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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.

2011

For calendar year 2011 or tax year beginning

, and ending

Name of foundation

CAPRICORN FOUNDATION CHARITABLE TRUST  
C/O ALLEN F. STEINBOCK, TRUSTEE

A Employer identification number

31-1096396

Number and street (or P.O. box number if mail is not delivered to street address)

Room/suite

P.O. BOX 17183

B Telephone number

502-637-1451

City or town, state, and ZIP code

LOUISVILLE, KY 40217

C If exemption application is pending, check here ☐

G Check all that apply:

☐ Initial return☐ Initial return of a former public charity☐ Final return☐ Amended return☐ Address change☐ Name changeD 1 Foreign organizations, check here ☐Foreign organizations meeting the 85% test,  
2. 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 foundationE If private foundation status was terminated  
under section 507(b)(1)(A), check here ☐

I Fair market value of all assets at end of year

J Accounting method: ☒ Cash ☐ Accrual

(from Part II, col (c), line 16)

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

\$ 1,371,629. (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))(a) Revenue and  
expenses per books(b) Net investment  
income(c) Adjusted net  
income(d) Disbursements  
for charitable purposes  
(cash basis only)

1 Contributions, gifts, grants, etc., received

2 Check ☒ if the foundation is not required to attach Sch. B3 Interest on savings and temporary  
cash investments

8.

8.

8.

STATEMENT 1

4 Dividends and interest from securities

31,976.

31,976.

31,976.

STATEMENT 2

5a Gross rents

b Net rental income or (loss)

6a Net gain or (loss) from sale of assets not on line 10

b Gross sales price for all  
assets on line 6a 926,961.

&lt;136,047.&gt;

7 Capital gain net income (from Part IV, line 2)

0.

8 Net short-term capital gain

N/A

9 Income modifications

10a Gross sales less returns  
and allowances

b Less Cost of goods sold

c Gross profit or (loss)

11 Other income

12 Total. Add lines 1 through 11

&lt;104,063.&gt;

31,984.

31,984.

13 Compensation of officers, directors, trustees, etc

0.

0.

0.

14 Other employee salaries and wages

15 Pension plans, employee benefits

16a Legal fees

b Accounting fees

STMT 3

2,600.

2,600.

0.

c Other professional fees

STMT 4

18,977.

13,284.

5,693.

17 Interest

18 Taxes

STMT 5

4,935.

363.

155.

19 Depreciation and depletion

20 Occupancy

21 Travel, conferences, and meetings

22 Printing and publications

23 Other expenses

STMT 6

30.

0.

0.

24 Total operating and administrative  
expenses. Add lines 13 through 23

26,542.

16,247.

5,848.

25 Contributions, gifts, grants paid

78,100.

26 Total expenses and disbursements

Add lines 24 and 25

104,642.

16,247.

5,848.

78,100.

27 Subtract line 26 from line 12:

a Excess of revenue over expenses and disbursements

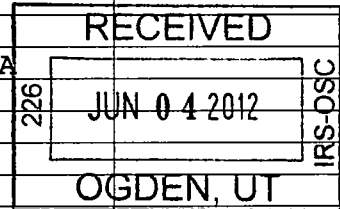
&lt;208,705.&gt;

b Net investment income (if negative, enter -0-)

15,737.

c Adjusted net income (if negative, enter -0-)

26,136.



## CAPRICORN FOUNDATION CHARITABLE TRUST

Form 990-PF (2011)

C/O ALLEN F. STEINBOCK, TRUSTEE

31-1096396

Page 2

**Part II Balance Sheets**

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

		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
<b>Assets</b>	1 Cash - non-interest-bearing		5,514.	5,514.
	2 Savings and temporary cash investments	21,600.	17,877.	17,877.
	3 Accounts receivable ▶			
	Less: allowance for doubtful accounts ▶			
	4 Pledges receivable ▶			
	Less: allowance for doubtful accounts ▶			
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons			
	7 Other notes and loans receivable ▶			
	Less: allowance for doubtful accounts ▶			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10a Investments - U.S. and state government obligations			
	b Investments - corporate stock			
	c Investments - corporate bonds			
11 Investments - land, buildings, and equipment basis ▶				
Less: accumulated depreciation ▶				
12 Investments - mortgage loans				
13 Investments - other	STMT 7	1,350,985.	1,140,489.	1,348,238.
14 Land, buildings, and equipment: basis ▶				
Less: accumulated depreciation ▶				
15 Other assets (describe ▶)				
16 Total assets (to be completed by all filers)		1,372,585.	1,163,880.	1,371,629.
<b>Liabilities</b>	17 Accounts payable and accrued expenses			
	18 Grants payable			
	19 Deferred revenue			
	20 Loans from officers, directors, trustees, and other disqualified persons			
	21 Mortgages and other notes payable			
	22 Other liabilities (describe ▶)			
23 Total liabilities (add lines 17 through 22)		0.	0.	
<b>Net Assets or Fund Balances</b>	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	943,689.	943,689.	
28 Paid-in or capital surplus, or land, bldg., and equipment fund	0.	0.		
29 Retained earnings, accumulated income, endowment, or other funds	428,896.	220,191.		
30 Total net assets or fund balances	1,372,585.	1,163,880.		
31 Total liabilities and net assets/fund balances		1,372,585.	1,163,880.	

**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	1,372,585.
2 Enter amount from Part I, line 27a	2	<208,705.>
3 Other increases not included in line 2 (itemize) ▶	3	0.
4 Add lines 1, 2, and 3	4	1,163,880.
5 Decreases not included in line 2 (itemize) ▶	5	0.
6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	1,163,880.

Form 990-PF (2011)

## CAPRICORN FOUNDATION CHARITABLE TRUST

Form 990-PF (2011)

C/O ALLEN F. STEINBOCK, TRUSTEE

31-1096396

Page 3

**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.)
<b>1a SEE ATTACHED</b>	<b>P</b>	<b>VARIOUS</b>	<b>VARIOUS</b>
<b>b SEE ATTACHED</b>	<b>P</b>	<b>VARIOUS</b>	<b>VARIOUS</b>
<b>c</b>			
<b>d</b>			
<b>e</b>			

(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)
<b>a 250,131.</b>		<b>333,505.</b>	<b>&lt;83,374.&gt;</b>
<b>b 676,830.</b>		<b>729,503.</b>	<b>&lt;52,673.&gt;</b>
<b>c</b>			
<b>d</b>			
<b>e</b>			

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	
<b>a</b>			<b>&lt;83,374.&gt;</b>
<b>b</b>			<b>&lt;52,673.&gt;</b>
<b>c</b>			
<b>d</b>			
<b>e</b>			

<b>2</b> 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 }	<b>2</b>	<b>&lt;136,047.&gt;</b>
<b>3</b> Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter -0- in Part I, line 8	{ }	<b>3</b>	<b>&lt;83,374.&gt;</b>

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

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

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

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

☐ Yes ☒ No

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2010	79,500.	1,647,262.	.048262
2009	112,740.	1,329,390.	.084806
2008	139,692.	1,629,524.	.085726
2007	127,812.	2,163,086.	.059088
2006	99,000.	2,116,223.	.046781

<b>2</b> Total of line 1, column (d)	<b>2</b>	<b>.324663</b>
<b>3</b> 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	<b>3</b>	<b>.064933</b>
<b>4</b> Enter the net value of noncharitable-use assets for 2011 from Part X, line 5	<b>4</b>	<b>1,565,872.</b>
<b>5</b> Multiply line 4 by line 3	<b>5</b>	<b>101,677.</b>
<b>6</b> Enter 1% of net investment income (1% of Part I, line 27b)	<b>6</b>	<b>157.</b>
<b>7</b> Add lines 5 and 6	<b>7</b>	<b>101,834.</b>
<b>8</b> Enter qualifying distributions from Part XII, line 4	<b>8</b>	<b>78,100.</b>

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.

## CAPRICORN FOUNDATION CHARITABLE TRUST

Form 990-PF (2011)

C/O ALLEN F. STEINBOCK, TRUSTEE

31-1096396

Page 4

**Part VI Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948 - see instructions)**

1a Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1. Date of ruling or determination letter: _____ (attach copy of letter if necessary-see instructions)			
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input type="checkbox"/> and enter 1% of Part I, line 27b		1	315.
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b).			
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		2	0.
3 Add lines 1 and 2		3	315.
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		4	0.
5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-		5	315.
6 Credits/Payments:			
a 2011 estimated tax payments and 2010 overpayment credited to 2011	6a	2,480.	
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	2,480.	
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	2,165.	
11 Enter the amount of line 10 to be: Credited to 2012 estimated tax <input type="checkbox"/> 2,165. Refunded <input type="checkbox"/>	11	0.	

**Part VII-A Statements Regarding Activities**

	Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		X
1b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for definition)? If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities		X
1c Did the foundation file Form 1120-POL for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. <input type="checkbox"/> \$ 0. (2) On foundation managers <input type="checkbox"/> \$ 0.		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. <input type="checkbox"/> \$ 0.		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? If "Yes," attach a detailed description of the activities.		X
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes		X
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		X
b If "Yes," has it filed a tax return on Form 990-T for this year?		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by General Instruction T		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	X	
7 Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col. (c), and Part XV	X	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) <input type="checkbox"/> KY		
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation	X	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2011 or the taxable year beginning in 2011 (see instructions for Part XIV)? If "Yes," complete Part XIV		X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses		X

N/A

Form 990-PF (2011)

CAPRICORN FOUNDATION CHARITABLE TRUST  
C/O ALLEN F. STEINBOCK, TRUSTEE

31-1096396

Page 5

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

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)	11		X
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► N/A	13	X	
14	The books are in care of ► ALLEN F. STEINBOCK, TRUSTEE Telephone no. ► 502-584-9793 Located at ► 943 SOUTH FIRST STREET, LOUISVILLE, KY ZIP+4 ► 40203			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here and enter the amount of tax-exempt interest received or accrued during the year ► 15 N/A			
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? See the instructions for exceptions and filing requirements for Form TD F 90-22.1. If "Yes," enter the name of the foreign country ►	16	Yes	No X

**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 instructions)? Organizations relying on a current notice regarding disaster assistance check here ► N/A	1b	
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2011?	1c	X
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)):		
a	At the end of tax year 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 ►		
b	Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see instructions.) N/A	2b	
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. ►		
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b	If "Yes," did it have excess business holdings in 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? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2011) N/A	3b	
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a	X
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2011?	4b	X

Form 990-PF (2011)

## CAPRICORN FOUNDATION CHARITABLE TRUST

Form 990-PF (2011)

C/O ALLEN F. STEINBOCK, TRUSTEE

31-1096396

Page 6

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

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

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

N/A

5b

Organizations relying on a current notice regarding disaster assistance check here

☒

c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?

N/A

☐ Yes ☐ No

If "Yes," attach the statement required by Regulations section 53.4945-5(d).

6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?

☐ Yes ☒ No

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

6b

X

If "Yes" to 6b, file Form 8870

7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?

☐ Yes ☒ No

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

N/A

7b

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

1 List all officers, directors, trustees, foundation managers and their compensation.

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
SEE STATEMENT 8		0.	0.	0.

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

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

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

0

Form 990-PF (2011)

## Form 990-PF (2011)

31-1096396

Page 7

## Part VIII

**3 Five highest-paid independent contractors for professional services. If none, enter "NONE."**

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

0

## Expenses

Amount

**All other program-related investments. See instructions.**

0.

123561  
12-02-11



CAPRICORN FOUNDATION CHARITABLE TRUST  
C/O ALLEN F. STEINBOCK, TRUSTEE

Form 990-PF (2011)

31-1096396 Page 8

**Part X** Minimum Investment Return (All domestic foundations must complete this part. Foreign foundations, see instructions.)

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
a	Average monthly fair market value of securities	1a	1,567,222.
b	Average of monthly cash balances	1b	22,496.
c	Fair market value of all other assets	1c	
d	Total (add lines 1a, b, and c)	1d	1,589,718.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	0.
2	Acquisition indebtedness applicable to line 1 assets	2	0.
3	Subtract line 2 from line 1d	3	1,589,718.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	23,846.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	1,565,872.
6	Minimum investment return. Enter 5% of line 5	6	78,294.

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

1	Minimum investment return from Part X, line 6	1	78,294.
2a	Tax on investment income for 2011 from Part VI, line 5	2a	315.
b	Income tax for 2011. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	315.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	77,979.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	77,979.
6	Deduction from distributable amount (see instructions)	6	0.
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	77,979.

**Part XII** Qualifying Distributions (see instructions)

1	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes:		
a	Expenses, contributions, gifts, etc. - total from Part I, column (d), line 26	1a	78,100.
b	Program-related investments - total from Part IX-B	1b	0.
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	78,100.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b	5	0.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	78,100.

**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.

Form 990-PF (2011)

**CAPRICORN FOUNDATION CHARITABLE TRUST**  
**C/O ALLEN F. STEINBOCK, TRUSTEE**

Form 990-PF (2011)

31-1096396 Page 9

**Part XIII Undistributed Income** (see instructions)

	(a) Corpus	(b) Years prior to 2010	(c) 2010	(d) 2011
<b>1</b> Distributable amount for 2011 from Part XI, line 7				77,979.
<b>2</b> Undistributed income, if any, as of the end of 2011				
<b>a</b> Enter amount for 2010 only			0.	
<b>b</b> Total for prior years:		0.		
<b>3</b> Excess distributions carryover, if any, to 2011:				
<b>a</b> From 2006				
<b>b</b> From 2007	22,274.			
<b>c</b> From 2008	58,762.			
<b>d</b> From 2009	46,790.			
<b>e</b> From 2010				
<b>f</b> Total of lines 3a through e	127,826.			
<b>4</b> Qualifying distributions for 2011 from Part XII, line 4: ▶ \$	78,100.			
<b>a</b> Applied to 2010, but not more than line 2a			0.	
<b>b</b> Applied to undistributed income of prior years (Election required - see instructions)		0.		
<b>c</b> Treated as distributions out of corpus (Election required - see instructions)	0.			
<b>d</b> Applied to 2011 distributable amount				77,979.
<b>e</b> Remaining amount distributed out of corpus	121.			
<b>5</b> Excess distributions carryover applied to 2011 (If an amount appears in column (d), the same amount must be shown in column (a))	0.			0.
<b>6</b> Enter the net total of each column as indicated below:				
<b>a</b> Corpus Add lines 3f, 4c, and 4e Subtract line 5	127,947.			
<b>b</b> Prior years' undistributed income. Subtract line 4b from line 2b		0.		
<b>c</b> Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
<b>d</b> Subtract line 6c from line 6b. Taxable amount - see instructions		0.		
<b>e</b> Undistributed income for 2010. Subtract line 4a from line 2a. Taxable amount - see instr.			0.	
<b>f</b> Undistributed income for 2011. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2012				0.
<b>7</b> Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3)	0.			
<b>8</b> Excess distributions carryover from 2006 not applied on line 5 or line 7	0.			
<b>9</b> Excess distributions carryover to 2012. Subtract lines 7 and 8 from line 6a	127,947.			
<b>10</b> Analysis of line 9:				
<b>a</b> Excess from 2007	22,274.			
<b>b</b> Excess from 2008	58,762.			
<b>c</b> Excess from 2009	46,790.			
<b>d</b> Excess from 2010				
<b>e</b> Excess from 2011	121.			

**Part XIV Private Operating Foundations** (see instructions and Part VII-A, question 9) **N/A**

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

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

	Prior 3 years				(e) Total
	(a) 2011	(b) 2010	(c) 2009	(d) 2008	
<b>2 a</b> Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed					
<b>b</b> 85% of line 2a					
<b>c</b> Qualifying distributions from Part XII, line 4 for each year listed					
<b>d</b> Amounts included in line 2c not used directly for active conduct of exempt activities					
<b>e</b> Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c					
<b>3</b> Complete 3a, b, or c for the alternative test relied upon:					
<b>a</b> "Assets" alternative test - enter:					
<b>(1)</b> Value of all assets					
<b>(2)</b> Value of assets qualifying under section 4942(j)(3)(B)(i)					
<b>b</b> "Endowment" alternative test - enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed					
<b>c</b> "Support" alternative test - enter:					
<b>(1)</b> Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)					
<b>(2)</b> Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii)					
<b>(3)</b> Largest amount of support from an exempt organization					
<b>(4)</b> Gross investment income					

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

**1 Information Regarding Foundation Managers:**

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

**NONE**

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

**NONE**

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

Check here ☐ 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 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.

**SEE STATEMENT 9**

**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:

## CAPRICORN FOUNDATION CHARITABLE TRUST

Form 990-PF (2011)

C/O ALLEN F. STEINBOCK, TRUSTEE

31-1096396

Page 11

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
<b>a Paid during the year</b>  ALL RECIPIENTS ARE 501(C)(3) RELIGIOUS, SCIENTIFIC OR CHARITABLE ORGS.				78,100.
SEE ATTACHED SCHEDULE OF CONTRIBUTIONS FOR THE 12 MONTHS ENDED 12/31/11.				
<b>Total</b>			▶ <b>3a</b>	78,100.
<b>b Approved for future payment</b>  NONE				
<b>Total</b>			▶ <b>3b</b>	0.

Form 990-PF (2011)

**Part XVI-A      Analysis of Income-Producing Activities**

Enter gross amounts unless otherwise indicated.

Enter gross amounts unless otherwise indicated.		Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income
		(a) Business code	(b) Amount	(c) Exclu- sion code	(d) Amount	
1 Program service revenue:						
a _____						
b _____						
c _____						
d _____						
e _____						
f _____						
g Fees and contracts from government agencies						
2 Membership dues and assessments						
3 Interest on savings and temporary cash investments				14	8.	
4 Dividends and interest from securities				14	31,976.	
5 Net rental income or (loss) from real estate:						
a Debt-financed property						
b Not debt-financed property						
6 Net rental income or (loss) from personal property						
7 Other investment income						
8 Gain or (loss) from sales of assets other than inventory				18	<136,047.>	
9 Net income or (loss) from special events						
10 Gross profit or (loss) from sales of inventory						
11 Other revenue:						
a _____						
b _____						
c _____						
d _____						
e _____						
12 Subtotal. Add columns (b), (d), and (e)			0.		<104,063.>	0.
13 Total. Add line 12, columns (b), (d), and (e)						<104,063.>

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

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

[illegible]

## Page 13

## Information Regarding Transfers To and Transactions and Relationships With Noncharitable Exempt Organizations

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

[illegible]

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

☐ Yes ☒ No

**b** If "Yes," complete the following schedule.

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

**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) is based on all information of which preparer has any knowledge.

May the IRS discuss this return with the preparer shown below (see instr. 1)?

☒ Yes ☐ No

Signature of officer or trustee

Date \_\_\_\_\_

Title

**Paid  
Preparer  
Use Only**

Print/Type preparer's name

Preparer's signature

Date \_\_\_\_\_

Check ☐ self-employed

PTIN
------

MARGARET H.  
ANDERSON

Mangal Thakur 5812

5812

P00016882

Firm's name ▶ **ANDERSON, BRYANT, LASKY & WINSLOW, PSC**

Firm's EIN ► 61-1227965

Firm's address ► 943 SOUTH FIRST STREET  
LOUISVILLE, KY 40203

Phone no. (502) 584-9793

Form **990-PF** (2011)

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

SOURCE	AMOUNT
THRU INVESTMENT ACCOUNTS	8.
TOTAL TO FORM 990-PF, PART I, LINE 3, COLUMN A	8.

## FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 2

SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	COLUMN (A) AMOUNT
NEW PERSPECTIVE FUND	3,381.	0.	3,381.
THRU FIDELITY	27,225.	0.	27,225.
THRU SCHWAB	1,370.	0.	1,370.
TOTAL TO FM 990-PF, PART I, LN 4	31,976.	0.	31,976.

## FORM 990-PF ACCOUNTING FEES STATEMENT 3

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ACCOUNTING FEES	2,600.	2,600.	0.	0.
TO FORM 990-PF, PG 1, LN 16B	2,600.	2,600.	0.	0.

## FORM 990-PF OTHER PROFESSIONAL FEES STATEMENT 4

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
INVESTMENT MANAGEMENT FEE	18,977.	13,284.	5,693.	0.
TO FORM 990-PF, PG 1, LN 16C	18,977.	13,284.	5,693.	0.

FORM 990-PF	TAXES	STATEMENT	5
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FOREIGN TAXES	518.	363.	155.	0.
TAX LIABILITY PMT	1,937.	0.	0.	0.
ESTIMATED TAX PAYMENTS	2,480.	0.	0.	0.
TO FORM 990-PF, PG 1, LN 18	4,935.	363.	155.	0.

FORM 990-PF	OTHER EXPENSES	STATEMENT	6
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
BANK SERVICE CHARGES	30.	0.	0.	0.
TO FORM 990-PF, PG 1, LN 23	30.	0.	0.	0.

FORM 990-PF	OTHER INVESTMENTS	STATEMENT	7
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DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
SCHEDULED	COST	1,140,489.	1,348,238.
TOTAL TO FORM 990-PF, PART II, LINE 13		1,140,489.	1,348,238.



FORM 990-PF

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

STATEMENT 8

NAME AND ADDRESS	TITLE AND AVRG HRS/WK	COMPEN- SATION	EMPLOYEE BEN PLAN CONTRIB	EXPENSE ACCOUNT
ALLEN F. STEINBOCK 1700 CHEROKEE ROAD LOUISVILLE, KY 40205	TRUSTEE 0.00	0.	0.	0.
DAVID J. STEINBOCK 2332 BROOKSIDE DRIVE LOUISVILLE, KY 40205	TRUSTEE 0.00	0.	0.	0.
ANNE STEINBOCK 5801 S. WATTERSON TRAIL LOUISVILLE, KY 40291	TRUSTEE 0.00	0.	0.	0.
STUART STEINBOCK 2311 RALIEGH COURT LOUISVILLE, KY 40206	TRUSTEE 0.00	0.	0.	0.
ROWLAND HUTCHINSON 1600 POLO CLUB COURT LOUISVILLE, KY 40245	TRUSTEE 0.00	0.	0.	0.
GROVER POTTS 500 W. JEFFERSON ST, STE 2800 LOUISVILLE, KY 40202	TRUSTEE 0.00	0.	0.	0.
R. TED STEINBOCK, MD 3311 ZORN PLACE, #5 LOUISVILLE, KY 40206	TRUSTEE 0.00	0.	0.	0.
TOTALS INCLUDED ON 990-PF, PAGE 6, PART VIII		0.	0.	0.

FORM 990-PF

GRANT APPLICATION SUBMISSION INFORMATION  
PART XV, LINES 2A THROUGH 2D

STATEMENT 9

## NAME AND ADDRESS OF PERSON TO WHOM APPLICATIONS SHOULD BE SUBMITTED

MARGARET H. ANDERSON, CPA C/O ANDERSON, BRYANT, LASKY & WINSLOW, PSC  
943 SOUTH FIRST STREET  
LOUISVILLE, KY 40203

## TELEPHONE NUMBER

502-584-9793

## FORM AND CONTENT OF APPLICATIONS

SEE ATTACHED.

## ANY SUBMISSION DEADLINES

NONE

## RESTRICTIONS AND LIMITATIONS ON AWARDS

NONE

**Capricorn Foundation Charitable Trust**  
**Statement of Assets, Liabilities and Net Assets -**  
**Cash Basis**  
**December 31, 2011**  
**ASSETS**

<b>CASH</b>	
CASH	\$ 23,391.10
<b>INVESTMENTS, at cost</b>	
FLEXTRONICS INTL LTD	9,115 95
NEW PERSPECTIVE FUND	242,520.52
SUNRISE SENIOR LIVING, INC.	103,710 42
MORGAN STANLEY ASIA PACIFIC FUND	4,101 15
APPLE COMPUTER INC.	3,694.45
CONOCOPHILLIPS	4,368.92
DOW CHEMICAL CO	91,310.14
CRESUD SACIF YA SP ADR	4,943.40
KROGER	4,339.95
ROGERS COMMUNICATIONS	9,190.38
VERISIGN, INC	66,926.26
NOKIA CORP SPON ADR	8,499.95
REVLON INC	61,351.23
PPL CORPORATION	2,976.97
TRANSOCEAN INC NEW	5,864.25
AMERIPRISE FIN INC	1,428 73
HELIOS ADVANTAGE INCOME FD INC COM	17,067.21
HELIOS HIGH INCOME FD INC COM	20,942.80
HELIOS MULTI-SECTOR HIGH INCOME FD	18,821 74
HELIOS STRATEGIC INCOME FD	35,677.22
HUNTSMAN CORP	29,577.80
ABBOTT LABORATORIES	4,209.95
PETROLEO BRASILEIRO	73,956 69
ZIONS BANCORP	36,939 00
SUN HEALTHCARE GROUP INC	121,090 57
HARRIS CORP	104,697 24
MERITOR INC	53,165.85
<b>TOTAL INVESTMENTS</b>	<u>1,140,488 74</u>
<b>TOTAL ASSETS</b>	<u>\$ 1,163,879.84</u>

**Capricorn Foundation Charitable Trust**  
**Statement of Assets, Liabilities and Net Assets -**  
**Cash Basis**  
**December 31, 2011**  
**LIABILITIES AND NET ASSETS**

**LIABILITIES**

**NET ASSETS**

UNRESTRICTED NET ASSETS

1,163,879.84

TOTAL NET ASSETS

1,163,879 84

TOTAL LIABILITIES & NET ASSETS

\$ 1,163,879 84

# Capricorn Foundation Charitable Trust

## Schedule of Charitable Disbursements

Cash Basis

For the Quarter Ended December 31, 2011

	First Quarter	Second Quarter	Third Quarter	Fourth Quarter	12 Months Ended Dec. 31, 2011
AM COLLEGE OF PROSTHODONISTS EDUC FND	\$ 0.00	\$ 0.00	\$ 0.00	\$ 5,000.00	\$ 5,000.00
CLIFTON CULTURAL CENTER, INC	0.00	0.00	0.00	300.00	300.00
DONORS FORUM OF KENTUCKIANA	0.00	0.00	0.00	400.00	400.00
DREAMS WITH WINGS, INC.	0.00	0.00	0.00	1,000.00	1,000.00
DTA FOUNDATION	0.00	0.00	0.00	3,000.00	3,000.00
FAMILY & CHILDREN'S AGENCY	0.00	0.00	0.00	3,000.00	3,000.00
FUND FOR THE ARTS	0.00	0.00	0.00	200.00	200.00
HOLY TRINITY CHURCH	0.00	0.00	0.00	500.00	500.00
JUNIOR ACHIEVEMENT	0.00	3,000.00	0.00	0.00	3,000.00
LINCOLN HERITAGE COUNCIL BSA	0.00	0.00	0.00	3,500.00	3,500.00
LOUISVILLE VISUAL ART ASSOCIATION	0.00	6,000.00	0.00	0.00	6,000.00
METRO UNITED WAY	0.00	3,500.00	0.00	10,500.00	14,000.00
NATURE CONSERVANCY	0.00	0.00	0.00	400.00	400.00
NEW DIRECTION HOUSING CORP	0.00	0.00	0.00	1,000.00	1,000.00
NSCF	0.00	0.00	0.00	8,000.00	8,000.00
ORAL HEALTH AMERICA	0.00	0.00	0.00	2,000.00	2,000.00
SPEED ART MUSEUM	0.00	2,000.00	0.00	0.00	2,000.00
ST. FRANCIS OF ASSISI CHURCH	0.00	0.00	0.00	500.00	500.00
ST. MATTHEWS LIONS CLUB	0.00	300.00	0.00	0.00	300.00
ST. XAVIER HIGH SCHOOL	0.00	0.00	0.00	2,500.00	2,500.00
THE PARKLANDS OF FLOYDS FORK	0.00	0.00	0.00	10,000.00	10,000.00
U of L SCHOOL OF DENTISTRY	0.00	0.00	0.00	1,000.00	1,000.00
UNITED WAY OF LARIMER COUNTY, CO	0.00	0.00	0.00	2,000.00	2,000.00
UNIVERSITY OF KENTUCKY	0.00	0.00	0.00	1,000.00	1,000.00
UNIVERSITY OF LOUISVILLE	0.00	0.00	500.00	0.00	500.00
YOUTH BUILD LOUISVILLE	0.00	0.00	0.00	7,000.00	7,000.00
<b>TOTAL CHARITABLE DISBURSEMENTS</b>	<b>\$ 0.00</b>	<b>\$ 14,800.00</b>	<b>\$ 500.00</b>	<b>\$ 62,800.00</b>	<b>\$ 78,100.00</b>

**Capricorn Foundation**  
**FEIN: 31-1096396**  
**Schedule of Gain/Loss From Sale**  
**2011**

Trade Date	Company/Shrs	Term	Proceeds	Basis	Gain (Loss)
1/20/2011	Revlon, Inc - 3,000 shs	L	29,267.29	20,386.76	8,880.53
2/4/2011	Citizens Republic Bancorp - 15,000 shs	S	9,740.36	21,859.72	(12,119.36)
3/9/2011	Eastman Kodak - 5,000 Shs	S	15,906.34	25,985.34	(10,079.00)
3/9/2011	Eastman Kodak - 5,000 Shs	L	15,906.34	29,743.00	(13,836.66)
4/4/2011	Ameriprise Fin'l Inc - 175.00 Shs	L	10,780.84	3,333.72	7,447.12
4/8/2011	Felcor Lodging Tr - 5,000 shs	L	30,649.41	24,361.50	6,287.91
5/4/2011	Eastman Kodak - 5,000 Shs	S	14,083.52	14,083.52	-
5/24/2011	Veredus Aggress Grth - 24,744 531 Shs	L	356,816.14	344,223.23	12,592.91
5/26/2011	Helios Adv Inc - 2,000 Shs	L	15,833.93	9,657.84	6,176.09
7/1/2011	China Advanced - 5,000 Shs	S	8,395.03	15,430.35	(7,035.32)
7/11/2011	China Advanced - 5,000 Shs	S	8,706.83	14,599.00	(5,892.17)
9/20/2011	Five Star Quality Care - 5,000 Shs	S	14,529.32	37,844.50	(23,315.18)
10/4/2011	PPL Corp - 100 Shs	L	2,873.00	2,976.98	(103.98)
10/5/2011	Alcoa, Inc - 2,000 Shs	L	19,539.62	27,099.40	(7,559.78)
10/5/2011	Eastman Kodak - 20,000 Shs	L	17,948.65	99,704.18	(81,755.53)
10/5/2011	Level 3 - 10,000 Shs	S	15,423.10	13,944.90	1,478.20
10/5/2011	Sunrise Senior Living Inc - 5,000 Shs	L	22,623.61	10,427.50	12,196.11
10/5/2011	United Rentals - 2,000 Shs	L	33,702.85	38,026.20	(4,323.35)
10/5/2011	United Rentals - 1,000 Shs	L	16,851.43	20,288.70	(3,437.27)
10/5/2011	United Rentals - 2,000 Shs	L	33,702.85	12,219.80	21,483.05
10/5/2011	United Rentals - 2,000 Shs	S	33,702.85	48,459.34	(14,756.49)
10/5/2011	Versign - 2,000 Shs	L	56,738.91	80,797.60	(24,058.69)
10/7/2011	Alcatel-Lucent - 10,000 Shs	S	22,876.86	33,055.70	(10,178.84)
10/7/2011	Level 3 - 25,000 Shs	S	33,826.10	50,473.80	(16,647.70)
12/1/2011	Sunrise Senior Living Inc - 3,000 Shs	L	13,595.52	6,256.50	7,339.02
12/6/2011	Barnes and Noble Inc - 5,000 Shs	S	72,940.79	57,769.45	15,171.34
			<u>926,961.49</u>	<u>1,063,008.53</u>	<u>(136,047.04)</u>
Short Term			<u>250,131.10</u>	<u>333,505.62</u>	<u>(83,374.52)</u>
Long Term			<u>676,830.39</u>	<u>729,502.91</u>	<u>(52,672.52)</u>
Net Gain/(Loss)			<u>926,961.49</u>	<u>1,063,008.53</u>	<u>(136,047.04)</u>

The Capricorn Foundation Charitable Trust was established in 1983 for the purpose of assisting charitable organizations exempt from federal income tax under Section 501 (c) (3) of the Internal Revenue Code of 1954, as now in force or afterwards amended.

We welcome requests for funding from not-for-profit organizations, particularly those supporting child development, education and the arts. Organizations should complete this request to the best of their ability. Please use the enclosed form to allow the trustees to evaluate your request.

The limited resources of the Foundation make it impossible to fund all deserving applications. Funding decisions are made on a regular basis by the trustees of the Foundation. You can expect a reply within 6 to 8 weeks.

Make a copy of this form for your records and return the original to:

Capricorn Foundation Charitable Trust  
c/o Margaret H. Anderson, CPA  
Anderson, Bryant, Lasky & Winslow, P.S.C.  
943 South First Street  
Louisville, KY 40203

To be attached:

- \* Copy of Roster of Board of Directors
- \* Descriptive Literature
- \* Copy of most recent audited financial statements