
Securities - End of Year Book  
Value:**

103,421

**State & Local Government  
Securities - End of Year Fair  
Market Value:**

112,201

**TY 2011 Legal Fees Schedule**

**Name:** THE ROTHBERT FUND INC

**EIN:** 13-6162570

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
LEGAL - LYNN & CAHILL LLP	2,493			

TY 2011 Other Assets Schedule

**Name:** THE ROTHBERT FUND INC

**EIN:** 13-6162570

Description	Beginning of Year - Book Value	End of Year - Book Value	End of Year - Fair Market Value
PREPAID EXCISE TAX			

**TY 2011 Other Expenses Schedule****Name:** THE ROOTHBERT FUND INC**EIN:** 13-6162570

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
EXPENSES				
NYS DEPT OF LAW - FILING FEE	250			250
OFFICE SUPPLIES AND EXPENSES	2,052			2,053
OFFICE MANAGMNT & BOOKKEEPING	21,378			21,378
WEBSITE	1,006			1,006
POSTAGE	1,042			1,042
TELEPHONE	1,161			1,161
INSURANCE	503			503
AMORTIZATION OF FIT-UP EXPENS	254			254
FELLOWSHIP PROGRAM	12,322			12,322
FEES	5,000			5,000

**TY 2011 Other Liabilities Schedule**

**Name:** THE ROOTHBERT FUND INC

**EIN:** 13-6162570

Description	Beginning of Year - Book Value	End of Year - Book Value
EXCISE TAX PAYABLE	406	912

## TY 2011 Other Professional Fees Schedule

**Name:** THE ROTHBERT FUND INC

**EIN:** 13-6162570

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
INVESTMENT MANAGEMENT FEES	12,705	12,705		



**TY 2011 Taxes Schedule****Name:** THE ROOTHBERT FUND INC**EIN:** 13-6162570

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FOREIGN TAX W/H ON DIVIDENDS	756	756		
EXCISE TAX - 2011	1,400			
EXCISE TAX - 2010	182			
EXCISE TAX - 2010 PENALTY & INT	12			
EXCISE TAX ACCRUAL ADJUSTMENT	506			