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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.

2011

For calendar year 2011 or tax year beginning and ending A Employer identification number Name of foundation 94-1671318 THE ROCK FOUNDATION Room/suite Number and street (or P O box number if mail is not delivered to street address) B Telephone number 415-981-3921 ONE MARITIME PLAZA, SUITE 1220 C If exemption application is pending, check here City or town, state, and ZIP code SAN FRANCISCO CA 94111 Initial return G Check all that apply: Initial return of a former public charity D 1. Foreign organizations, check here Final return Amended return Foreign organizations meeting the 85% test 2, check here and attach computation Address change Name change Section 501(c)(3) exempt private foundation H Check type of organization: E If private foundation status was terminated Section 4947(a)(1) nonexempt charitable trust Other taxable private foundation under section 507(b)(1)(A), check here X Cash I Fair market value of all assets at end of year | J | Accounting method: F If the foundation is in a 60-month termination Other (specify) (from Part II, col (c), line 16) under section 507(b)(1)(B), check here 38,993,660. (Part I, column (d) must be on cash basis) ▶\$ (d) Disbursements for charitable purposes (cash basis only) Analysis of Revenue and Expenses Part I (a) Revenue and (b) Net investment (c) Adjusted net (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a)) expenses per books income ıncome N/A Contributions, gifts, grants, etc., received Check It is in the foundation is not required to attach Sch. B 459. 459 STATEMENT 71,298 71,298 STATEMENT Dividends and interest from securities 5a Gross rents b Net rental income or (loss) <38,322. 6a Net gain or (loss) from sale of assets not on line 10 b Gross sales price for all assets on line 6a 2,035,808. 607 Š 0. 7 Capital gain net income (from Part IV, line 2) NOV 1 9 2012 Net short-term capital gain Income modifications OGDEN 10a Gross sales less returns and allowances b Less Cost of goods sold c Gross profit or (loss) 5,570 STATEMENT 716. 11 Other income 151 77.327 12 Total Add lines 1 through 11 0 0. Compensation of officers, directors, trustees, etc. 14 Other employee salaries and wages 15 Pension plans, employee benefits 16a Legal fees 27,200. 27,200. 0. **b** Accounting fees STMT 4 c Other professional fees 350 350 and Administrative 17 Interest 18 Taxes 19 Depreciation and depletion 20 Occupancy 21 Travel, conferences, and meetings 22 Printing and publications 16,120 3<u>5.</u> 16,164. Operating STMT 5 23 Other expenses 24 Total operating and administrative expenses. Add lines 13 through 23 <u>43,714</u> 16,470 <u>27,235.</u> ,715,595 1,715,595. 25 Contributions, gifts, grants paid 26 Total expenses and disbursements. 1,742,830. 1,759,309 16,470 Add lines 24 and 25 27_Subtract line 26 from line_12:_ <1,725,158. 2 Excess of revenue over expenses and disbursements 60,857. b Net investment income (if negative, enter -0-) N/A C Adjusted net income (if negative, enter -0-) Form **990-PF** (2011) LHA For Paperwork Reduction Act Notice, see instructions.

WH 1318

1

| Б | art | Balance Sheets Attached schedules and amounts in the description column should be for end-of-year amounts only | Beginning of year | <u>End</u> | of year |
|----------------------|------|--|-------------------|--|---------------------------|
| <u></u> | arı | column should be for end-of-year amounts only | (a) Book Value | (b) Book Value | (c) Fair Market Value |
| | 1 | Cash - non-interest-bearing | | | |
| | 2 | Savings and temporary cash investments | 1,738,744. | 226,317 | 226,317. |
| | 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 ▶ | | | |
| Ø | 8 | Inventories for sale or use | | | |
| Assets | 9 | Prepaid expenses and deferred charges | | | - |
| As | - | Investments - U.S. and state government obligations | | | |
| | ı | Investments - corporate stock STMT 6 | 183,055. | 183.055. | 827,444. |
| | _ | Investments - corporate bonds | 200,0001 | | <u> </u> |
| | | Investments - land, buildings, and equipment, basis | | | |
| | ` | Less accumulated depreciation | | | |
| | 12 | Investments - mortgage loans | | | *** |
| | | Investments - other STMT 7 | 21,183,421. | 20, 970, 706 | 37,939,868. |
| | | Land, buildings, and equipment; basis | 22/203/1220 | 20/3/0//00 | 37/333/0001 |
| | '" | Less accumulated depreciation | | | |
| | 15 | Other assets (describe STATEMENT 8) | 30,160. | 30,144. | 31. |
| | '' | Office describe P DITTERMENT O | 30,100. | 30,144 | 31. |
| | 16 | Total assets (to be completed by all filers) | 23,135,380. | 21,410,222 | 38,993,660. |
| _ | | Accounts payable and accrued expenses | 23,133,300. | 21,410,222 | 30,333,000. |
| | 18 | Grants payable | | | · · |
| , 0 | 19 | Deferred revenue | | | 1 |
| Liabilities | l | · · · · · · · · · · · · · · · · · · · | | · · | 1 |
| į | 20 | Loans from officers, directors, trustees, and other disqualified persons | | · ·· <u>- · - · · · · · · · · · · · · · · </u> | 1 |
| Ë | 21 | Mortgages and other notes payable Other liabilities (decerbe > | | | 1 |
| | 22 | Other liabilities (describe) | | | - |
| | ,, | Total liabilities (add lines 17 through 99) | 0. | 0. | |
| _ | 23 | Total liabilities (add lines 17 through 22) | <u> </u> | <u> </u> | 4 |
| | | Foundations that follow SFAS 117, check here | | | |
| S | | and complete lines 24 through 26 and lines 30 and 31. | | | |
| Fund Balances | , | Unrestricted Temporarily restricted | | • | 1 |
| aga | 25 | Temporarily restricted | | | + |
| 9 | 26 | Permanently restricted Foundations that do not follow SFAS 117, check here | | | + |
| ᆵ | | · | İ | | |
| <u>p</u> | | and complete lines 27 through 31. | ا ۸ | 0 | |
| ets | 27 | Capital stock, trust principal, or current funds | 0. | 0. | |
| Net Assets | | Paid-in or capital surplus, or land, bldg., and equipment fund | | | - |
| ¥ | 29 | Retained earnings, accumulated income, endowment, or other funds | 23,135,380. | 21,410,222. | |
| ž | 30 | Total net assets or fund balances | 23,135,380. | 21,410,222. | 4 |
| | | Total Mak Makes and Assault and Market Assault | 22 125 200 | 21 410 222 | |
| _ | 31 | Total liabilities and net assets/fund balances | 23,135,380. | 21,410,222. | |
| P | art | III Analysis of Changes in Net Assets or Fund B | alances | | |
| = | Tota | I not accete or fund halanoon at harmonia of user. Don't II actives (a) has | 20 | | |
| 1 | | I net assets or fund balances at beginning of year - Part II, column (a), line | อบ | | 22 125 200 |
| ^ | • | st agree with end-of-year figure reported on prior year's return) | | 1 | 23,135,380. |
| | | r amount from Part I, line 27a | | 2 | <1,725,158. |
| | | r increases not included in line 2 (itemize) | | 3 | 0. |
| | | lines 1, 2, and 3 | | | |
| | | eases not included in line 2 (itemize) | dump (h) k== 00 | 5 | 21,410,222. |
| 6 | rota | I net assets or fund balances at end of year (line 4 minus line 5) - Part II, co | numm (b), line 30 | 6 | |
| | | | | | Form 990-PF (2011) |

Form 990-PF (2011) THE ROCK FOUNDATION

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| 1 a Evempt operating Foundations described in section 4940(x)(2), check here ▶ □ and enter "W/K on line 1. Diting of luming or determination litter: | | 1 990-PF (2011) THE ROCK FOUNDATION 94-1 Int VI Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948 - 9 | .671318 see instru | ctio | Page 4 ns) |
|--|----|--|---|------------|----------------------|
| and lother domestic foundations enter 2% of the 2TL, Exempt foreign organizations enter 4% of Part I, live 12, oc. (b). 2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-) 3 1, 217. 4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-) 5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0- 6 Credist/Payments: 8 2011 estimated tax payments and 2010 overpayment credited to 2011 8 Exempt foreign organizations - tax withheld at source 7 Tax paid with application for extension of time to file (Form 8868) 8 23,090. 8 Enter any penalty for underpayment of estimated tax. Check here ☐ if Form 2220 is attached 9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed 9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed 9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed 9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed 9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed 9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed 9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed 9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed 9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed 10 Total credit lime 7 is more than 10 total of lines 5 and 8 is more than amount owerpaid 11 Enter the amount of line 10 to be: Credited to 2012 estimated tax ▶ 21, 873 . Refunded ▶ 10 21, 873 . Refunded ▶ 10 21, 873 . Refunded ▶ 10 22, 873 . Refunded ▶ 10 23, 090 . 24 Exter the amount (if amy) of tax on political expenditures (section 4955) imposed during the year (1) On the foundation line form 1129-POL for this year? 2 Enter the amount (if amy) of tax on political expenditures (section 4955) imposed during the year? 15 Yes, "action | | Date of ruling or determination letter: (attach copy of letter if necessary-see instructions) Domestic foundations that meet the section 4940(e) requirements in Part V, check here | | 1,2 | 17. |
| 3 1, 217. Subtitle A (income) tax (idomestic section 4947(a)(1) trusts and taxable foundations only. Others enter-0-) 5 Tax based on investment lincome. Subtract line 4 from line 3, if zaro or less, enter-0- 5 Tax based on investment lincome. Subtract line 4 from line 3, if zaro or less, enter-0- 5 Tax based on investment lincome. Subtract line 4 from line 3, if zaro or less, enter-0- 5 Tax based on investment lincome. Subtract line 4 from line 3, if zaro or less, enter-0- 5 Tax based on investment lincome. Subtract line 4 from line 3, if zaro or less, enter-0- 6 Credats-Payments. 2 2011 estimated tax payments and 2010 overpayment credited to 2011 6 Ea 23,090. 6 Eactor any penalty for underpayment of estimated tax. Check here 6 fed 7 Total credits and payments. Add lines 6 attrough 60 fed 8 ded 7 Total credits and payments. Add lines 6 attrough 60 fed 8 fetter any penalty for underpayment of estimated tax. Check here 6 fed 8 fetter any penalty for underpayment of estimated tax. Check here 1 if Form 2220 is statched 8 fetter any penalty for underpayment of estimated tax. Check here 1 if Form 2220 is statched 9 fetter 1 ferom 2220 is statched 9 fetter 1 fetter anount of line 10 to be; Credited to 2012 estimated tax Payment 1 fetter 2 fetter 1 fetter 2 | c | · · · · · · · · · · · · · · · · · · · | | | |
| 4 Subtilis A (nomen) bx (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0- 5 Tax based on investment income. Subtract line 4 from her 3. if zero or less, enter -0- 5 Tax based on investment income. Subtract line 4 from her 3. if zero or less, enter -0- 5 Tax based on investment income. Subtract line 4 from her 3. if zero or less, enter -0- 6 Cedits/Payments: a 2011 estimated tax payments and 2010 overpayment credited to 2011 6 a 23,090. 6 6 6 6 6 6 6 6 6 6 6 6 6 6 6 6 6 6 6 | 2 | Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-) | | | |
| 5 1 2217. 6 1 23,090. 6 1 23,090. 6 1 23,090. 6 2 3,090. 6 2 3,090. 6 3 6 6 6 6 6 6 6 6 6 6 6 6 6 6 6 6 6 | 3 | | | <u>1,2</u> | |
| 6 Credito-Payments: a 2011 estimated tax payments and 2010 overpayment credited to 2011 b. Exempt foreign organizations - tax withheld at source c Tax paid with application for extension of time to file (Form 8868) 6e d. Backup withholding erroneously withheld 7 Total credits and payments. Add lines 6a through 6d 6e 8 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed 9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed 10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount ower and 10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount ower and 10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount ower and 10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount ower and 10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount ower and 10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount ower and 10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount ower and 10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount ower and 11 line 0. Part VII-A Statements Regarding Activities 1 During the last year, dut the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign? If the answer is "Ves" to 1 ac 11, attach a detailed description of the activities. Dut the foundation line Form 112-POIL, for the year? If the answer is "Ves" to 1 ac 11, attach a detailed description of the activities. Out the foundation line Form 112-POIL, for the year? If a line is a second of the activities. 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. Has the foundation engaged in any activities that have not previously been reported to the IRS? If Yes, attach a detailed de | 4 | · · · · · · · · · · · · · · · · · · · | | | |
| a 2011 estimated tax payments and 2010 overpayment credited to 2011 b Exempt foreign organizations - tax withheld at source c Tax paid with application for extension of time to file (Form 8868) d Backup withholding erroneously withheld 7 Total credits and payments. Add limes 6a through 60 8 Enter any penalty for underpayment of estimated tax. Check here if Form 2220 is attached 9 Tax due. If the total of lines S and 8 is more than line 7, enter amount owed 10 Overpayment. If time 7 is more than the total of lines 5 and 8, enter the amount ower in 10 object. The filed to 2012 estimated tax. ■ 21,873. Refunded 11 0. Part VII-A 1 Statements Regarding Activities 11 During the tax year, did the foundation attempt 10 influence any national, state, or local legislation or did it participate or intervene in any political campagin? 12 During the tax year, did the foundation attempt 10 influence any national, state, or local legislation or did it participate or intervene in any political campagin? 10 During the tax year, did the foundation attempt 10 influence any national, state, or local legislation or did it participate or intervene in any political campagin? 10 During the tax year, did the foundation attempt 10 influence any national, state, or local legislation or did it participate or intervene in any obtained campagin? 11 Enter the amount of iran yield the foundation attempt 10 influence any national, state, or local legislation or did it participate or intervene in any obtained ampagin? 12 During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any obtained ampagin? 11 Enter the amount of iran yield tax on political extension or intervene in any obtained or intervene in any obtained any | _ | · · · · · · · · · · · · · · · · · · · | · · · - · · · · · · · · · · · · · · · · | 1,2 | 17. |
| b Exempt foreign organizations - tax withheld at source c Tax paid with application for extension of time to file (Form 8868) d Backup withholding erroneously withheld 7 Total credits and payments. Add lines 6a through 6d 8 Enter any peasiby for underspoyment of estimated tax. Check here | | | | | |
| E Tax paid with application for extension of time to file (Form 8868) d Backup withholding erroneously withhold 7 | | | | | |
| d Backup withholding proneously withheld 7 Total credits and payments. Add lines 6 althrough 6d 8 Enter any penalty for underpayment of estimated tax. Check here ☐ if Form 2220 is attached 9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed 9 10 Verspayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid 11 Enter the amount of line 10 to be: Credited to 2012 estimated tax ▶ 21, 873. Refunded ▶ 11 0. Part VII-A Statements Regarding Activities 12 During the tax year, dut the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign? 15 Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for definition)? 16 In X 17 Statements Regarding Activities 18 Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for definition)? 16 In X 17 Statements Flegarding Activities 19 Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for definition)? 19 Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for definition)? 10 Did it spend more than \$100 during the year (either directly) for political expenditure and copies of any materials published or distributed by the foundation in connection with the activities. 10 Did in the foundation file Form 1120-P0L for this year? 10 Did the foundation file Form 1120-P0L for this year? 11 Did the foundation file Form 1120-P0L for this year? 12 Did the foundation made any changes, not previously been reported to the IRS? 13 Did in the foundation made any changes, not previously reported to the IRS? 14 State 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 declared desca | | | | | |
| 7 Total credits and payments. Add lines 6a through 6d 8 Enter any penalty for underpayment of estimated tax. Check here | | | | | |
| 8 Enter any penalty for underpayment of estimated tax. Check here ☐ if Form 2220 is attached ☐ 10 Verpayment. If line 7 is more than line 7, enter amount owed ☐ 10 Verpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid ☐ 10 21,873. It Enter the amount of line 10 to be: Credited to 2012 estimated tax ► 21,873. Refunded ► 11 0.2,873. It Enter the amount of line 10 to be: Credited to 2012 estimated tax ► 21,873. Refunded ► 11 0.2,873. It Enter the amount of line 10 to be: Credited to 2012 estimated tax ► 21,873. Refunded ► 11 0.2,873. It Enter the amount of line 10 to be: Credited to 2012 estimated tax ► 21,873. Refunded ► 11 0.2,873. It Enter the amount of line 10 to be: Credited to 2012 estimated tax ► 21,873. Refunded ► 11 0.2,873. It Is 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. 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. If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities. If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities. If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities. If the answer is "Yes" to an intervention of the activities. If the reimbursement (1 any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ► \$ 0. • 2 | | | 2 | 3,0 | 90. |
| 10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid 11 Enter the amount of line 10 to be: Credited to 2012 estimated tax ▶ 21,873. Refunded ▶ 11 0. Part VII-A Statements 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? 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? 1b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for definition)? 1b Line A X 1b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for definition)? 1b Line A X 1c Did the foundation in a form 1120-POL for the year? 1c Did the foundation file Form 1120-POL for the year? 1c Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: 1c O . (2) On foundation managers. ▶ \$ O . 2 Has the foundation. ▶ \$ O . (2) On foundation managers. ▶ \$ O . 2 Has the foundation in engaged in any activities that have not previously been reported to the IRS? 1 Yes, 1 Attach a detailed description of the activities. 3 Has the foundation managers, in the previously reported to the IRS, in its governing instrument, articles of incorporation, or bybws, or other similar instruments? If Yes, "attach a conformed copy of the changes 3 A X 4b Did the foundation have unreliated business gross income of \$1,000 or more during the year? 4b If Yes, has it filed a tax return on Form 990-T for this year? 5 Vas there a liquidation, termination, dissolution, or substantial contraction during the year? 6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: 8 by language in the governing instrument, or 8 by state legislation that effectively amends the g | 8 | Enter any penalty for underpayment of estimated tax. Check here if Form 2220 is attached 8 | | | |
| 11 Enter the amount of line 10 to be: Credited to 2012 estimated tax ▶ 21, 873 . Refunded ▶ 11 Part VII-A Statements 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? b 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. c Did the foundation file Form 1120-POL for this year? (1) On the foundation N S O. (2) On foundation managers. ▶ \$ O. e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ▶ \$ O. e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ▶ \$ O. e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ▶ \$ O. e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ▶ \$ O. e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ▶ \$ O. e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ▶ \$ O. e Enter the reimbursement (if any) paid by the foundation and the foundation fact shall be a charled description of the activities. 1 | 9 | Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed | | | |
| 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 campagin? 1a | 10 | | 2: | 1,8 | <u>73.</u> |
| 1a During the lax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campagin? b 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. c Did the foundation file Form 1120-PDL for this year? d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year. (1) On the foundation. ▶ \$ 0. 2() On foundation managers. ▶ \$ 0. e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ▶ \$ 0. 1 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. 3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes 3 X 4a Did the foundation have unrelated business gross income of \$1,000 or more during the year? 4b If "Yes," attach a detailed description of the inspection of \$1,000 or more during the year? 5 X 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: 9 By language in the governing instrument, or 9 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? 7 X If "Yes," complete Part II, col. (c), and Part XV. 8a Enter the states to which the foundation reports or with which it is registered (see instructions) CA b If the answer is "Yes" to line 7, has th | | | <u> </u> | | <u>0.</u> |
| any political campaign? b Ibil 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. c Did the foundation file Form 1120-PQL for this year? d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. ▶ \$ 0 . (2) On foundation managers. ▶ \$ 0 . e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ▶ \$ 0 . b 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. b If "Yes," attach a detailed description of the activities. b If "Yes," attach a detailed business gross income of \$1,000 or more during the year? 4a Did the foundation have unrelated business gross income of \$1,000 or more during the year? b 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: b By language in the governing instrument? If "Yes," complete Part II, col. (c), and Part XV. 8a Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ CA b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation 9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942()(3) or 4942()(5) for calendar year 2011 or the taxable year beginning in 2011 (see instructions for Part XIV? If "Yes," complete Part XIV 9 X 10 Did any persons become substantial contributors during the lax year? "" "" "" "" | | | | V | NI- |
| b 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. c Did the foundation file Form 1120-POL for this year? d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. ▶ \$ 0. (2) On foundation managers. ▶ \$ 0. e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ▶ \$ 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. 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 4a Did the foundation have unrelated business gross income of \$1,000 or more during the year? 5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? 6 Was there a liquidation, termination, dissolution, or substantial contraction during the year? 7 Was attach the statement required by General Instruction 7. 8 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: 9 By state legislation that effectively amends the governing instrument, or 9 By state legislation that effectively amends the governing instrument, or 10 Tyes," complete Part II, col. (c), and Part XV. 11 If "Yes," complete Part II, col. (c), and Part XV. 12 If "Yes," complete Part II, col. (c), and Part XV. 13 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 ex | 1a | | ├ | res | |
| 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? (1) On the foundation. ▶ \$ 0 | | | | | |
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| | 10 | DID diff persons decome substitution continuators outling the tax year? If "Yes," attach a schedule listing their names and addresses | | .PF | |

| Part VII-A Statements Regarding Activities (continued) I A ray time during be year, did the foundation, directly or an acontrolled entity within the meaning of section 512(b) (13)? If Yes, attach schedule (see instructions) I A 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 estructions) I D dire foundation comely with the public inspection requirements for as annual returns and exemption application? Webstella address > N/A Tole books are in case of year. NETHUR ROCK Tolephone no. > 415/981-3921 Section 497(9/11) nonexempt charactella trusts single form 390-PF in less of Fram 1041 - Chieck here and return the amount of trave-exempt interest received or accreded during the read accreded trust the read and return the amount of trave-exempt interest received or accreded during the read and return the amount of trave-exempt interest received or accreded during the read accreded trust the read and return the amount of trave-exempt interest received or accreded during the read accreded trust the read accredit to (or accept it from) a decautable devicer? (3) Furnish goods, services, or facilities to (or accept them from) a dequalified person? (4) Faye compensation to, or pay or remindures the expenses of, a dequalified person? (5) Agree to pay account to a dequalified person? (6) Agree to pay ac | _ | 990-PF (2011) THE ROCK FOUNDATION | 94-1671 | <u>318</u> | | Page 5 |
|---|----|--|---------------------|-------------|------------|-------------------|
| section 12(D)(13)? If Yes, attach schedule (see instructions) 1. Od the foundation make a distribution to a dinor advised fund over which the foundation or a disqualified person had advisory privileges? 1. The books are in care of Parthur Rock 1. Dough the foundation comply with the public inspection requirements for its annual returns and exemption application? 1. The books are in care of Parthur Rock 1. Coated at Pools are in care of Parthur Rock 1. The books are in care of Parthur Rock 1. The books are in care of Parthur Rock 1. Section 4917(a)(1) nonexempt charable trusts filing from 990.FF in lieu of Form 141- Check here and earlier the amound of tax-exempt interest received or accured during the year 1. All and spring defined any rear 2011, do 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 10 F 90-22.1. If Yes, enter the name of the foreign country 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. 1. File Form 4720 If any Item is checked in the "Yes" column, unless an exception applies. 1. File Form 4720 If any Item is checked in the "Yes" column, unless an exception applies. 1. File Form 4720 If any Item is checked in the "Yes" column, unless an exception applies. 1. File Form 4720 If any Item is checked in the "Yes" column, unless an exception applies. 1. File Form 4720 If any Item is checked in the "Yes" column, unless an exception applies. 1. File Form 4720 If any Item is checked in the "Yes" column, unless an exception applies. 1. File Form 4720 If any Item is checked in the "Yes" column, unless and exception applies. 1. File Form 4720 If any Item is checked in the "Yes" column of the "Yes IX No I | Pa | irt VII-A Statements Regarding Activities (continued) | | | | |
| 12 Did the foundation make a distribution to a disord fund over which the foundation or a disqualified person had advisory privileges? 13 Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Webstes address № N/A This books are in care of ▶ ARTHUR ROCK Located at ₱ N/A This books are in care of ₱ NARHTIME PLAZA, STE. 1220, SAN FRANCISCO, CA 2014 ₱ ₱ ₱ ₱ ₱ ₱ ₱ ₱ ₱ ₱ ₱ ₱ ₱ ₱ ₱ ₱ ₱ ₱ ₱ | 11 | | | 11 | | x |
| If Yes, attach statement (see instructions) 12 | 12 | | nrivilenes? | | | |
| 13 X | '- | | , it ilogos | 12 | | Y |
| Webste address ► M/A If The books are in care of ► ARTHUR ROCK Located at ► ONE MARITIME PLAZA, STE. 12.20, SAN FRANCISCO, CA IPP-4 ▶94111 Section 497(a)(1) noneampt chartrolle frusts tilhing Form 990-PF in lieu of Form 1041 - Check here and enter the amount of tax-cempts interest received or accrued during the year and enter the amount of tax-cempts interest received or accrued during the year 16. All any time during calendar year 2011, do the foundation have an interest in or a signiture or other authonity over a bank, securities, or other financial account in a 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. 1 During the year do the foundation (either directly or indirectly): (1) Engage in the sale or exchange, or leasing of property with a disqualified person? (2) Borrow money from, lend money for, or therewes extend credit to (or accept it from) a disqualified person? (3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? (4) Pay compensation to, or pay or remitives the expenses of, a disqualified person? (5) Transfer any income or assets to a disqualified person? (6) Agree to pay money or property to a government official? (Exception, Check 'No' of the foundation agreed to make a grant for to rise or the make any of either are variable for the behand to rise of a disqualified person? (6) Agree to pay money or property to a government service, if terminating within 90 days.) If any answers existy of 14(1)-6(4) did not per deast fail to qualify under the exceptions described in Regulations section 53.494 1(6)-3 or in a current notice regarding disseter assistance (see instructions)? Organizations relying on a current notice regarding disseter assistance (see instructions)? Organizations relying on a current notice regarding disseter assistance (see instructions)? If we see the foundation engage in a prior year in any | 12 | | | | x | |
| 14 The books are in care of ARTHUR ROCK Telephone no 415/981-3921 | 10 | | ' | 10_ | 21 | |
| Located at NONE MARITTIME PLAZA, STE. 1220, SAN PRANCISCO, CA ZIP+4 94111 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in Neu of Form 1041 - Chock here and enter the amount of tax-exempt interest received or accrued during the year 16. All any time during calendary year 2011, did the foundation have an interest in or a signature or other authority over a bank, some or other financial accounts 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. 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. 1 Juming the year of the fluoridation (either directly or indirectly): (1) Engage in the sale or exchange, or leasing of property with a disqualified person? (2) Borrow money from, lend money from, continues the expenses of, a disqualified person? (3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? (4) Pay compension to, or pay or reimburs the expenses of, a disqualified person? (5) Transfer any income or assets to a disqualified person (or make any of entire available for the benefit or use of a disqualified person (or make any of entire available for the benefit or use of a disqualified person (or make any of entire available for the benefit or use of a disqualified person (or make any of entire available for the benefit or use of a disqualified person (or make any of entire available for the person of a seet of staff (5), did any of the acts flat to qualify under the exceptions described in Regulations section 53.49 (1)-3 or in a current notice regarding disaster assestance (see instructions)? (6) Agrie to pay money or property to a government official (Exception, Check No. If the foundation agries of a significant or or to employ the official for a period after termination of government service, if termination with 90 days.) 2 Taxes | 14 | | ►115/98 | 1_3 | 921 | |
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| 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. Part VII-B Statements Regarding Activities for Whitch Form 4720 May Be Required File Form 4720 if any item is checked in the "Yes" column, unless an exception applies. 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? (2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? (3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? (4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? (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? (6) Agree to pay money or property to a government official? (Exception, Check 'No' if the floundation agreed to make a grant to or to employ the official for a period after termination of government service, it terminating within 90 days.) 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(6)-3 or in a current notice regarding disaster assistance (see instructions)? Organizations relying on a current notice regarding disaster assistance (see instructions)? Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(1)(3) or 4942(1)(5): A the time of tax year? Surface the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2011? If 'Yes, I'x ho I'y as a see an instruction or disqualified persons after May 26, 1965; (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4942(3)(7) to dispose of holdi | 16 | | | 14 | | No |
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| for the benefit or use of a disqualified person)? (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.) 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 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? 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(i)(3) or 4942(i)(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 Is the years with 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.) If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. If Yes, "list the years here eave years listed in 2a, list the years here. If Yes, "list the years here envertige to the first day of the axis as a result of (1) any purchase by the foundation or disqualified persons of the diffusion of the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. If Yes, "list he year short here year any time during the year any amount in a manner t | | (4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? | es X 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.) 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 (see instructions)? Organizations relying on a current notice regarding disaster assistance (see instructions)? N/A Organizations relying on a current notice regarding disaster assistance (see instructions)? N/A Taxes on failure to distribute income 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? 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 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 If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. A Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? A Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? A Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time dur | | (5) Transfer any income or assets to a disqualified person (or make any of either available | | | | |
| 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.) 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 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? 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 \[\] 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.) If "Yes," list the years \[\] c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. If yes, "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.) A Did the foundation invest during the year any amount in a manner that would peopardize its charitable pur | | for the benefit or use of a disqualified person)? | es X No | | | |
| termination of government service, if terminating within 90 days.) 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)? 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? 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 Yes No If "Yes," list the years Yes No If Yes," list the year's undistributed income? (If applying 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.) c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. D Yes X 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 Mr A A Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? b Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purpose that had not been removed from jeopa | | (6) Agree to pay money or property to a government official? (Exception. Check "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 (see instructions)? 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? Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(i)(3) or 4942(i)(5)): 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 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.) If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. Are during the year? If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. If the provisions of section 4943(a)(2) are being applied to any of the years listed in 2a, list the years here. If the provisions of section 4943(a)(b) to dispose of holdings are 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 | | if the foundation agreed to make a grant to or to employ the official for a period after | | | | |
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| Organizations relying on a current notice regarding disaster assistance check here c Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2011? 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? 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.) c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. Definity of the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? Definity of 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.) Al Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? 4 a 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? | b | If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations | | | | |
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| before the first day of the tax year beginning in 2011? 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 \ | | Organizations relying on a current notice regarding disaster assistance check here | ightharpoons | | | |
| 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 \ | 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 | | | | |
| 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 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.) If "Yes," did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? 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 Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? 4 | | before the first day of the tax year beginning in 2011? | | 1c | | <u>X</u> |
| 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 , | 2 | Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation | | | | |
| before 2011? If "Yes," list the years , | | defined in section 4942(j)(3) or 4942(j)(5)): | | | | |
| If "Yes," list the years \ | а | | | | | |
| 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.) c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. | | before 2011? | es 🗶 No | | | |
| 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.) c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. | | | | | | |
| statement - see instructions.) c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. | b | Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect | ıt | | | |
| c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. | | valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attack | | | ; | |
| Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? Yes X No | | , | N/A | 2b | | |
| 3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? 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 Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? 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 | C | If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. | | | | |
| during the year? 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 Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? 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? Ves X No Yes X No A 25 A 26 A 37 A 36 A 37 A 36 A 37 A 37 A 38 A | | > | | | ŀ | |
| 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 Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? 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 | 3a | | | | | |
| 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 Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? 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 | | | - | | | |
| 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.) 1 | b | | | | | |
| Form 4720, to determine if the foundation had excess business holdings in 2011.) 1 | | | | | | |
| 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 | | | | | | |
| 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 | | • | N/A | 3b | | |
| had not been removed from jeopardy before the first day of the tax year beginning in 2011? 4b X | | | 1 | 4a | | <u>X</u> |
| · · · · · · · · · · · · · · · · · · · | b | | e that | | | |
| | | nad not been removed from jeopardy before the first day of the tax year beginning in 2011? | | | | |

| orm 990-PF (2011) THE ROCK FOUNDATION | <u> </u> | | <u>94-16713</u> | <u> 18 Page 6</u> |
|--|---|-----------------------------|--|-------------------------------|
| Part VII-B Statements Regarding Activities for Which I | Form 4720 May Be F | Required (contin | ued) | |
| 5a During the year did the foundation pay or incur any amount to: | | | | |
| (1) Carry on propaganda, or otherwise attempt to influence legislation (section | 1 4945(e))? | Ye | es X No | |
| (2) Influence the outcome of any specific public election (see section 4955); o | r to carry on, directly or indire | ectly, | | |
| any voter registration drive? | | Ye | es X No | |
| (3) Provide a grant to an individual for travel, study, or other similar purposes | ? | Y6 | es X No | 1 1 |
| (4) Provide a grant to an organization other than a charitable, etc., organizatio | | | | |
| 509(a)(1), (2), or (3), or section 4940(d)(2)? | | | es X No | i I |
| (5) Provide for any purpose other than religious, charitable, scientific, literary, | or educational purposes, or f | for | | |
| the prevention of cruelty to children or animals? | , , , | | es X No | |
| b If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify und | der the exceptions described i | n Regulations | | |
| section 53.4945 or in a current notice regarding disaster assistance (see instru | | J | N/A | 5b |
| Organizations relying on a current notice regarding disaster assistance check h | • | | ▶ | |
| c If the answer is "Yes" to question 5a(4), does the foundation claim exemption fi | | ined | _ | |
| expenditure responsibility for the grant? | | //A □ Y€ | es 🔲 No | |
| If "Yes," attach the statement required by Regulations section 53 494 | | ., | | |
| 6a Did the foundation, during the year, receive any funds, directly or indirectly, to | | | | |
| a personal benefit contract? | pay promiums on | | s X No | |
| b Did the foundation, during the year, pay premiums, directly or indirectly, on a p | serconal honefit contract? | ٠٠ لـــــا | | 6b X |
| If "Yes" to 6b, file Form 8870. | cisonal benefit contract. | | | 22 |
| 7a At any time during the tax year, was the foundation a party to a prohibited tax s | halter transaction? | | es X No | |
| b If "Yes," did the foundation receive any proceeds or have any net income attribu | | | | 7b |
| Information About Officers Directors Truck | | nagers. Highly | | |
| Part VIII Paid Employees, and Contractors | ooo, roundation ma | inagoro, riigini | , | |
| 1 List all officers, directors, trustees, foundation managers and their | compensation. | | | |
| | (b) Title, and average hours per week devoted | (c) Compensation | (d) Contributions to employee benefit plans | (e) Expense account, other |
| (a) Name and address | hours per week devoted to position | (If not paid, enter -0-) | and deferred compensation | account, other allowances |
| ARTHUR ROCK | PRES/DIRECT. | | | |
| ONE MARITIME PLAZA, #1220 | | | | |
| SAN FRANCISCO, CA 94111 | 1.00 | 0. | 0. | 0. |
| TONI REMBE ROCK | CFO/DIR/SEC | | | |
| ONE MARITIME PLAZA, #1220 | 010, 221, 320 | İ | | |
| SAN FRANCISCO, CA 94111 | 0.50 | 0. | 0. | 0. |
| | | | | |
| | | | | |
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| | | | | |
| | | | | |
| | | | | |
| 2 Compensation of five highest-paid employees (other than those inc | luded on line 1). If none, | enter "NONE." | | |
| (a) Name and address of each amplayee and more than \$50,000 | (b) Title, and average | (-) Componentian | (d) Contributions to employee benefit plans | (e) Expense account, other |
| (a) Name and address of each employee paid more than \$50,000 | hours per week devoted to position | (c) Compensation | and deferred compensation | allowances |
| NONE | | | | |
| | | | | |
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| |] | | | |
| | | | | |
| | 1 | | | |
| | | | | |
| | 1 | | | |
| | | | | |
| | 1 | | | |
| Total number of other employees paid over \$50,000 | | | • | 0 |
| | | | Form ! | 990-PF (2011) |
| | | | 1 0.111 | (2011) |

▶

Total. Add lines 1 through 3

773,801.

962,463.

569,437.

Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment

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

Form **990-PF** (2011)

868

income. Enter 1% of Part I, line 27b

Adjusted qualifying distributions. Subtract line 5 from line 4

4940(e) reduction of tax in those years.

Part XIII Undistributed Income (see instructions)

| | (a) Corpus | (b) Years prior to 2010 | (c) 2010 | (d) 2011 |
|--|---------------|----------------------------|-------------|----------------------|
| 1 Distributable amount for 2011 from Part XI, | , | - | | |
| line 7 | | | - | 1,868,434. |
| 2 Undistributed income, if any, as of the end of 2011 | | | **** | |
| a Enter amount for 2010 only | | | 1,706,271. | |
| b Total for prior years: | | | | |
| | | 0. | | |
| 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 | 0. | | | |
| 4 Qualifying distributions for 2011 from | | | | |
| Part XII, line 4: ► \$ 1,742,830. | | | | |
| a Applied to 2010, but not more than line 2a | | | 1,706,271. | |
| b Applied to undistributed income of prior | | | | |
| years (Election required - see instructions) | | 0. | | |
| c Treated as distributions out of corpus | | | | |
| (Election required - see instructions) | 0. | | | 26 550 |
| d Applied to 2011 distributable amount | | | | 36,559. |
| e Remaining amount distributed out of corpus | 0. | | | |
| 5 Excess distributions carryover applied to 2011 (If an amount appears in column (d), the same amount must be shown in column (a)) | 0. | | | 0. |
| 6 Enter the net total of each column as indicated below: | - | | | - |
| a Corpus Add lines 3f, 4c, and 4e Subtract line 5 | 0. | | | |
| b Prior years' undistributed income. Subtract | | | | |
| line 4b from line 2b | | 0. | | |
| c Enter the amount of prior years' undistributed income for which a notice of | | | | |
| deficiency has been issued, or on which the section 4942(a) tax has been previously assessed | | 0. | | |
| d Subtract line 6c from line 6b. Taxable | | | | . |
| amount - see instructions | | 0. | | |
| e Undistributed income for 2010. Subtract line | | | | |
| 4a from line 2a. Taxable amount - see instr. | | | 0. | |
| f Undistributed income for 2011. Subtract | | | | |
| lines 4d and 5 from line 1. This amount must | | | | |
| be distributed in 2012 | | | | 1,831,875. |
| 7 Amounts treated as distributions out of | | | | |
| corpus to satisfy requirements imposed by | | | | |
| section 170(b)(1)(F) or 4942(g)(3) | 0. | | | |
| 8 Excess distributions carryover from 2006 | _ | | | |
| not applied on line 5 or line 7 | 0. | | | |
| 9 Excess distributions carryover to 2012. | | | | |
| Subtract lines 7 and 8 from line 6a | 0. | | | |
| 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 | | | | Form 000 - DE (2011) |

| Part XIV Private Operating Fo | oundations (see in | | II-A. guestion 9) | N/A | -16/1318 Faye II |
|---|-------------------------|---|---|--------------------------|--------------------------|
| 1 a If the foundation has received a ruling or | | | ,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,, | N/A | |
| foundation, and the ruling is effective for | | | | | |
| b Check box to indicate whether the foundation | | | in section | 4942(J)(3) or | 4942(j)(5) |
| 2 a Enter the lesser of the adjusted net | Tax year | I de la la la la la la la la la la la la la | Prior 3 years | | <u> 4542())(5)</u> |
| income from Part I or the minimum | (a) 2011 | (b) 2010 | (c) 2009 | (d) 2008 | (e) Total |
| investment return from Part X for | (=/ = - · · · | (5) 25 15 | (4) 2000 | (4) 2000 | (0) 1000 |
| each year listed | | | | | |
| b 85% of line 2a | | | 1 | | |
| 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 | | | | | |
| ` ' | | 1 | | | - |
| (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 | | | | | İ |
| an exempt organization | | | | | |
| (4) Gross investment income | | | if the constant | | |
| Part XV Supplementary Information at any time during the | | | if the foundation | on nad \$5,000 o | r more in assets |
| | | i detions.j | | | |
| Information Regarding Foundation List any managers of the foundation who | - | than Oil/ of the total cor | tributions reserved by | the foundation before t | ha alasa of any toy |
| year (but only if they have contributed m | | | ilibulions received by | the foundation before to | HE CIUSE OF ATTY LAX |
| ARTHUR ROCK | , , | , , , , , | | | |
| b List any managers of the foundation who | own 10% or more of th | ne stock of a corporation | (or an equally large of | ortion of the ownership | of a partnership or |
| other entity) of which the foundation has | | | tar are advant rendo be | o oop | a. a parmoramp or |
| NONE | | | | | |
| 2 Information Regarding Contribution | on, Grant, Gift, Loan | , Scholarship, etc., F | rograms: | | |
| Check here ► X if the foundation or | | | | es not accept unsolicite | d requests for funds. If |
| the foundation makes gifts, grants, etc. (| | | | | |
| a The name, address, and telephone numb | er of the person to who | m applications should b | e addressed: | | |
| | | | | | |
| b The form in which applications should be | e submitted and informa | tion and materials they s | hould include: | | |
| c Any submission deadlines: | | | | | |
| | | | | | |
| d Any restrictions or limitations on awards | , such as by geographic | al areas, charitable fields | , kinds of institutions, | or other factors: | |
| | | | | | |

123601 12-02-11

Form **990-PF** (2011)

| | · · · | <u> </u> | | |
|--|--|----------------------|--|------------|
| 3 Grants and Contributions Paid During the Y | ear or Approved for Future | Payment | | |
| Recipient | If recipient is an individual, show any relationship to any foundation manager or substantial contributor | Foundation status of | Purpose of grant or contribution | Amount |
| Name and address (home or business) | or substantial contributor | recipient | <u>. </u> | |
| a Paid during the year | | | | |
| | | | | |
| | | | | |
| | | | | |
| SEE SCHEDULE A-1 | NONE | PUBLIC | | |
| BEE SCHEDURE A-1 | HOME | CODETC | | 1,715,595. |
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| | | | | |
| Total | | | ▶ 3a | 1,715,595. |
| b Approved for future payment | | | | |
| | | | | |
| | | | | |
| NONE | | | | |
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| Total | <u> </u> | J | > 3b | 0. |

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

| Enter gross amounts unless otherwise indicated. | Unrelated | business income | | ed by section 512, 513, or 514 | (e) |
|---|--|------------------------|---------------|--------------------------------|---------------------------|
| Enter groot amounte amous strict most maisates. | (a) Business | (b) | (c) Exclu- | (d) | Related or exempt |
| 1 Program service revenue: | Business code | Amount | sion | Amount | function income |
| - | Code | | | | |
| å | | <u>-</u> - | | | |
| b | - | | | | |
| C | <u> </u> | | | | |
| d | | | | | |
| e | | | 1 | | |
| f | | | | | |
| g Fees and contracts from government agencies | | | | | |
| 2 Membership dues and assessments | | | ļl | | |
| 3 Interest on savings and temporary cash | | | 1 1 | | |
| investments | | | 14 | 459. | |
| 4 Dividends and interest from securities | | | 14 | 71,298. | |
| 5 Net rental income or (loss) from real estate: | | | | <u> </u> | |
| a Debt-financed property | | | | | |
| b Not debt-financed property | | | | | |
| 6 Net rental income or (loss) from personal | | | | | |
| , , , | | | | | |
| property 7. Other representations and | | | 14 | E 570 | |
| 7 Other investment income | | | 14 | 5,570. | |
| 8 Gain or (loss) from sales of assets other | | | | -20 200 | |
| than inventory | | | 18 | <38,322. | > |
| 9 Net income or (loss) from special events | | | \vdash | | |
| 10 Gross profit or (loss) from sales of inventory | | | \vdash | | |
| 11 Other revenue: | | | | | |
| a MEADOWBROOK-ORD LOSS | 531390 | <5,335. | | | |
| b OCM OPP VIORD | 531390 | 305. | | | |
| c OCM OPP VI (DE)RENTAL | 531390 | 176. | | | |
| d | | | | | |
| e | | | | | |
| 12 Subtotal. Add columns (b), (d), and (e) | | <4,854. | | 39,005. | 0. |
| 13 Total Add line 12, columns (b), (d), and (e) | | | | 13 | |
| (See worksheet in line 13 instructions to verify calculations.) | | | | | • |
| Part XVI-B Relationship of Activities | to the Asses | mplichment of Ex | omnt | Dumococ | |
| rait XVI-D Relationship of Activities | to the Acco | | tempt | ruiposes | |
| Line No. Explain below how each activity for which inco | | | contribu | ited importantly to the accor | nplishment of |
| the foundation's exempt purposes (other than | by providing fun | ds for such purposes). | | | |
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| 123621 12-02-11 | | | | | Form 990-PF (2011) |

| 2a | Is the foundation directly or indirectly affiliated with, or related to, on | | zations described | |
|-----------|--|--------------------------|-----------------------|---|
| | in section 501(c) of the Code (other than section 501(c)(3)) or in sec | ction 527? | | Yes X No |
| b | If "Yes," complete the following schedule. | | | |
| | (a) Name of organization | (b) Type of organization | (c) Description of re | lationship |
| | N/A | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| Się He | Under penalties of perjury, I declare that I have examined this return, include and belief, it is true, correctfland complete beclaration of preparer (other the penalties). | | | May the IRS discuss this return with the preparer shown below (see instr)? X Yes No |

| | Sign | ature of officer or trustee | Date ' | Title | | L |
|------------------------|------|--|---------------------------------------|---------------|-----------|--------------------------------|
| Paid Prepa Use C | | Print/Type preparer's name PAMELA BURNS Firm's name ► HOWSON & | Preparer's signature SIMON LLP | Date 11 (8(17 | <u> </u> | PTIN P00117843 4-3054312 |
| | | | ACIO VLY RD., #310 CREEK, CA 94596 | | Phone no9 | |
| | | | • | · | | 5 000 DE (0044) |

Form **990-PF** (2011)

123622

| Part IV Capital Gains and Los | ses for Tax on Investment Income | | | | |
|---|--|---|--|--|----------------------------------|
| (a) List and 2-story bri | describe the kind(s) of property sold ck warehouse; or common stock, 20 | , e.g., real estate, 0 shs. MLC Co. | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
| 1a 171.32 SHR GOLI | OMAN SACHS SHORT | DURATION GOVT FU | ND P | 10/29/10 | 02/09/11 |
| | | HORT DURATION GOV | | VARIOUS | 02/09/11 |
| | <u>OK REAL ESTATE FU</u> | | P | | |
| | OK REAL ESTATE FU | JND LLC - 1231 LO | | | |
| e FROM OCM OPPORT | | - . | P | | |
| f FROM OCM OPPORT | | 1221 1000 | P | | |
| g FROM OCM OPPORT | | - 1231 LUSS | P P | | |
| CAPITAL GAINS | | | F | _ | |
| - CATTIAL CATRO | DI VIDBINDO | | | | |
| k | | | | | |
| I | | | | | _ |
| m | | | | | |
| п | | | | | |
| 0 | | | | | |
| (e) Gross sales price | (f) Depreciation allowed (or allowable) | (g) Cost or other basis plus expense of sale | | Gain or (loss) lus (f) minus (g) | |
| a 1,746. | | 1,792. | | | <46.> |
| b 1,998,254. | | 2,047,324. | | | <49,070.> |
| c 6,156. | | | | | 6,156. |
| d | | 10,435. | | | <10,435.> |
| е | | 14,564. | | | <14,564.> |
| f 20. | | | | | 20. |
| 9 | | 15. | | | <u><15.</u> > |
| h 15,758. 13,874. | | | | · · · · | 15,758. |
| 13,8/4. | | | | | 13,874. |
| k | | | | | |
| | | | | | |
| m | | | | | |
| n | | | | _ | |
| 0 | | | | | |
| Complete only for assets showing | g gain in column (h) and owned by th | ne foundation on 12/31/69 | | ses (from col. (h)) | |
| (i) F.M.V. as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of col. (ı) over col. (ı), ıf any | Gains (excess of but n | of col. (h) gain over ot less than "-0-") | col. (k), |
| a | | | | | <46.> |
| b | | | | | <49,070.> |
| C | | | . | | 6,156. |
| <u>d</u> | | | | | <10,435.> |
| <u>e</u> | | | | | <14,564.> |
| f | | | | | 20. <15.> |
| 9h | | | | - | 15,758. |
| 1 | | | | | 13,874. |
| | | | | | 20,0120 |
| k | | | | | |
| | | | | | |
| m | | | | | |
| n | | | | | |
| 0 | | | | | |
| 2 Capital gain net income or (net cap | oital loss) { If gain, also enter if (loss), enter "-0- | in Part I, line 7 In Part I, line 7 | 2 | | <38,322.> |
| 3—Net short-term capital gain or (loss If gain, also enter in Part I, line 8, or | s) as defined in sections 1222(5) and | . 1 | | | <u> </u> |
| If (loss), enter "-0-" in Part I, line 8 | | J , | ₃ | N/A | |

| FORM 990-PF INTEREST ON SAVINGS AN | ND TEMPORARY CA | ASH IN | VESTMENTS | STATEMENT | |
|---|---|--|--|--------------------------------|------------|
| SOURCE | | | | AMOUNT | |
| NORTHERN TRUST NORTHERN TRUST (CA CHECKING) | | | _ | | 26. 79. |
| NORTHERN TRUST (NORAD) | | | _ | | 54. |
| TOTAL TO FORM 990-PF, PART I, LINE | 3, COLUMN A | | = | 4 | 59. |
| FORM 990-PF DIVIDENDS AND | INTEREST FROM | SECUR | ITIES | STATEMENT | 2 |
| SOURCE | GROSS AMOUNT | | TAL GAINS VIDENDS | COLUMN (A AMOUNT |) |
| MEADOWBROOK REAL ESTATE FUND LLC NORTHERN TRUST OCM OPPORTUNITIES FUND VI AIF | 4,379. 57,428. | | 13,874. | 4,3 43,5 | |
| (DELAWARE), L.P. OCM OPPORTUNITIES FUND VI, L.P. | 53. 23,312. | | 0. 0. | 23,3 | 53. 12. |
| | | | | | |
| TOTAL TO FM 990-PF, PART I, LN 4 | 85,172. | | 13,874. | 71,2 | 98. |
| = | 85,172. THER INCOME | | 13,874. | 71,2 | 98. |
| FORM 990-PF O | | | (B) ET INVEST- | | 3 D |
| FORM 990-PF OT DESCRIPTION FROM MEADOWBROOK RE FUND - OTHER | THER INCOME (A) REVENUE PER BOOKS | | (B) ET INVEST- | STATEMENT (C) ADJUSTE NET INCO | 3 D |
| FORM 990-PF OT DESCRIPTION FROM MEADOWBROOK RE FUND - OTHER FROM MEADOWBROOK RE FUND - RENTAL LOSS | THER INCOME (A) REVENUE PER BOOKS | 5 M | (B) ET INVEST- ENT INCOME | C) ADJUSTE NET INCO | 3 D |
| FORM 990-PF DESCRIPTION FROM MEADOWBROOK RE FUND - OTHER FROM MEADOWBROOK RE FUND - RENTAL LOSS FROM MEADOWBROOK RE FUND - OTHER INCOME | (A) REVENUE PER BOOKS | 5 <u>M</u> 209.> | (B) ET INVEST- ENT INCOME | C) ADJUSTE NET INCO | 3 D |
| FORM 990-PF DESCRIPTION FROM MEADOWBROOK RE FUND - OTHER FROM MEADOWBROOK RE FUND - RENTAL LOSS FROM MEADOWBROOK RE FUND - OTHER INCOME FROM MEADOWBROOK RE FUND - OTHER PORTFOLIO INCOME | (A) REVENUE PER BOOKS | 5 <u>M</u> 209.> 327.> | (B) ET INVEST- ENT INCOME <209. | C) ADJUSTE NET INCO | 3 D |
| FORM 990-PF DESCRIPTION FROM MEADOWBROOK RE FUND - OTHER FROM MEADOWBROOK RE FUND - RENTAL LOSS FROM MEADOWBROOK RE FUND - OTHER INCOME FROM MEADOWBROOK RE FUND - PORTFOLIO INCOME FROM OCM OPPORTUNITIES FUND VI, L.P OTHER INCOME | THER INCOME (A) REVENUE PER BOOKS <1, | 5 <u>M</u> 209.> 327.> | (B) ET INVEST- ENT INCOME <209. <1,327. | C) ADJUSTE NET INCO | 3 D |
| FORM 990-PF DESCRIPTION FROM MEADOWBROOK RE FUND - OTHER FROM MEADOWBROOK RE FUND - RENTAL LOSS FROM MEADOWBROOK RE FUND - OTHER INCOME FROM MEADOWBROOK RE FUND - PORTFOLIO INCOME FROM OCM OPPORTUNITIES FUND VI, L.P OTHER INCOME FROM OCM OPPORTUNITIES FUND VI AIF (DELAWARE), LP - RENTAL | THER INCOME (A) REVENUE PER BOOKS <1, | 5 M 209.> 327.> 769. 22. 948. | (B) ET INVEST- ENT INCOME <209. <1,327. 769. 22. 948. | (C) ADJUSTE NET INCO | 3 D |
| FORM 990-PF DESCRIPTION FROM MEADOWBROOK RE FUND - OTHER FROM MEADOWBROOK RE FUND - RENTAL LOSS FROM MEADOWBROOK RE FUND - OTHER INCOME FROM MEADOWBROOK RE FUND - PORTFOLIO INCOME FROM OCM OPPORTUNITIES FUND VI, L.P OTHER INCOME FROM OCM OPPORTUNITIES FUND VI AIF (DELAWARE), LP - RENTAL FROM MEADOWBROOK RE FUND - ORDINARY | THER INCOME (A) REVENUE PER BOOKS <1, | 5 M 209.> 327.> 769. 22. | (B) ET INVEST- ENT INCOME <209. <1,327. 769. 22. 948. | (C) ADJUSTE NET INCO | 3 D |
| = | THER INCOME (A) REVENUE PER BOOKS <1, | 5 M 209.> 327.> 769. 22. 948. | (B) ET INVEST- ENT INCOME <209. <1,327. 769. 22. 948. | CC) ADJUSTE NET INCOM > | 3 D |

| OCM OPP VIORD OCM OPP VI (DE)RENTAL TOTAL TO FORM 990-PF, PART I, | LINE 11 | 305. 176. 716. | 0. 0. 5,570. | |
|---|------------------------------|-----------------------------------|-------------------------------|-------------------------------|
| FORM 990-PF | ACCOUNTI | NG FEES | S' | TATEMENT 4 |
| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST- MENT INCOME | | (D) CHARITABLE PURPOSES |
| TAX PREPARATION FEES | 27,200. | 0. | | 27,200. |
| TO FORM 990-PF, PG 1, LN 16B | 27,200. | 0. | | 27,200. |
| FORM 990-PF | OTHER E | XPENSES | S | TATEMENT 5 |
| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST- MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
| INVESTMENT FEES - OCM OPPORTUNITIES FUND, L.P. FILING FEE EXPENSE | 9. 35. | 9. | | 0. 35. |
| OPPORTUNITIES FUND II, L.P. | 84. | 84. | | 0. |
| INVESTMENT EXPENSES - MEADOWBROOK RE FUND LLC | 3,820. | 3,820. | | 0. |
| OTHER EXPENSE - MEADOWBROOK RE FUND LLC | 9. | 0. | | 0. |
| INVESTMENT EXPENSE - NORTHERN TRUST | 2,536. | 2,536. | | 0. |
| INVESTMENT FEES - OCM OPPORTUNITIES FUND VI, L.P. INVESTMENT FEES - OCM | 9,199. | 9,199. | | 0. |
| OPPORTUNITIES FUND VI AIF (DELAWARE), L.P. | 379. | 379. | | 0. |
| INVESTMENT FEES - NORTHERN | | | | |

16,164.

16,120.

TO FORM 990-PF, PG 1, LN 23

35.

| FORM 990-PF C | CORPORATE STOCK | | STATEMENT 6 |
|---|--------------------------------|--|---|
| DESCRIPTION | | BOOK VALUE | FAIR MARKET VALUE |
| KINDER MORGAN MGMT LLC | | 183,055. | 827,444. |
| TOTAL TO FORM 990-PF, PART II, LI | NE 10B | 183,055. | 827,444. |
| FORM 990-PF OT | HER INVESTMENTS | | STATEMENT 7 |
| DESCRIPTION | VALUATION METHOD | BOOK VALUE | FAIR MARKET VALUE |
| OCM OPPORTUNITIES FUND, L.P. OMEGA OVERSEAS PARTNERS, LTD. OCM OPPORTUNITIES FUND II, L.P. MEADOWBROOK REAL ESTATE FUND LLC ISHARES TRUST S&P MIDCAP 400 ISHARES TRUST S&P SMALLCAP 600 OCM OPPORTUNITIES FUND VI, L.P. CONVEXITY CAPITAL OFFSHORE CLASS CONVEXITY CAPITAL OFFSHORE CLASS OCM OPPORTUNITIES FUND VI AIF (DELAWARE), LP GS SHORT DURATION GOV'T FUND DFA US TARGETED VALUE FUND TOTAL TO FORM 990-PF, PART II, LI | G COST COST COST COST | 4,024. 1,000,000. 787. 175,545. 556,842. 533,164. 524,145. 8,333,333. 6,666,667. 32,180. 1,117,272. 2,026,747. 20,970,706. | 76. 3,930,437. 295. 136,184. 645,830. 613,888. 589,202. 19,162,141. 9,954,519. 48,044. 1,098,375. 1,760,877. 37,939,868. |
| DESCRIPTION | BEGINNING OF YR BOOK VALUE | END OF YEAR BOOK VALUE | FAIR MARKET VALUE |
| ORGANIZATION/RESTRUCTURE COSTS DIVIDEND RECEIVABLENORTHERN TRUST | 24,396. 47. 1,037. | 24,396. 31. 1,037. | 0. 31. 0. |
| PREPAID STATE TAXES PREPAID FEDERAL TAXES | 4,680. | 4,680. | 0. |

Form 990-PF, Part XV, Line 3:
Grants and Contributions Paid During the Year

| Recipient Name and address | If recipient is an individual, show any relationship to any foundation manager of substantial | Foundation status of recipient | Purpose of grant or contribution | Amount |
|---|---|--------------------------------|-------------------------------------|-----------|
| | contributor | | | J |
| A.C.EAssociation of Community Employment Programs for the Homeless 598 Broadway, 7th Floor New York, NY 10012 | n/a | Public | Charitable | 500.00 |
| AMERICAN ACADEMY OF ARTS & SCIENCES 136 Irving Street Cambridge, MA 02138-1996 | n/a | Public | Charitable | 5,000.00 |
| AMERICAN BAR FOUNDATION 39842 Treasury Center Chicago, IL 60694 | n/a | Public | Charitable | 500.00 |
| AMERICAN CONSERVATORY THEATRE 30 Grant Avenue, 6th Floor San Francisco, CA 94108-5834 | n/a | Public | Charitable | 12,500.00 |
| AMERICAN HIKING SOCIETY 1422 Fenwick Lane Silver Spring, MD 20910 | n/a | Public | Charitable | 500.00 |
| AMERICAN HIMALAYAN FOUNDATION 909 Montgomery Street, Ste. 400 San Francisco, CA 94133 | n/a | Public | Charitable | 1,000.00 |
| AMERICAN JEWISH COMMITTEE 121 Steuart Street, Suite 405 San Francisco, CA 94015 | n/a | Public | Charitable | 1,000.00 |
| AMERICAN NONSMOKERS' RIGHTS FOUNDATION 2530 San Pablo Avenue, Suite J Berkeley, CA 94702 | n/a | Public | Charitable | 100.00 |
| AMERICANS FOR CAMPAIGN REFORM 5 Bicentennial Square Concord, NH 03301 | n/a | Public | Charitable | 4,000.00 |
| AMERICANS FOR THE ARTS 1000 Vermont Avenue NW, Fl. 6 Washington, DC 20005 | n/a | Public | Charitable | 1,000.00 |
| AMNESTY INTERNATIONAL 5 Penn Plaza New York, NY 10001 | n/a | Public | Charitable | 2,500.00 |
| ARCS FOUNDATION INC. NCC (Achievement Rewards for College Scientists) Presidio of S.F./P.O. Box 29405 San Francisco, CA 94129-0405 | n/a | Public | Charitable | 25,000.00 |
| ASIA SOCIETY OF NO. CALIFORNIA 500 Washington Street, Suite 350 San Francisco, CA 94111 | n/a | Public | Charitable | 500.00 |

Form 990-PF, Part XV, Line 3:
Grants and Contributions Paid During the Year

| Name and address | manager of | Foundation status | | |
|--|----------------------------|-------------------|-----------------|------------|
| | substantial contributor | of recipient | or contribution | Amount |
| ASIAN ART MUSEUM FOUNDATION 200 Larkin Street San Francisco, CA 94102 | n/a | Public | Charitable | 1,000.00 |
| ASIAN LAW CAUCUS-Korematsu Institute 939 Market Street, Suite 201 San Francisco, CA 94103 | n/a | Public | Charitable | 6,000.00 |
| ASPEN ART MUSEUM 590 North Mill Street Aspen, CO 81611 | n/a | Public | Charitable | 1,000.00 |
| ASPEN INSTITUTE-Society of Fellows 1000 N. Third St. Aspen, CO 81611 | n/a | Public | Charitable | 3,500.00 |
| ASPEN INSTITUTE'S BUS. & SOC. PROGRAM 1000 N. Third St. Aspen, CO 81611 | n/a | Public | Charitable | 5,000.00 |
| ASPEN MUSIC FESTIVAL & SCHOOL (Music Associates of Aspen) 2 Music School Road Aspen, CO 81611 | n/a | Public | Charitable | 1,000.00 |
| ASPEN VALLEY COMMUNITY FOUNDATION 110 E. Hallam Street, Suite 126 Aspen, CO 81611 | n/a | Public | Charitable | 10,000.00 |
| BANCROFT LIBRARY University of California Berkeley, CA 94720-6000 | n/a | Public | Charitable | 100.00 |
| BAR ASSOCIATION OF SAN FRANCISCO 301 Battery Street San Francisco, CA 94111 | n/a | Public | Charitable | 500.00 |
| BASIC FUND 268 Bush Street, #2717 San Francisco, CA 94104 | n/a | Public | Education | 350,000.00 |
| BAY AREA LEGAL AID 1735 Telegraph Avenue Oakland, CA 94612 | n/a | Public | Charitable | 3,000.00 |
| BAY AREA RIDGE TRAIL COUNCIL 1007 General Kennedy Ave., Suite 3 San Francisco, CA 94129-1405 | n/a | Public | Charitable | 500.00 |
| BAY CITIZEN 126 Post Street, 5th Floor San Francisco, CA 94108 | n/a | Public | Charitable | 50,000.00 |
| BERKELEY CHESS SCHOOL P.O. Box 10073 | n/a | Public | Charitable | 5,,00000_ |

Form 990-PF, Part XV, Line 3:
Grants and Contributions Paid During the Year

| Recipient Name and address | If recipient is an individual, show any relationship to any foundation manager of substantial contributor | Foundation status of recipient | Purpose of grant or contribution | Amount |
|---|---|--------------------------------|----------------------------------|------------|
| BIG BROTHERS BIG SISTERS OF THE BAY AREA 731 Market Street, 6th Floor San Francisco, CA 94103 | n/a | Public | Charitable | 1,000.00 |
| BOYS & GIRLS CLUBS OF OAKLAND P.O. Box 23203 Oakland, CA 94623 | n/a | Public | Charitable | 25,000.00 |
| BOYS & GIRLS CLUBS OF SAN FRANCISCO 55 Hawthorne, Suite 600 San Francisco, CA 94105 | n/a | Public | Charitable | 5,000.00 |
| BRADY CENTER TO PREVENT GUN VIOLENCE 1225 Eye St. NW, Suite 1100 Washington, DC 20005 | n/a | Public | Charitable | 500.00 |
| BREAKTHROUGH COLLABORATIVE 545 Sansome Street, Suite 700 San Francisco, CA 94111 | n/a | Public | Charitable | 5,000.00 |
| CALIFORNIA BAR FOUNDATION 180 Howard Street San Francisco, CA 94105 | n/a | Public | Charitable | 1,000.00 |
| CALIFORNIA HISTORICAL SOCIETY 678 Mission Street San Francisco, CA 94105 | n/a | Public | Charitable | 10,000.00 |
| CALIFORNIA SHAKESPEARE THEATER 701 Heinz Avenue Berkeley, CA 94710 | n/a | Public | Charitable | 1,500.00 |
| CENTRAL ASIA INSTITUTE P.O. Box 7209 Bozeman, MT 59771 | n/a | Public | Charitable | 2,000.00 |
| CHILDREN'S LAW OFFICE P.O. Box 298 Stinson Beach, CA 94970 | n/a | Public | Charitable | 1,000.00 |
| CHRONICLE SEASON OF SHARING FUND P.O. Box 44740 San Francisco, CA 94144 | n/a | Public | Charitable | 150,000.00 |
| CLAM (Community Land Trust Association) P.O. Box 273 Point Reyes Station, CA 94956 | n/a | Public | Charitable | 1,000.00 |
| COMMON SENSE MEDIA 650 Townsend Street, Suite 375 San Francisco, CA 94103 | n/a | Public | Charitable | 250.00 |

Form 990-PF, Part XV, Line 3:
Grants and Contributions Paid During the Year

| Recipient Name and address | If recipient is an individual, show any relationship to any foundation manager of substantial contributor | Foundation status of recipient | Purpose of grant or contribution | Amount |
|---|---|--------------------------------|----------------------------------|-----------|
| COMMONWEALTH CLUB OF CA 595 Market Street, 2nd Floor San Francisco, CA 94105 | n/a | Public | Charitable | 5,000.00 |
| COMMUNITY MUSIC CENTER 544 Capp Street San Francisco, CA 94110-2516 | n/a | Public | Charitable | 500.00 |
| COMMUNITY PARTNERS INTERNATIONAL 225 Bush Street, Suite 590 San Francisco, CA 94104 | n/a | Public | Charitable | 500.00 |
| COMPASSION & CHOICES P.O. Box 101810 Denver, CO 80250 | n/a | Public | Charitable | 1,000.00 |
| COMPUTER HISTORY MUSEUM 1401 N. Shoreline Blvd. Mountain View, CA 94043 | n/a | Public | Charitable | 2,000.00 |
| ConnCAN-50CAN Expansion Effort 85 Willow Street New Haven, CT 06511 | n/a | Public | Charitable | 50,000.00 |
| CONSERVATIONAL INTERNATIONAL 2011 Crystal Drive, Suite 500 Arlington, VA 22202 | n/a | Public | Charitable | 1,500.00 |
| CONTEMPORARY JEWISH MUSEUM 736 Mission Street San Francisco, CA 94103 | n/a | Public | Charitable | 1,000.00 |
| CONTINENTAL DIVIDE TRAIL ALLIANCE P.O. Box 628 Pine, CO 80470-0628 | n/a | Public | Charitable | 100.00 |
| CORO CENTER FOR CIVIC LEADERSHIP 601 Montgomery Street, Suite 800 San Francisco, CA 94111 | n/a | Public | Charitable | 1,000.00 |
| DANCE PALACE COMMUNITY CENTER P.O. Box 217 Point Reyes Station, CA 94956 | n/a | Public | Charitable | 1,000.00 |
| DEATH WITH DIGNITY NATIONAL CENTER 520 SW 6th Avenue, Suite 1030 Portland, OR 97204 | n/a | Public | Charitable | 100.00 |
| DOMINICAN UNIVERSITY OF CALIFORNIA 50 Acacia Avenue San Rafael, CA 94901-2298 | n/a | Public | Charitable | 2,500.00 |
| EAST BAY COMMUNITY LAW CENTER 2921 Adeline Street Berkeley, CA 94703 | n/a | Public | Charitable | 3,000.00 |

Form 990-PF, Part XV, Line 3:
Grants and Contributions Paid During the Year

| Recipient Name and address | If recipient is an individual, show any relationship to any foundation manager of substantial contributor | Foundation status of recipient | Purpose of grant or contribution | Amount |
|---|---|--------------------------------|----------------------------------|-----------|
| EDUCATION REFORM NOW-Students for Education Reform 928 Brodway, Suite 505 New York, NY 10010 | n/a | Public | Educational | 5,000.00 |
| EDUCATORS 4 EXCELLENCE 333 W. 39th Street, Suite 703 New York, NY 10018 | n/a | Public | Educational | 50,000.00 |
| EPISCOPAL COMMUNITY SERVICES 165 Eighth Street, 3rd Floor San Francisco, CA 94103-2726 | n/a | Public | Charitable | 500.00 |
| EXPLORATORIUM 3601 Lyon Street San Francisco, CA 94123 | n/a | Public | Educational | 5,000.00 |
| FINAL EXIT NETWORK P.O. Box 665 Kingston, NJ 08534 | n/a | Public | Charitable | 50.00 |
| FINE ARTS MUSEUM 50 Hagiwara Tea Garden Drive San Francisco, CA 94118 | n/a | Public | Charitable | 1,000.00 |
| FOUNDATION FOR EDUCATIONAL CHOICE-Milton & Rose Friedman One American Square, Suite 2420 Indianapolis, IN 46282 | n/a | Public | Educational | 1,000.00 |
| FOUNDATION FOR THE PEOPLE OF BURMA 225 Bush Street, Suite 590 San Francisco, CA 94104 | n/a | Public | Charitable | 500.00 |
| FRIENDS OF HSLAPS FUND (Friends of the High School for Leadership and Public Service) 485 Madison Avenue, 15th Floor New York, NY 10022 | n/a | Public | Educational | 2,500.00 |
| FRIENDS OF THE AMERICAN UNIVERSITY OF AFGHANISTAN 1901 Pennsylvania Ave., NW #207 Washington, DC 20006 | n/a | Public | Charitable | 750.00 |
| FRIENDS OF THE URBAN FOREST 1007 General Kennedy Ave., Suite 1 San Francisco, CA 94129-0456 | n/a | Public | Charitable | 300.00 |
| GIANTS COMMUNITY FUND-Play Ball Luncheon 24 Willie Mays Plaza San Francisco, CA 94107 | n/a | Public | Charitable | 5,000.00 |

Form 990-PF, Part XV, Line 3:
Grants and Contributions Paid During the Year

| Recipient Name and address | If recipient is an individual, show any relationship to any foundation manager of substantial contributor | Foundation status of recipient | Purpose of grant or contribution | Amount |
|--|---|--------------------------------|----------------------------------|------------|
| GIRLS INC. 120 Wall Street, 3rd Floor New York, NY 10005 | n/a | Public | Charitable | 300.00 |
| GLIDE MEMORIAL 330 Ellis Street San Francisco, CA 94102 | n/a | Public | Charitable | 100,000.00 |
| GLOBAL HERITAGE FUND 625 Emerson Street, Suite 200 Palo Alto, CA 94301 | n/a | Public | Charitable | 1,000.00 |
| GOLDEN GATE COUMMUNITY HEALTH 815 Eddy Street San Francisco, CA 94109 | n/a | Public | Charitable | 1,000.00 |
| GOLDEN GATE NATIONAL PARKS CONSERVANCY Fort Mason, Building 201 San Francisco, CA 94123-1399 | n/a | Public | Charitable | 1,000.00 |
| GREAT OAKLAND INFO CENTER 472 Water Street Oakland, CA 94607 | n/a | Public | Charitable | 5,000.00 |
| HIKE FOR HOPE FOUNDATION 936 West Francis Street Aspen, CO 81611 | n/a | Public | Charitable | 1,000.00 |
| HOOVER INSTITUTION Stanford University Stanford, CA 94305-6010 | n/a | Public | Charitable | 1,000.00 |
| HOPE MOHR DANCE P.O. Box 225237 San Francisco, CA 94122 | n/a | Public | Charitable | 1,500.00 |
| HORSES IN CALIFORNIA, INC. 22 22nd Avenue San Francisco, CA 94121 | n/a | Public | Charitable | 500.00 |
| HUMAN RIGHTS FIRST 333 Seventh Ave., 13th Floor New York, NY 10001 | n/a | Public | Charitable | 25,000.00 |
| HUMAN RIGHTS WATCH 100 Bush Street, Suite 925 San Francisco, CA 94014 | n/a | Public | Charitable | 1,000.00 |
| INDEPENDENCE PASS FOUNDATION P.O. Box 1700 Aspen, CO 81612 | n/a | Public | Charitable | 500.00 |
| INSTITUTE OF INTERNATIONAL EDUCATION 530 Bush Street San Francisco, CA 94108 | n/a | Public | Charitable | 2,000.00 |

Form 990-PF, Part XV, Line 3:
Grants and Contributions Paid During the Year

| Recipient | If recipient is an individual, show any relationship to any foundation | | | |
|--|--|--------------------------------|----------------------------------|-----------|
| Name and address | manager of substantial contributor | Foundation status of recipient | Purpose of grant or contribution | Amount |
| INTERNATIONAL RESCUE COMMITTEE 122 East 42nd Street New York, NY 10166-1289 | n/a | Public | Charitable | 25,000.00 |
| JEWISH FAMILY & CHILDREN'S SERVICES OF SF Miriam Schultz Grunfeld Prof. Bldg. 2150 Post Street San Francisco, CA 94115 | n/a | Public | Charitable | 1,000.00 |
| JUNIOR ACHIEVEMENT OF SILICON VALLEY 1401 Parkmoor Avenue, #110 San Jose, CA 95126 | n/a | Public | Charitable | 2,500.00 |
| JVS-Jewish Vocational Service (Jewish Vocational & Career Counseling Service) 225 Bush Street, Suite 400 San Francisco, CA 94104 | n/a | Public | Charitable | 25,000.00 |
| KAJX ASPEN PUBLIC RADIO (Roaring Fork Public Radio) Red Brick Center, Suite 134 Aspen, CO 81611 | n/a | Public | Charitable | 150.00 |
| KAJX NATIONAL COUNCIL Red Brick Center, Suite 134 Aspen, CO 81611 | \ n/a | Public | Charitable | 2,500.00 |
| KCSM 3182 Campus Drive San Mateo, CA 94403-9830 | n/a | Public | Charitable | 500.00 |
| KQED (Northern California Public Broadcasting) 2601 Mariposa Street San Francisco, CA 94110 | n/a | Public | Charitable | 5,000.00 |
| LAKESIDE SCHOOL 14050 1st Avenue NE Seattle, WA 98125 | n/a | Public | Education | 5,000.00 |
| LAMPLIGHTERS MUSIC THEATRE (Lamplighters Opera West Foundation) P.O. Box 77367 San Francisco, CA 94107 | n/a | Public | Charitable | 1,000.00 |
| LEGAL AID SOCIETY-Employment Law Center 600 Harrison Street, Suite 120 San Francisco, CA 94107 | n/a | Public | Charitable | 8,000.00 |
| LEGAL COMMUNITY AGAINST VIOLENCE 268 Bush Street, #555 San Francisco, CA 94104 | n/a | Public | Charitable | 500.00 |

Form 990-PF, Part XV, Line 3:
Grants and Contributions Paid During the Year

| Recipient Name and address | If recipient is an individual, show any relationship to any foundation manager of substantial contributor | Foundation status of recipient | Purpose of grant or contribution | Amount |
|---|---|-----------------------------------|----------------------------------|-----------|
| LEGAL MOMENTUM 395 Hudson Street, 5th Floor New York, NY 10014 | n/a | Public | Charitable | 1,000.00 |
| MAGIC THEATRE Fort Mason, Building D San Francisco, CA 94123 | n/a | Public | Charitable | 10,000.00 |
| MALT-Marin Agricultural Land Trust P.O. Box 809 Point Reyes Station, CA 94956 | n/a | Public | Charitable | 500.00 |
| MARKKULA CENTER FOR APPLIED ETHICS-Santa Clara University 500 El Camino Real Santa Clara, CA 95053 | n/a | Public | Charitable | 7,500.00 |
| MEALS ON WHEELS of San Francisco 1375 Fairfax Avenue San Francisco, CA 94124 | n/a | Public | Charitable | 2,500.00 |
| MEHARRY COLLEGE 1005 R. DB Todd Jr. Boulevard Nashville, TN 37208-9989 | n/a | Public | Educational | 10,000.00 |
| METROPOLITAN MUSEUM OF ART 1000 Fifth Avenue New York, NY 10028-0198 | n/a | Public | Charitable | 250.00 |
| MUSEUM OF THE AFRICAN DIASPORA 685 Mission Street San Francisco, CA 94105 | n/a | Public | Charitable | 25,000.00 |
| NATIONAL FOUNDATION FOR FACIAL RECONSTRUCTION 333 East 30th Street, Lobby Unit New York, NY 10016 | n/a | Public | Charitable | 500.00 |
| NATIONAL PUBLIC RADIO FOUNDATION 635 Massachusetts Avenue NW Washington, DC 20001-3753 | n/a | Public | Charitable | 1,000.00 |
| NATURE CONSERVANCY 4245 Fairfax Drive, Suite 100 Arlington, VA 22203 | n/a | Public | Charitable | 150.00 |
| NEW YORK UNIVERSITY SCHOOL OF LAW 110 West 3rd Street, 2nd Floor New York, NY 10012 | n/a | Public | Education | 5,000.00 |
| NFTE BAY AREA (Network for Teaching Entrepreneurship) USF-School of Business 2130 Fulton Street San Francisco, CA 94117 | n/a | Public | Charitable | 10,000.00 |

Form 990-PF, Part XV, Line 3:
Grants and Contributions Paid During the Year

| Recipient Name and address | If recipient is an individual, show any relationship to any foundation manager of substantial | Foundation status | Purpose of grant | Amount |
|--|---|-------------------|------------------|------------|
| | contributor | 01 1001910110 | or concreted | 7 mio dire |
| OAKLAND MILITARY INSTITUTE 2269 Chestnut Street, Suite 500 San Francisco, CA 94123 | n/a | Public | Charitable | 5,000.00 |
| OAKLAND SCHOOL FOR THE ARTS 2269 Chestnut Street, Suite 500 San Francisco, CA 94123 | n/a | Public | Charitable | 5,000.00 |
| ONE JUSTICE 433 California Street, Suite 815 San Francisco, CA 94104 | n/a | Public | Charitable | 1,500.00 |
| PACIFIC COMMUNITY VENTURES 51 Federal Street, Suite 402 San Francisco, CA 94107 | n/a | Public | Charitable | 600.00 |
| PACIFIC COUNCIL ON INT'L POLICY 801 S. Figueroa St., Suite 1130 Los Angeles, CA 90017 | n/a | Public | Charitable | 250.00 |
| PACIFIC CREST TRAIL ASSOC. P.O. Box 39000 Dept. 134137 San Francisco, CA 94139-0001 | n/a | Public | Charitable | 500.00 |
| PACIFIC LEGAL FOUNDATION 930 G Street Sacramento, CA 95814 | n/a | Public | Charitable | 500.00 |
| PLANNED PARENTHOOD FEDERATION OF AMERICA 434 W. 33rd Street New York, NY 10001 | n/a | Public | Charitable | 1,000.00 |
| POINT REYES NATIONAL SEASHORE ASSOC. 1 Bear Valley Road, Bldg. #70 Pt. Reyes Station, CA 94956 | n/a | Public | Charitable | 500.00 |
| PRBO CONSERVATION SCIENCE 3820 Cypress Drive, #11 Petaluma, CA 94954 | n/a | Public | Charitable | 200.00 |
| PRESIDIO GRADUATE SCHOOL (Presidio World College) 36 Lincoln Blvd. San Francisco, CA 94129 | n/a | Public | Educational | 35,000.00 |
| PROJECT OPEN HAND 730 Polk Street San Francisco, CA 94109 | n/a | Public | Charitable | 1,000.00 |
| PROJECT READ 100 Larkin San Francisco, CA 94102 | n/a | Public | Charitable | 250.00 |

Form 990-PF, Part XV, Line 3:
Grants and Contributions Paid During the Year

| Recipient Name and address | If recipient is an individual, show any relationship to any foundation manager of substantial contributor | Foundation status of recipient | Purpose of grant or contribution | Amount |
|---|---|--------------------------------|-------------------------------------|-----------|
| PROJECT VOTE SMART One Common Ground Phillipsburg, MT 59858 | n/a | Public | Charitable | 45.00 |
| RAILS-TO-TRAILS CONSERVANCY 1100 Seventeenth Street NW, 10th Floor Washington, DC 20036 | n/a | Public | Charitable | 200.00 |
| REBUILDING TOGETHER (Christmas in April) (Rebuilding Together San Francisco) Pier 28 San Francisco, CA 94105 | n/a | Public | Charitable | 5,000.00 |
| RESPONSIBLE WEALTH/UNITED FOR A FAIR ECONOMY 29 Winter Street Boston, MA 02108 | n/a | Public | Charitable | 1,000.00 |
| ROARING FORK OUTDOOR VOLUNTEERS TODAY P.O. Box 1341 Basalt, CO 81621 | n/a | Public | Charitable | 250.00 |
| SALVATION ARMY P.O. Box 193465 San Francisco, CA 94119-3465 | n/a | Public | Charitable | 10,000.00 |
| SF AIDS FOUNDATION P.O. Box 6000 San Francisco, CA 94160-2635 | n/a | Public | Charitable | 500.00 |
| SF BALLET 455 Franklin Street San Francisco, CA 94102 | n/a | Public | Charitable | 25,000.00 |
| SF BEAUTIFUL 100 Bush Street, Suite 1812 San Francisco, CA 94104 | n/a | Public | Charitable | 200.00 |
| SF CASA - SF Court Appointed Special Adv. Program 100 Bush Street, Suite 650 San Francisco, CA 94104 | n/a | Public | Charitable | 500.00 |
| SF FREE CLINIC 4900 California Street San Francisco, CA 94118 | n/a | Public | Charitable | 10,000.00 |
| SF MOMA 151 Third Street San Francisco, CA 94103 | n/a | Public | Charitable | 25,000.00 |
| SF MUSEUM AND HISTORICAL SOCIETY P.O. Box 420470 San Francisco, CA 94142-0470 | n/a | Public | Charitable | 100.00 |

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| Recipient Name and address | If recipient is an individual, show any relationship to any foundation manager of substantial | Foundation status of recipient | Purpose of grant or contribution | Amount |
|---|---|--------------------------------|----------------------------------|------------|
| SF OPERA ASSOCIATION 301 Van Ness San Francisco, CA 94102-9954 | contributor n/a | Public | Charitable | 100,000.00 |
| SF PAL-San Francisco Police Activities League 350 Amber Drive San Francisco, CA 94131 | n/a | Public | Charitable | 200.00 |
| SF PARKS TRUST McLaren Lodge in Golden Gate Park San Francisco, CA 94117-1898 | n/a | Public | Charitable | 2,500.00 |
| SF PERFORMANCES 500 Sutter Street, Suite 710 San Francisco, CA 94102 | n/a | Public | Charitable | 1,000.00 |
| SF SCHOOL VOLUNTEERS-SF EDUCATION FUND 727 Golden Gate Ave., 2nd Floor San Francisco, CA 94102 | n/a | Public | Charitable | 10,000.00 |
| SF SYMPHONY Davies Symphony Hall San Francisco, CA 94102 | n/a | Public | Charitable | 25,000.00 |
| SIGMA ALPHA MU FOUNDATION 9245 N. Meridian, Suite 105 Indianapolis, IN 46260-1812 | n/a | Public | Charitable | 100.00 |
| SILICON VALLEY FACES (SV Conf. for Comm. & Justice) 2735 Sand Hill Road Menlo Park, CA 94025 | n/a | Public | Charitable | 1,000.00 |
| SMITHSONIAN INSTITUTION (Adopt-a- Library) P.O. Box 62066 Tampa, FL 33662-0663 | n/a | Public | Charitable | 500.00 |
| SMITHSONIAN INSTITUTION (James Smithson Society) P.O. Box 420319 Palm Coast, FL 32142-9156 | n/a | Public | Charitable | 2,500.00 |
| SOUTHERN POVERTY LAW CENTER 400 Washington Avenue Montgomery, AL 36104 | n/a | Public | Charitable | 100.00 |
| SPECIAL OLYMPICS NO. CALIFORNIA 3480 Buskirk Avenue, Suite 340 Pleasant Hill, CA 94523 | n/a | Public | Charitable | 1,000.00 |
| SPUR-S.F. Planning & Urban Research 312 Sutter Street, Suite 500 San Francisco, CA 94108-4305 | n/a | Public | Charitable | 1,000.00 |

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| Recipient Name and address | If recipient is an individual, show any relationship to any foundation manager of substantial contributor | Foundation status of recipient | Purpose of grant or contribution | Amount |
|--|---|--------------------------------|----------------------------------|------------|
| ST. ANTHONY FOUNDATION 150 Golden Gate Avenue San Francisco, CA 94102 | n/a | Public | Charitable | 100,000.00 |
| STEADMAN PHILIPPON RESEARCH INSTITUTE 181 West Meadow Drive, Suite 1000 Vail, CO 81657 | n/a | Public | Charitable | 10,000.00 |
| STUDENT CONSERVATION ASSOC. P.O. Box 550 Charlestown, NH 03603-0550 | n/a | Public | Charitable | 1,000.00 |
| SUNDANCE INSTITUTE P.O. Box 684429 Park City, UT 84068 | n/a | Public | Charitable | 1,000.00 |
| SYRACUSE UNIVERSITY 820 Comstock Avenue Syracuse, NY 13244-5040 | n/a | Public | Charitable | 50,000.00 |
| TENDERLOIN NEIGHBORHOOD DEV. CENTER 201 Eddy Street San Francisco, CA 94102-2715 | n/a | Public | Charitable | 2,500.00 |
| THAT MAN MAY SEE (Beckman Vision UCSF) 10 Koret Way/Box 0352 San Francisco, CA 94143-0352 | n/a | Public | Charitable | 2,500.00 |
| THEATRE ASPEN 110 E. Hallam Street, Suite 103 Aspen, CO 81611 | n/a | Public | Charitable | 250.00 |
| THEATRE COMMUNICATIONS GROUP 520 Eighth Avenue, 24th Floor New York, NY 10018-4156 | n/a | Public | Charitable | 15,000.00 |
| UCSF FOUNDATION (University of California San Francisco Foundation) Box 0248 San Francisco, CA 94143 | n/a | Public | Educational | 10,000.00 |
| UNICEF (United States Fund for UNICEF) 125 Maiden Lane New York, NY 10038 | n/a | Public | Charitable | 1,000.00 |
| UNITED WAY OF THE BAY AREA 221 Main Street, Suite 300 San Francisco, CA 94105 | n/a | Public | Charitable | 100,000.00 |
| UNIVERSITY OF ROCHESTER-SCHOOL OF MEDICINE Dept. of Neurology/Parkinson's Disease 300 East River Road Rochester, NY 14627-8996 | n/a | Public | Educational | 500.00 |

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| Recipient Name and address | If recipient is an individual, show any relationship to any foundation manager of substantial contributor | Foundation status of recipient | Purpose of grant or contribution | Amount |
|---|---|--------------------------------|----------------------------------|--------------|
| UNIVERSITY OF WASHINGTON LAW SCHOOL Box 353020 Seattle, WA 98195 | n/a | Public | Educational | 15,000.00 |
| US DISTRICT COURT HISTORICAL SOCIETY P.O. Box 36060 San Francisco, CA 94102 | n/a | Public | Charitable | 1,000.00 |
| US ENGLISH FOUNDATION 1747 Pennsylvania Avenue, NW Washington, DC 20006 | n/a | Public | Charitable | 1,000.00 |
| US SKI & SNOWBOARD TEAM FOUNDATION (United States Skiing Foundation) Box 100, 1500 Kearns Blvd. Park City, UT 84060 | n/a | Public | Charitable | 500.00 |
| US TERM LIMITS FOUNDATION 9900 Main Street, Suite 303 Fairfax, VA 22031 | n/a | Public | Charitable | 1,000.00 |
| WEST MARIN COMMUNITY SERVICES P.O. Box 1093 Pt. Reyes Station, CA 94956 | n/a | Public | Charitable | 500.00 |
| WHEELER ASSOCIATES (Wheeler Opera House Association) P.O. Box 10750 Aspen, CO 81612 | n/a | Public | Charitable | 250.00 |
| WILDERNESS LAND TRUST P.O. Box 1420 Carbondale, CO 81623 | n/a | Public | Charitable | 1,000.00 |
| WOMEN FOR WOMEN INTERNATIONAL 4455 Connecticut Ave., NW, #200 Washington, DC 20008 | n/a | Public | Charitable | 500.00 |
| WORLD AFFAIRS COUNCIL OF NORTHERN CALIFORNIA of Northern California 312 Sutter Street, Suite 200 San Francisco, CA 94108 | n/a | Public | Charitable | 1,000.00 |
| WORLD JEWISH CONGRESS FOUNDATION P.O. Box 90400 Washington, DC 10090-0400 | n/a | Public | Charitable | 1,000.00 |
| TOTAL | | | | 1,715,595.00 |

Form: 8868

(Rev. January 2012) Department of the Treasury Internal Revenue Service

Application for Extension of Time To File an Exempt Organization Return

File a separate application for each return.

OMB No. 1545-1709

| If you | are filing for an Automatic 3-Month Extension, comple | te only Pa | art I and check this box | | ▶ | |
|--|---|------------------------------|---|------------------|---------------------------------------|---------------|
| If you | are filing for an Additional (Not Automatic) 3-Month Ex | tension, c | complete only Part II (on page 2 of | this for | m). | |
| Do not d | complete Part II unless you have already been granted | an automa | itic 3-month extension on a previous | sly filed | Form 8868. | |
| Electror | ic filing (e-file). You can electronically file Form 8868 if y | you need a | a 3-month automatic extension of tin | ne to fil | e (6 months for a corp | oration |
| required | to file Form 990-T), or an additional (not automatic) 3-mo | nth extens | sion of time. You can electronically f | ile Form | n 8868 to request an e | xtension |
| of time to | ofile any of the forms listed in Part I or Part II with the ex | ception of | Form 8870, Information Return for | Transfe | rs Associated With Ce | rtaın |
| Persona | Benefit Contracts, which must be sent to the IRS in pap | er format | (see instructions) For more details | on the e | electronic filing of this f | orm, |
| visit www | v.irs.gov/efile and click on e-file for Chanties & Nonprofits | : | | | | |
| Part | Automatic 3-Month Extension of Time | e. Only s | submit original (no copies ne | eded) | • | |
| A corpor | ation required to file Form 990-T and requesting an autor | natic 6-mc | onth extension - check this box and | comple | te | |
| Part I on | ly | | | | ▶ | |
| | corporations (including 1120-C filers), partnerships, REM come tax returns. | IICs, and t | rusts must use Form 7004 to reques | st an ex | tension of time | |
| Type or print | Name of exempt organization or other filer, see instru | ctions. | | Emplo | yer identification numb | per (EIN) or |
| File by the | THE ROCK FOUNDATION | | | X 94-1671318 | | |
| due date fo filing your return See | Number, street, and room or suite no. If a P.O box, s ONE MARITIME PLAZA, SUITE | | tions | Social | security number (SSN | l) |
| instructions | City, town or post office, state, and ZIP code. For a for SAN FRANCISCO, CA 94111 | oreign add | ress, see instructions | | | |
| Enter the | Return code for the return that this application is for (file | e a separa | te application for each return) | | | 0 4 |
| Applicat | tion | Return | Application | | | Return |
| ls For | | Code | ode Is For | | | Code |
| Form 99 | | 01 | Form 990-T (corporation) | | · · · · · · · · · · · · · · · · · · · | 07 |
| Form 99 | | 02 | | | | 08 |
| Form 99 | | 01 | Form 4720 | | | 09 |
| Form 99 | | 04 | Form 5227 | | | 10 |
| | 0-T (sec. 401(a) or 408(a) trust) | 05 | | | | 11 |
| Form 99 | 0-T (trust other than above) | 06 | Form 8870 | | | 12 |
| Telep If the | ARTHUR ROCK cooks are in the care of ► ONE MARITIME Process of the No. ► 415/981-3921 organization does not have an office or place of business is for a Group Return, enter the organization's four digit If it is for part of the group, check this box ► | s in the Ur Group Exe | FAX No. ► <u>415/981-39</u> nited States, check this box emption Number (GEN) | 24 If this is | | check this |
| IS. | equest an automatic 3-month (6 months for a corporation AUGUST 15, 2012 , to file the exemptor the organization's return for: X calendar year 2011 or tax year beginning | t organiza | tion return for the organization name | | ve. The extension | |
| 2 If t | the tax year entered in line 1 is for less than 12 months, c Change in accounting period | check reas | on: Initial return | Fınal re | eturn | |
| | this application is for Form 990-BL, 990-PF, 990-T, 4720, inrefundable credits. See instructions. | or 6069, e | enter the tentative tax, less any | 3 | 3a \$ 5 | 5,100. |
| b If | his application is for Form 990-PF, 990-T, 4720, or 6069, | enter any | refundable credits and | | | |
| es | timated tax payments made. Include any prior year over | payment allowed as a credit. | | | 3b \$ 23 | <u>3,090.</u> |
| c Ba | llance due. Subtract line 3b from line 3a. Include your pa | ayment wit | th this form, if required, | | | _ |
| by | using EFTPS (Electronic Federal Tax Payment System). | See instru | ictions. | <u> </u> | kc- -\$ | <u> </u> |
| Caution | . If you are going to make an electronic fund withdrawal i | with this F | orm 8868, see Form 8453-EO and F | orm 88 | 79-EO for payment inst | tructions. |

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For Privacy Act and Paperwork Reduction Act Notice, see Instructions.

Form 8868 (Rev. 1-2012)

| Form 8868 (Rev. 1-2012) | | | | Page 2 | |
|---|--------------|--|------------------------------|-------------------------|--|
| If you are filing for an Additional (Not Automatic) 3-Month Ext | ension. c | omplete only Part II and check this | box | ▶ X | |
| Note. Only complete Part II if you have already been granted an al | | | | . , , | |
| If you are filing for an Automatic 3-Month Extension, complet | | | | | |
| Part II Additional (Not Automatic) 3-Month Ex | | | nal (no copies | needed). | |
| | | Enter filer's | identifying num | ber, see instructions | |
| | | | | ication number (EIN) or | |
| print | | | | • | |
| File by the THE ROCK FOUNDATION | | | X 94 | -1671318 | |
| due date for Number, street, and room or suite no. If a P.O. box, see instructions | | | Social security number (SSN) | | |
| ing your ONE MARITIME PLAZA, SUITE 1220 | | | | | |
| unstructions City, town or post office, state, and ZIP code For a fo | reign add | ress, see instructions | | | |
| SAN FRANCISCO, CA 94111 | | | | | |
| | | | | | |
| Enter the Return code for the return that this application is for (file | a separa | te application for each return) | | 0 4 | |
| | | | | | |
| Application | Return | Application | | Return | |
| is For | Code | Is For | | Code | |
| Form 990 | 01 | The same of the same of the same | | The same of the same | |
| Form 990-BL | 02 | Form 1041-A | | 08 | |
| Form 990-EZ | 01 | Form 4720 | | 09 | |
| Form 990-PF | 04 | Form 5227 | | 10 | |
| Form 990-T (sec. 401(a) or 408(a) trust) | 05 | Form 6069 | | 11 | |
| Form 990-T (trust other than above) | 06 | Form 8870 | | 12 | |
| STOP! Do not complete Part II if you were not already granted | an autor | natic 3-month extension on a prev | viously filed For | n 8868. | |
| ARTHUR ROCK | | | | | |
| • The books are in the care of ► ONE MARITIME PI | <u>LAZA,</u> | | | , CA 94111 | |
| Telephone No. ► 415/981-3921 | | FAX No. ► 415/981-39 | | | |
| If the organization does not have an office or place of business | | | | | |
| If this is for a Group Return, enter the organization's four digit | 1 | · · · · · · · · · · · · · · · · · · · | | | |
| box . If it is for part of the group, check this box | | | f all members the | extension is for. | |
| - 0011 | MOVEM | BER 15, 2012. | _ | | |
| For calendar year <u>2011</u>, or other tax year beginning If the tax year entered in line 5 is for less than 12 months, c | hook roos | on: Initial return [| Final return | | |
| Change in accounting period | neck reas | on milaretum [| Final return | | |
| 7 State in detail why you need the extension | | | | | |
| INFORMATION FROM THIRD PARTY | SOURC | ES IS PENDING: ADD | TTTONAL | TIME IS | |
| REQUIRED TO FILE AN ACCURATE I | | | | 1111111111 | |
| | | | | | |
| 8a If this application is for Form 990-BL, 990-PF, 990-T, 4720, | or 6069, e | enter the tentative tax, less any | | | |
| nonrefundable credits. See instructions. | | ······································ | 8a \$ | 5,100. | |
| h If this application is for Form 990-PE 990-T 4720, or 6069, enter any refundable credits and estimated | | | | | |
| tax payments made. Include any prior year overpayment all | - | | 1-1-311. | | |
| previously with Form 8868. | | · · · · · · · · · · · · · · · · · · · | 8b \$ | 23,090. | |
| c Balance due. Subtract line 8b from line 8a. Include your pa | yment wi | th this form, if required, by using | | | |
| EFTPS (Electronic Federal Tax Payment System). See instru | uctions. | · | 8c \$ | 0. | |
| _ | | st be completed for Part II | - | | |
| Under penalties of perjury, I declare that I have examined this form, includ | ling accom | panying schedules and statements, and | to the best of my k | nowledge and belief, | |
| it is true, correct, and complete, and that I am authorized to prepare this fo | orm. Ou | Occur Labor | | 0/12/11 | |
| Signature Title | ne | presentative | Date ► | DITIL | |
| | | | | Form 8868 (Rev 1-2012) | |

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