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

2011

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

For calendar year 2011 or tax year beginning MAR 1, 2011, and ending FEB 29, 2012

Name of foundation  
**OTTO H. YORK FOUNDATION INC.**

Number and street (or P.O. box number if mail is not delivered to street address)  
**C/O MYRTH YORK, 44 HAZARD AVENUE**

City or town, state, and ZIP code  
**PROVIDENCE, RI 02906**

Room/suite

**A Employer identification number**  
**22-5154083**

**B Telephone number**  
**401-421-0738**

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

**D 1.** Foreign organizations, check here ☐  
**2.** Foreign organizations meeting the 85% test, check here and attach computation ☐

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

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

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

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

**I** Fair market value of all assets at end of year (from Part II, col. (c), line 16)  
**\$ 5,898,583.** (Part I, column (d) must be on cash basis.)

**J** Accounting method: ☒ Cash ☐ Accrual  
☐ Other (specify) \_\_\_\_\_

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a))		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
1	Contributions, gifts, grants, etc., received	2,430,264.		N/A	
2	Check <input type="checkbox"/> if the foundation is not required to attach Sch. B				
3	Interest on savings and temporary cash investments	196,986.	196,986.		STATEMENT 1
4	Dividends and interest from securities	200,856.	200,856.		STATEMENT 2
5a	Gross rents				
b	Net rental income or (loss)				
6a	Net gain or (loss) from sale of assets not on line 10	-65,763.			
b	Gross sales price for all assets on line 6a	1,192,565.			
7	Capital gain net income (from Part IV, line 2)		0.		
8	Net short-term capital gain				
9	Income modifications				
10a	Gross sales less returns and allowances				
b	Less: Cost of goods sold				
c	Gross profit or (loss)				
11	Other income	-388.	-388.		STATEMENT 3
12	Total. Add lines 1 through 11	2,761,955.	397,454.		
13	Compensation of officers, directors, trustees, etc.	25,000.	0.		25,000.
14	Other employee salaries and wages				
15	Pension plans, employee benefits				
16a	Legal fees				
b	Accounting fees STMT 4	1,935.	0.		1,935.
c	Other professional fees				
17	Interest				
18	Taxes STMT 5	3,713.	90.		1,723.
19	Depreciation and depletion	1,958.	0.		
20	Occupancy				
21	Travel, conferences, and meetings	405.	0.		405.
22	Printing and publications				
23	Other expenses STMT 6	16,858.	15,433.		1,522.
24	Total operating and administrative expenses. Add lines 13 through 23	49,869.	15,523.		30,585.
25	Contributions, gifts, grants paid	155,500.			155,500.
26	Total expenses and disbursements. Add lines 24 and 25	205,369.	15,523.		186,085.
27	Subtract line 26 from line 12				
a	Excess of revenue over expenses and disbursements	2,556,586.			
b	Net investment income (if negative, enter -0-)		381,931.		
c	Adjusted net income (if negative, enter -0-)			N/A	

**Part II Balance Sheets**

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

		Beginning of year	End of year		
		(a) Book Value	(b) Book Value	(c) Fair Market Value	
<b>Assets</b>	1 Cash - non-interest-bearing	806,512.	249,415.	249,415.	
	2 Savings and temporary cash investments				
	3 Accounts receivable ▶				
	Less allowance for doubtful accounts ▶				
	4 Pledges receivable ▶				
	Less allowance for doubtful accounts ▶				
	5 Grants receivable				
	6 Receivables due from officers, directors, trustees, and other disqualified persons				
	7 Other notes and loans receivable ▶				
	Less allowance for doubtful accounts ▶				
	8 Inventories for sale or use				
	9 Prepaid expenses and deferred charges				
	10a Investments - U S and state government obligations				
	b Investments - corporate stock STMT 7	1,105,237.	5,108,853.	5,649,168.	
	c Investments - corporate bonds	620,252.			
<b>Liabilities</b>	11 Investments - land, buildings, and equipment basis ▶				
	Less accumulated depreciation ▶				
	12 Investments - mortgage loans				
	13 Investments - other	269,681.			
	14 Land, buildings, and equipment basis ▶ 1,958.				
	Less accumulated depreciation STMT 8 ▶ 1,958.				
	15 Other assets (describe ▶)				
	16 Total assets (to be completed by all filers)	2,801,682.	5,358,268.	5,898,583.	
	17 Accounts payable and accrued expenses				
	18 Grants payable				
<b>Net Assets or Fund Balances</b>	19 Deferred revenue				
	20 Loans from officers, directors, trustees, and other disqualified persons				
	21 Mortgages and other notes payable				
	22 Other liabilities (describe ▶)				
	23 Total liabilities (add lines 17 through 22)	0.	0.		
<b>Foundations that follow SFAS 117, check here</b> ▶ <input type="checkbox"/>	and complete lines 24 through 26 and lines 30 and 31.				
	24 Unrestricted				
	25 Temporarily restricted				
	26 Permanently restricted				
	<b>Foundations that do not follow SFAS 117, check here</b> ▶ <input checked="" type="checkbox"/>	and complete lines 27 through 31.			
		27 Capital stock, trust principal, or current funds	2,801,682.	5,358,268.	
		28 Paid-in or capital surplus, or land, bldg, and equipment fund	0.	0.	
		29 Retained earnings, accumulated income, endowment, or other funds	0.	0.	
30 Total net assets or fund balances	2,801,682.	5,358,268.			
31 Total liabilities and net assets/fund balances	2,801,682.	5,358,268.			

**Part III Analysis of Changes in Net Assets or Fund Balances**

1 Total net assets or fund balances at beginning of year - Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return)	1	2,801,682.
2 Enter amount from Part I, line 27a	2	2,556,586.
3 Other increases not included in line 2 (itemize) ▶	3	0.
4 Add lines 1, 2, and 3	4	5,358,268.
5 Decreases not included in line 2 (itemize) ▶	5	0.
6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	5,358,268.

**Part IV Capital Gains and Losses for Tax on Investment Income**

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

  

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a			
b			
c			
d			
e 1,192,565.		1,258,328.	-65,763.

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
a			
b			
c			
d			
e			-65,763.

  

2 Capital gain net income or (net capital loss)	{ If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7	2	-65,763.
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) If (loss), enter -0- in Part I, line 8		3	N/A

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

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

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

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

☐ Yes ☒ No

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2010	129,473.	3,204,813.	.040400
2009	139,114.	2,661,586.	.052267
2008	157,438.	2,815,543.	.055917
2007	130,000.	3,372,527.	.038547
2006	136,000.	2,655,138.	.051221

  

2 Total of line 1, column (d)	2	.238352
3 Average distribution ratio for the 5-year base period - divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years	3	.047670
4 Enter the net value of noncharitable-use assets for 2011 from Part X, line 5	4	5,176,701.
5 Multiply line 4 by line 3	5	246,773.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	3,819.
7 Add lines 5 and 6	7	250,592.
8 Enter qualifying distributions from Part XII, line 4 If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate See the Part VI instructions	8	186,085.

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

1a Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1 Date of ruling or determination letter _____ (attach copy of letter if necessary-see instructions)		1	7,639.
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input type="checkbox"/> and enter 1% of Part I, line 27b			
c All other domestic foundations enter 2% of line 27b Exempt foreign organizations enter 4% of Part I, line 12, col (b)			
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)		2	0.
3 Add lines 1 and 2		3	7,639.
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)		4	0.
5 Tax based on investment income. Subtract line 4 from line 3 If zero or less, enter -0-		5	7,639.
6 Credits/Payments			
a 2011 estimated tax payments and 2010 overpayment credited to 2011	6a	2,138.	
b Exempt foreign organizations - tax withheld at source	6b		
c Tax paid with application for extension of time to file (Form 8868)	6c		
d Backup withholding erroneously withheld	6d		
7 Total credits and payments Add lines 6a through 6d	7	2,138.	
8 Enter any penalty for underpayment of estimated tax Check here <input checked="" type="checkbox"/> if Form 2220 is attached	8	1.	
9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9	5,502.	
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10		
11 Enter the amount of line 10 to be Credited to 2012 estimated tax <input type="checkbox"/> Refunded <input type="checkbox"/>	11		

**Part VII-A Statements Regarding Activities**

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

N/A

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

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)	11		X
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	X	

Website address ► N/A

14 The books are in care of ► MYRTH YORK Telephone no. ► 401-421-0738  
 Located at ► 44 HAZARD AVENUE, PROVIDENCE, RI ZIP+4 ► 02906

15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here and enter the amount of tax-exempt interest received or accrued during the year. ► 15 N/A

16 At any time during calendar year 2011, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? Yes No  
16 X  
 See the instructions for exceptions and filing requirements for Form TD F 90-22.1 If "Yes," enter the name of the foreign country ►

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

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.

	Yes	No
1a During the year did the foundation (either directly or indirectly)		
(1) Engage in the sale or exchange, or leasing of property with a disqualified person? <span style="float: right;"><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</span>		
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? <span style="float: right;"><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</span>		
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? <span style="float: right;"><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</span>		
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <span style="float: right;"><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</span>		
(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)? <span style="float: right;"><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</span>		
(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.) <span style="float: right;"><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</span>		
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)? <span style="float: right;">N/A</span>	1b	
Organizations relying on a current notice regarding disaster assistance check here <span style="float: right;">► <input type="checkbox"/></span>		
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? <span style="float: right;">N/A</span>	1c	X
2 Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))		
a At the end of tax year 2011, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2011? <span style="float: right;"><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</span>		
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.) <span style="float: right;">N/A</span>	2b	
c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here ► _____		
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? <span style="float: right;"><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</span>		
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.) <span style="float: right;">N/A</span>	3b	
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a	X
b Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2011?	4b	X

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**Part VII-B** Statements Regarding Activities for Which Form 4720 May Be Required (continued)**5a** During the year did the foundation pay or incur any amount to

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No**b** If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)?

N/A

Organizations relying on a current notice regarding disaster assistance check here

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

N/A

☐ Yes ☐ No

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

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

If "Yes" to 6b, file Form 8870.

☐ Yes ☒ No**7a** At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?☐ Yes ☒ No**b** If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction?

N/A

**Part VIII** Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors**1** List all officers, directors, trustees, foundation managers and their compensation.

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
MYRTH YORK 44 HAZARD AVENUE PROVIDENCE, RI 02906	PRESIDENT 2.00	0.	0.	0.
AMY GABARRA 19 BOYLSTON STREET PROVIDENCE, RI 02906	TRUSTEE 1.00	0.	0.	0.
DEBORAH M. BRAYTON 127 TENTH STREET PROVIDENCE, RI 02906	TRUSTEE 1.00	25,000.	0.	0.

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

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

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

0

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

<b>1</b>	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes		
<b>a</b>	Average monthly fair market value of securities	<b>1a</b>	4,668,013.
<b>b</b>	Average of monthly cash balances	<b>1b</b>	587,521.
<b>c</b>	Fair market value of all other assets	<b>1c</b>	
<b>d</b>	Total (add lines 1a, b, and c)	<b>1d</b>	5,255,534.
<b>e</b>	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	<b>1e</b>	0.
<b>2</b>	Acquisition indebtedness applicable to line 1 assets	<b>2</b>	0.
<b>3</b>	Subtract line 2 from line 1d	<b>3</b>	5,255,534.
<b>4</b>	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	<b>4</b>	78,833.
<b>5</b>	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	<b>5</b>	5,176,701.
<b>6</b>	Minimum investment return. Enter 5% of line 5	<b>6</b>	258,835.

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

<b>1</b>	Minimum investment return from Part X, line 6	<b>1</b>	258,835.
<b>2a</b>	Tax on investment income for 2011 from Part VI, line 5	<b>2a</b>	7,639.
<b>b</b>	Income tax for 2011 (This does not include the tax from Part VI)	<b>2b</b>	
<b>c</b>	Add lines 2a and 2b	<b>2c</b>	7,639.
<b>3</b>	Distributable amount before adjustments. Subtract line 2c from line 1	<b>3</b>	251,196.
<b>4</b>	Recoveries of amounts treated as qualifying distributions	<b>4</b>	0.
<b>5</b>	Add lines 3 and 4	<b>5</b>	251,196.
<b>6</b>	Deduction from distributable amount (see instructions)	<b>6</b>	0.
<b>7</b>	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	<b>7</b>	251,196.

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

<b>1</b>	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes		
<b>a</b>	Expenses, contributions, gifts, etc. - total from Part I, column (d), line 26	<b>1a</b>	186,085.
<b>b</b>	Program-related investments - total from Part IX-B	<b>1b</b>	0.
<b>2</b>	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	<b>2</b>	
<b>3</b>	Amounts set aside for specific charitable projects that satisfy the		
<b>a</b>	Suitability test (prior IRS approval required)	<b>3a</b>	
<b>b</b>	Cash distribution test (attach the required schedule)	<b>3b</b>	
<b>4</b>	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	<b>4</b>	186,085.
<b>5</b>	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b	<b>5</b>	0.
<b>6</b>	Adjusted qualifying distributions. Subtract line 5 from line 4	<b>6</b>	186,085.

**Note.** The amount on line 6 will be used in Part V, column (b), in subsequent years when calculating whether the foundation qualifies for the section 4940(e) reduction of tax in those years.

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

	(a) Corpus	(b) Years prior to 2010	(c) 2010	(d) 2011
<b>1</b> Distributable amount for 2011 from Part XI, line 7				251,196.
<b>2</b> Undistributed income, if any, as of the end of 2011				
<b>a</b> Enter amount for 2010 only			155,025.	
<b>b</b> Total for prior years		0.		
<b>3</b> Excess distributions carryover, if any, to 2011				
<b>a</b> From 2006				
<b>b</b> From 2007				
<b>c</b> From 2008				
<b>d</b> From 2009				
<b>e</b> From 2010				
<b>f</b> Total of lines 3a through e	0.			
<b>4</b> Qualifying distributions for 2011 from Part XII, line 4 ▶ \$ 186,085.				
<b>a</b> Applied to 2010, but not more than line 2a			155,025.	
<b>b</b> Applied to undistributed income of prior years (Election required - see instructions)		0.		
<b>c</b> Treated as distributions out of corpus (Election required - see instructions)	0.			
<b>d</b> Applied to 2011 distributable amount				31,060.
<b>e</b> Remaining amount distributed out of corpus	0.			
<b>5</b> Excess distributions carryover applied to 2011 (If an amount appears in column (d), the same amount must be shown in column (a).)	0.			0.
<b>6</b> Enter the net total of each column as indicated below:				
<b>a</b> Corpus Add lines 3f, 4c, and 4e Subtract line 5	0.			
<b>b</b> Prior years' undistributed income Subtract line 4b from line 2b		0.		
<b>c</b> Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
<b>d</b> Subtract line 6c from line 6b Taxable amount - see instructions		0.		
<b>e</b> Undistributed income for 2010 Subtract line 4a from line 2a Taxable amount - see instr			0.	
<b>f</b> Undistributed income for 2011 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2012				220,136.
<b>7</b> Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3)	0.			
<b>8</b> Excess distributions carryover from 2006 not applied on line 5 or line 7	0.			
<b>9</b> Excess distributions carryover to 2012. Subtract lines 7 and 8 from line 6a	0.			
<b>10</b> Analysis of line 9				
<b>a</b> Excess from 2007				
<b>b</b> Excess from 2008				
<b>c</b> Excess from 2009				
<b>d</b> Excess from 2010				
<b>e</b> Excess from 2011				

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

N/A

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

**b. Check box to indicate whether the foundation is a private operating foundation described in section**

☐ 4942(j)(3) or ☐ 4942(j)(5)

- 2 a** Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed

**b 85% of line 2a**

**c** Qualifying distributions from Part XII,  
line 4 for each year listed

**d** Amounts included in line 2c not used directly for active conduct of exempt activities

**e Qualifying distributions made directly for active conduct of exempt activities**

Subtract line 2d from line 2c

- 3** Complete 3a, b, or c for the alternative test relied upon.

a "Assets" alternative test - enter

(1) Value of all assets

**(2) Value of assets qualifying under section 4942(j)(3)(B)(i)**

**b "Endowment" alternative test - enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed**

**c "Support" alternative test - enter**

(1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)

**(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii)**

**(3) Largest amount of support from an exempt organization**

(4) Gross investment income

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

### 1 Information Regarding Foundation Managers:

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

NONE

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

NONE

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

Check here ☐ if the foundation only makes contributions to preselected charitable organizations and does not accept unsolicited requests for funds. If the foundation makes gifts, grants, etc. (see instructions) to individuals or organizations under other conditions, complete items 2a, b, c, and d.

**a The name, address, and telephone number of the person to whom applications should be addressed**

MYRTH YORK, 407-421-0738

44 HAZARD AVENUE, PROVIDENCE, RI 02906

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

**LETTER - CHARITABLE PURPOSE, HISTORY, CONTACTS**

**c Any submission deadlines**

NONE

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

## EDUCATIONAL INSTITUTIONS AND NATIONAL CHARITIES

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
<b>a Paid during the year</b>				
SEE ATTACHED				155,500.
<b>Total</b>			<b>3a</b>	155,500.
<b>b Approved for future payment</b>				
NONE				
<b>Total</b>			<b>3b</b>	0.



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

1 Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?

**a Transfers from the reporting foundation to a noncharitable exempt organization of**

(1) Cash

**(2) Other assets**

**b Other transactions**

**(1) Sales of assets to a noncharitable exempt organization**

**(2) Purchases of assets from a noncharitable exempt organization**

**(3) Rental of facilities, equipment, or other assets**

#### (4) Reimbursement arrangements

**(5) Loans or loan guarantees**

**(6) Performance of services or membership or fundraising solicitations**

**c Sharing of facilities, equipment, mailing lists, other assets, or paid employees**

**d** If the answer to any of the above is "Yes," complete the following schedule. Column (b) should always show the fair market value of the goods, other assets, or services given by the reporting foundation. If the foundation received less than fair market value in any transaction or sharing arrangement, show in column (d) the value of the goods, other assets, or services received.

	Yes	No
1a(1)		X
1a(2)		X
1b(1)		X
1b(2)		X
1b(3)		X
1b(4)		X
1b(5)		X
1b(6)		X
1c		X

[illegible]

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

☐ Yes ☒ No

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

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

**Sign  
Here**

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than taxpayer) is based on all information of which preparer has any knowledge.

Signature of officer or trustee

Date 6/22/12

PRESIDENT

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

☒ Yes ☐ No

**Paid  
Preparer  
Use Only**

Print/Type preparer's name

Preparer's signature \_\_\_\_\_

Date \_\_\_\_\_

Check ☐ self-employed

PTIN

ELIZABETH M. GELSON ELIZABETH M. GELS 06/18/12

P00071920

Firm's name ► UNTRACHT EARLY LLC

Firm's EIN ▶	22-3754856
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Firm's address ▶ 325 COLUMBIA TURNPIKE, SUITE 202  
FLORHAM PARK, NJ 07932

Phone no 973-408-6700

Form **990-PF** (2011)

**Schedule B**  
(Form 990, 990-EZ,  
or 990-PF)

Department of the Treasury  
Internal Revenue Service

**Schedule of Contributors**

▶ Attach to Form 990, Form 990-EZ, or Form 990-PF.

OMB No 1545-0047

**2011**

Name of the organization

OTTO H. YORK FOUNDATION INC.

Employer identification number

22-5154083

Organization type (check one):

Filers of:

Section:

Form 990 or 990-EZ

☐ 501(c)( ) (enter number) organization

☐ 4947(a)(1) nonexempt charitable trust **not** treated as a private foundation

☐ 527 political organization

Form 990-PF

☒ 501(c)(3) exempt private foundation

☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation

☐ 501(c)(3) taxable private foundation

Check if your organization is covered by the **General Rule** or a **Special Rule**.

**Note.** Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule. See instructions.

**General Rule**

- ☒ For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, \$5,000 or more (in money or property) from any one contributor. Complete Parts I and II.

**Special Rules**

- ☐ For a section 501(c)(3) organization filing Form 990 or 990-EZ that met the 33 1/3% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi) and received from any one contributor, during the year, a contribution of the greater of (1) \$5,000 or (2) 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1. Complete Parts I and II.
- ☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than \$1,000 for use *exclusively* for religious, charitable, scientific, literary, or educational purposes, or the prevention of cruelty to children or animals. Complete Parts I, II, and III.
- ☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions for use *exclusively* for religious, charitable, etc., purposes, but these contributions did not total to more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Do not complete any of the parts unless the **General Rule** applies to this organization because it received nonexclusively religious, charitable, etc., contributions of \$5,000 or more during the year. ▶ \$ \_\_\_\_\_

**Caution.** An organization that is not covered by the General Rule and/or the Special Rules does not file Schedule B (Form 990, 990-EZ, or 990-PF), but it **must** answer "No" on Part IV, line 2, of its Form 990; or check the box on line H of its Form 990-EZ or on Part I, line 2 of its Form 990-PF, to certify that it does not meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF).

LHA For Paperwork Reduction Act Notice, see the Instructions for Form 990, 990-EZ, or 990-PF. Schedule B (Form 990, 990-EZ, or 990-PF) (2011)

Name of organization

Employer identification number

OTTO H. YORK FOUNDATION INC.

22-5154083

**Part I Contributors** (see instructions). Use duplicate copies of Part I if additional space is needed.

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	ESTATE OF OTTO YORK C/O MYRTH YORK, 44 HAZARD AVENUE PROVIDENCE, RI 02906	\$ 1,351,597.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution.)
2	ESTATE OF OTTO YORK C/O MYRTH YORK, 44 HAZARD AVENUE PROVIDENCE, RI 02906	\$ 1,078,667.	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input checked="" type="checkbox"/> (Complete Part II if there is a noncash contribution.)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution.)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution.)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution.)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution.)



Employer identification number

22-5154083

**Part II Noncash Property** (see instructions) Use duplicate copies of Part II if additional space is needed.

(a) No. from Part I	(b)  Description of noncash property given	(c)  FMV (or estimate) (see instructions)	(d)  Date received
2	13,406 SHS BANK OF AMERICA CORP 8,365 SHS EXXON MOBIL CORP 6,459 SHS MERCK & CO	\$ 1,078,667.	05/13/12
(a) No. from Part I	(b)  Description of noncash property given	(c)  FMV (or estimate) (see instructions)	(d)  Date received
		\$	
(a) No. from Part I	(b)  Description of noncash property given	(c)  FMV (or estimate) (see instructions)	(d)  Date received
		\$	
(a) No. from Part I	(b)  Description of noncash property given	(c)  FMV (or estimate) (see instructions)	(d)  Date received
		\$	
(a) No. from Part I	(b)  Description of noncash property given	(c)  FMV (or estimate) (see instructions)	(d)  Date received
		\$	
(a) No. from Part I	(b)  Description of noncash property given	(c)  FMV (or estimate) (see instructions)	(d)  Date received
		\$	
(a) No. from Part I	(b)  Description of noncash property given	(c)  FMV (or estimate) (see instructions)	(d)  Date received
		\$	

Name of organization

Employer identification number

OTTO H. YORK FOUNDATION INC.

22-5154083

**Part III**

**Exclusively religious, charitable, etc., individual contributions to section 501(c)(7), (8), or (10) organizations that total more than \$1,000 for the year.** Complete columns (a) through (e) and the following line entry. For organizations completing Part III, enter the total of **exclusively religious, charitable, etc., contributions of \$1,000 or less for the year** (Enter this information once) ▶ \$ \_\_\_\_\_

Use duplicate copies of Part III if additional space is needed.

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee

OTTO H. YORK FOUNDATION INC.

**Part IV** Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co		(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo, day, yr)	(d) Date sold (mo, day, yr)
1a	ABBOTT LABORATORIES NOTES - 100 SHS	P	01/09/08	03/15/11
b	BOEING CO - 750.00000 SHS	P	05/22/97	06/16/11
c	BOEING CO - 750.00000 SHS	P	05/22/97	06/23/11
d	EXXON MOBIL CORP - 1,000.00000 SHS	D	01/22/08	06/16/11
e	EXXON MOBIL CORP - 1,000.00000 SHS	D	01/22/08	06/23/11
f	HEADWATERS INC - 2,000.00000 SHS	P	03/01/05	06/16/11
g	HEADWATERS INC - 1,000.00000 SHS	P	03/01/05	06/16/11
h	HEADWATERS INC - 1,300.00000 SHS	P	01/06/09	06/16/11
i	HEADWATERS INC - 1,000.00000 SHS	P	01/06/09	06/16/11
j	HEADWATERS INC - 400.00000 SHS	P	01/06/09	06/16/11
k	HEADWATERS INC - 200.00000 SHS	P	01/06/09	06/16/11
l	HEADWATERS INC - 100.00000 SHS	P	01/06/09	06/16/11
m	EATON VANCE SENIOR FLOATING RATE FUND - 100.0000	P	11/28/07	09/23/11
n	EATON VANCE SENIOR FLOATING RATE FUND - 500.0000	P	11/28/07	09/23/11
o	EATON VANCE SENIOR FLOATING RATE FUND - 300.0000	P	11/28/07	09/23/11

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a 100,000.		100,121.	-121.
b 55,049.		37,641.	17,408.
c 53,070.		37,641.	15,429.
d 78,193.		80,995.	-2,802.
e 77,544.		80,995.	-3,451.
f 5,628.		66,399.	-60,771.
g 2,814.		33,222.	-30,408.
h 3,658.		9,980.	-6,322.
i 2,814.		7,704.	-4,890.
j 1,126.		3,077.	-1,951.
k 563.		1,545.	-982.
l 281.		768.	-487.
m 1,334.		1,582.	-248.
n 6,695.		7,882.	-1,187.
o 4,017.		4,746.	-729.

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

(i) FMV as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	(l) Losses (from col (h)) Gains (excess of col (h) gain over col (k), but not less than "-0-")
a			-121.
b			17,408.
c			15,429.
d			-2,802.
e			-3,451.
f			-60,771.
g			-30,408.
h			-6,322.
i			-4,890.
j			-1,951.
k			-982.
l			-487.
m			-248.
n			-1,187.
o			-729.

2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7  
If (loss), enter "-0-" in Part I, line 7 }

2

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

3

OTTO H. YORK FOUNDATION INC.

**Part IV** Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co		(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a	EATON VANCE SENIOR FLOATING RATE FUND - 1,500.00	P	11/28/07	09/23/11
b	EATON VANCE SENIOR FLOATING RATE FUND - 300.0000	P	11/28/07	09/23/11
c	EXXON MOBIL CORP - 1,000.00000 SHS	D	01/22/08	09/23/11
d	INTEL CORP - 2,500.00000 SHS	P	05/22/97	09/08/11
e	INTEL CORP - 1,200.00000 SHS	P	05/22/97	09/23/11
f	PROCTER GAMBLE CO - 787.00000 SHS	P	05/22/97	09/08/11
g	PROCTER GAMBLE CO - 300.00000 SHS	P	05/22/97	09/23/11
h	PROCTER GAMBLE CO - 400.00000 SHS	P	05/22/97	09/23/11
i	PEPCO HOLDINGS INC - 2,600.00000 SHS	P	10/16/85	11/29/11
j	COHEN STEERS INFRASTRUCTURE FUND INC - 137.50800	P	01/11/11	12/23/11
k	COHEN STEERS INFRASTRUCTURE FUND INC - 130.27300	P	04/12/11	12/23/11
l	COHEN STEERS INFRASTRUCTURE FUND INC - 88.25100	P	07/11/11	12/23/11
m	COHEN STEERS INFRASTRUCTURE FUND INC - 44.28500	P	07/11/11	12/23/11
n	COHEN STEERS INFRASTRUCTURE FUND INC - 156.00300	P	09/30/11	12/23/11
o	COHEN STEERS INFRASTRUCTURE FUND INC - 2,800.000	P	02/11/08	12/23/11

(a) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a 20,054.		23,645.	-3,591.
b 4,008.		4,746.	-738.
c 69,026.		80,995.	-11,969.
d 50,141.		50,430.	-289.
e 26,308.		24,206.	2,102.
f 49,651.		26,661.	22,990.
g 18,192.		10,163.	8,029.
h 24,261.		13,551.	10,710.
i 49,588.		39,549.	10,039.
j 2,143.		2,300.	-157.
k 2,030.		2,349.	-319.
l 1,375.		1,595.	-220.
m 689.		801.	-112.
n 2,427.		2,444.	-17.
o 43,646.		69,917.	-26,271.

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

(i) FMV as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	(l) Losses (from col (h)) Gains (excess of col (h) gain over col (k), but not less than "-0-")
a			-3,591.
b			-738.
c			-11,969.
d			-289.
e			2,102.
f			22,990.
g			8,029.
h			10,710.
i			10,039.
j			-157.
k			-319.
l			-220.
m			-112.
n			-17.
o			-26,271.

2 Capital gain net income or (net capital loss)	{ If gain, also enter in Part I, line 7 If (loss), enter "-0-" in Part I, line 7 }		2	
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) If (loss), enter "-0-" in Part I, line 8	}		3	

OTTO H. YORK FOUNDATION INC.

**Part IV** Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co		(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo, day, yr)	(d) Date sold (mo, day, yr)
1a	COHEN STEERS INFRASTRUCTURE FUND INC - 1,644.000	P	02/11/08	12/23/11
b	COHEN STEERS INFRASTRUCTURE FUND INC - 1,056.000	P	02/11/08	12/23/11
c	COHEN STEERS INFRASTRUCTURE FUND INC - 100.00000	P	02/11/08	12/23/11
d	COHEN STEERS INFRASTRUCTURE FUND INC - 140.13400	P	04/09/09	12/23/11
e	COHEN STEERS INFRASTRUCTURE FUND INC - 112.45100	P	07/09/09	12/23/11
f	COHEN STEERS INFRASTRUCTURE FUND INC - 102.51700	P	10/09/09	12/23/11
g	COHEN STEERS INFRASTRUCTURE FUND INC - 87.26100	P	01/12/10	12/23/11
h	COHEN STEERS INFRASTRUCTURE FUND INC - 93.82200	P	03/19/10	12/23/11
i	COHEN STEERS INFRASTRUCTURE FUND INC - 113.28700	P	07/08/10	12/23/11
j	COHEN STEERS INFRASTRUCTURE FUND INC - 138.49600	P	10/11/10	12/23/11
k	BANCORP RHODE ISLAND XXX INC - 572 SHS	P	11/01/11	01/04/12
l	BANCORP RHODE ISLAND XXX INC - 328 SHS	P	11/01/11	01/04/12
m	BANCORP RHODE ISLAND XXX INC - 100 SHS	P	11/01/11	01/04/12
n	US TREASURY INFLATION IDX NOTE CPN 2.5%	P	06/21/11	01/26/12
o	US TREASURY INFLATION IDX NOTE CPN 2.5%	P	07/12/11	01/27/12

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a 25,627.		41,055.	-15,428.
b 16,456.		26,371.	-9,915.
c 1,558.		2,504.	-946.
d 2,184.		1,344.	840.
e 1,752.		1,378.	374.
f 1,598.		1,405.	193.
g 1,360.		1,429.	-69.
h 1,462.		1,450.	12.
i 1,765.		1,473.	292.
j 2,158.		2,250.	-92.
k 25,340.		24,933.	407.
l 14,531.		14,291.	240.
m 4,430.		4,361.	69.
n 27,000.		22,964.	4,036.
o 7,126.		6,277.	849.

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

(i) FMV as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	(l) Losses (from col (h)) Gains (excess of col (h) gain over col (k), but not less than "-0-")
a			-15,428.
b			-9,915.
c			-946.
d			840.
e			374.
f			193.
g			-69.
h			12.
i			292.
j			-92.
k			407.
l			240.
m			69.
n			4,036.
o			849.

2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 If (loss), enter "-0-" in Part I, line 7 }	2
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) If (loss), enter "-0-" in Part I, line 8 }	3

OTTO H. YORK FOUNDATION INC.

**Part IV Capital Gains and Losses for Tax on Investment Income**

(a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co		(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a	US TREASURY INFLATION IDX NOTE CPN 2.5%	P	08/02/11	01/27/12
b	US TREASURY INFLATION IDX NOTE CPN 2.5%	P	06/21/11	01/31/12
c	US TREASURY INFLATION IDX NOTE CPN 2.5%	P	07/12/11	01/31/12
d	CITIGROUP CAPITAL X 6.1 - 100.00000 SHS	P	01/09/08	02/03/12
e	CITIGROUP CAPITAL X 6.1 - 100.00000 SHS	P	01/09/08	02/03/12
f	CITIGROUP CAPITAL X 6.1 - 181.00000 SHS	P	01/09/08	02/03/12
g	CITIGROUP CAPITAL X 6.1 - 100.00000 SHS	P	01/09/08	02/03/12
h	CITIGROUP CAPITAL X 6.1 - 219.00000 SHS	P	01/09/08	02/03/12
i	CITIGROUP CAPITAL X 6.1 - 300.00000 SHS	P	01/09/08	02/03/12
j	CITIGROUP CAPITAL X 6.1 - 800.00000 SHS	P	01/09/08	02/03/12
k	CITIGROUP CAPITAL X 6.1 - 300.00000 SHS	P	01/09/08	02/03/12
l	CITIGROUP CAPITAL X 6.1 - 100.00000 SHS	P	01/09/08	02/03/12
m	CITIGROUP CAPITAL X 6.1 - 500.00000 SHS	P	01/09/08	02/03/12
n	CITIGROUP CAPITAL X 6.1 - 300.00000 SHS	P	01/09/08	02/03/12
o	CITIGROUP CAPITAL X 6.1 - 100.00000 SHS	P	01/09/08	02/03/12

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a 5,701.		5,339.	362.
b 1,443.		1,209.	234.
c 14,429.		12,555.	1,874.
d 2,339.		2,046.	293.
e 2,341.		2,046.	295.
f 4,235.		3,703.	532.
g 2,339.		2,046.	293.
h 5,120.		4,481.	639.
i 7,011.		6,138.	873.
j 18,687.		16,369.	2,318.
k 7,002.		6,138.	864.
l 2,333.		2,046.	287.
m 11,660.		10,230.	1,430.
n 6,993.		6,138.	855.
o 2,330.		2,046.	284.

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

(i) FMV as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	(l) Losses (from col (h)) Gains (excess of col (h) gain over col (k), but not less than "-0-")
a			362.
b			234.
c			1,874.
d			293.
e			295.
f			532.
g			293.
h			639.
i			873.
j			2,318.
k			864.
l			287.
m			1,430.
n			855.
o			284.

2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 If (loss), enter "-0-" in Part I, line 7 }	2
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) If (loss), enter "-0-" in Part I, line 8 }	3

**Part IV** Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co		(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a	CITIGROUP CAPITAL X 6.1 - 600.00000 SHS	P	01/09/08	02/03/12
b	CITIGROUP CAPITAL X 6.1 - 1100.00000 SHS	P	01/09/08	02/03/12
c	US TREASURY INFLATION IDX NOTE CPN 2.5%	P	08/02/11	02/28/12
d	US TREASURY INFLATION IDX NOTE CPN 2.5%	P	08/02/11	02/29/12
e	US TREASURY NOTES CPN 3.625%	P	06/21/11	02/14/12
f	US TREASURY NOTES CPN 0.875%	P	06/21/11	02/29/12
g	CAPITAL GAINS DIVIDENDS			
h				
i				
j				
k				
l				
m				
n				
o				

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a 13,974.		12,276.	1,698.
b 25,596.		22,507.	3,089.
c 15,793.		14,682.	1,111.
d 14,249.		13,347.	902.
e 42,523.		36,378.	6,145.
f 95,000.		95,473.	-473.
g 795.			795.
h			
i			
j			
k			
l			
m			
n			
o			

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Losses (from col (h)) Gains (excess of col (h) gain over col (k), but not less than "-0-")
(i) FMV as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
a			1,698.
b			3,089.
c			1,111.
d			902.
e			6,145.
f			-473.
g			795.
h			
i			
j			
k			
l			
m			
n			
o			

2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 If (loss), enter "-0-" in Part I, line 7 }	2	-65,763.
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) If (loss), enter "-0-" in Part I, line 8 }	3	N/A

# OTTO H.YORK FOUNDATION

## FYE 2012 Contributions

	Date	Contribution	Activity
<b>ACLU Foundation of RI</b> 128 Dorrance Street Providence, RI 02903	1/6/2012	\$2,000	Health & Welfare
<b>Adopt a Doctor</b> 101 Dyer Street Providence, RI 02903	1/6/2012	\$2,000	Health & Welfare
<b>Amos House</b> 415 Friendship Street P.O. Box 72873 Providence, RI 02907	1/6/2012	\$3,000	Health & Welfare
<b>Bethany Home</b> 111 South Angell Street Providence, RI 02906	2/9/2012	\$2,000	Health & Welfare
<b>Children's Friend</b> 153 Summer Street Providence, RI 02903	2/9/2012	\$2,000	Health& Welfare
<b>City Year</b> 77 Eddy Street 2nd Floor Providence, RI 02903	1/6/2012	\$2,000	Education
<b>College Visions</b> 131 Washington Street Providence, RI 02903	1/6/2012	\$5,000	Education
<b>Community Music Works</b> 1392 Westminster Street Providence, RI 02909	1/6/2012	\$3,000	Library & Arts
<b>Day One</b> 100 Medway Street Providence, RI 02906	1/6/2012	\$2,000	Health & Welfare
<b>Everett</b> 9 Duncan Avenue Providence, RI 02906	1/6/2012	\$2,000	Library & Arts
<b>Gamm Theatre</b> 172 Exchange Street Pawtucket, RI 02860	1/6/2012	\$8,000	Library & Arts
<b>Grow Smart</b> 235 Promenade Street Suite 550 Providence, RI 02908	1/6/2012	\$2,500	Health & Welfare
<b>Haven of God Ministries</b> P.O. Box 224 Woonsocket, RI 02895	1/6/2012	\$5,000	Health & Welfare



# OTTO H.YORK FOUNDATION

## FYE 2012 Contributions

	Date	Contribution	Activity
<b>Home &amp; Hospice Care of RI</b> 1085 North Main Street Providence, RI 02904	1/6/2012	\$5,000	Health & Welfare
<b>Institute for Study &amp; Practice of NonViolence</b> 265 Oxford Street Providence, RI 02905	1/6/2012	\$2,500	Health & Welfare
<b>Marriage Equality of RI Education Fund</b> 118 North Main Street Providence, RI 02903	1/6/2012	\$10,000	Health & Welfare
<b>New Urban Arts</b> 705 Westminster Street Providence, RI 02903	5/2/2011	\$15,000	Library & Arts
<b>Planned Parenthood of Southern New England</b> 345 Whitney Avenue New Haven, CT 06511	1/6/2012	\$5,000	Health & Welfare
<b>The Poverty Institute</b> RI College School of Social Work 600 Mount Pleasant Avenue Providence, RI 02908	9/28/2011	\$10,000	Health & Welfare
<b>Providence Community Library</b> P.O. Box 9267 Providence, RI 02904	1/6/2012	\$3,000	Library & Arts
<b>RI Community Food Bank</b> P.O. Box 817 Providence, RI 02901	1/6/2012	\$3,000	Health & Welfare
<b>Save The Bay</b> 100 Save The Bay Drive Providence, RI 02905	1/6/2012	\$5,000	Health & Welfare
<b>SOIL</b> 124 Church Road Sherburne, NY 13460	2/9/2012	\$2,000	Int'l Development
<b>Somaly Mam Foundation</b> PO Box 4569 New York, NY 10163	2/9/2012	\$2,000	Int'l Development
<b>Sophia Academy</b> 979 Branch Avenue Providence, RI 02904	1/6/2012	\$3,000	Education
<b>The Steel Yard</b> 27 Sims Avenue Providence, RI 02909	9/28/2011	\$10,000	Library & Arts

**OTTO H.YORK FOUNDATION  
FYE 2012 Contributions**

	<b>Date</b>	<b>Contribution</b>	<b>Activity</b>
<b>Providence Summerbridge</b> Wheeler School 216 Hope Street Providence, RI 02906	<b>1/6/2012</b>	<b>\$5,000</b>	<b>Education</b>
<b>Trinity Repertory Company</b> 201 Washington Street Providence, RI 02903	<b>1/6/2012</b>	<b>\$10,000</b>	<b>Library &amp; Arts</b>
<b>Tostan United States</b> 2121 Decatur Place NW Washington, DC 20008	<b>2/9/2012</b>	<b>\$2,000</b>	<b>Int'l Development</b>
<b>Tse Tse Gallery</b> 51 Empire Street Providence, RI 02903	<b>1/4/2012</b>	<b>\$2,500</b>	<b>Library &amp; Arts</b>
<b>VSA Arts RI</b> 500 Prospect Street Pawtucket, RI 02861	<b>1/6/2012</b>	<b>\$2,000</b>	<b>Library &amp; Arts</b>
<b>Waterfire Providence</b> 101 Regent Avenue Providence, RI 02908	<b>1/6/2012</b>	<b>\$3,000</b>	<b>Library &amp; Arts</b>
<b>Women's Fund of Rhode Island</b> One Union Station Providence, RI 02903	<b>1/6/2012</b>	<b>\$5,000</b>	<b>Health &amp; Welfare</b>
<b>WRNI RI Public Radio</b> One Union Station Providence, RI 02903	<b>1/6/2012</b>	<b>\$5,000</b>	<b>Library &amp; Arts</b>
<b>Youth In Action</b> 672 Broad Street Providence, RI 02907	<b>1/6/2012</b>	<b>\$5,000</b>	<b>Health &amp; Welfare</b>
	<b>Total</b>	<b><u>\$155,500</u></b>	

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

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SOURCE	AMOUNT
ESTATE OF OTTO YORK	196,986.
TOTAL TO FORM 990-PF, PART I, LINE 3, COLUMN A	196,986.

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FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 2

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SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	COLUMN (A) AMOUNT
THROUGH WELLS FARGO	201,651.	795.	200,856.
TOTAL TO FM 990-PF, PART I, LN 4	201,651.	795.	200,856.

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FORM 990-PF OTHER INCOME STATEMENT 3

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DESCRIPTION	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
ORDINARY LOSS FROM K-1 BUCKEYE PARTNERS LP	-388.	-388.	
TOTAL TO FORM 990-PF, PART I, LINE 11	-388.	-388.	

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FORM 990-PF ACCOUNTING FEES STATEMENT 4

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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ACCOUNTING FEES	1,935.	0.		1,935.
TO FORM 990-PF, PG 1, LN 16B	1,935.	0.		1,935.

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FORM 990-PF	TAXES			STATEMENT 5
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FEDERAL TAXES	1,900.	0.		0.
FOREIGN TAXES	90.	90.		0.
PAYROLL TAXES	1,723.	0.		1,723.
TO FORM 990-PF, PG 1, LN 18	3,713.	90.		1,723.

FORM 990-PF	OTHER EXPENSES			STATEMENT 6
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
INVESTMENT FEES	15,423.	15,423.		0.
RI FILING FEE	20.	10.		10.
PROFESSIONAL DUES	695.	0.		695.
OFFICE EXPENSES	125.	0.		125.
NON-DEDUCTIBLE EXPENSES FROM K-1S	3.	0.		0.
PAYROLL FEES	219.	0.		319.
WORKERS COMPENSATION INSURANCE	373.	0.		373.
TO FORM 990-PF, PG 1, LN 23	16,858.	15,433.		1,522.

FORM 990-PF	CORPORATE STOCK		STATEMENT 7
DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE	
STOCKS AND OPTIONS	0.	0.	
THROUGH WELLS FARGO #6981	3,268,397.	3,799,038.	
THROUGH WELLS FARGO #9999	1,840,456.	1,850,130.	
TOTAL TO FORM 990-PF, PART II, LINE 10B	5,108,853.	5,649,168.	

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FORM 990-PF      DEPRECIATION OF ASSETS NOT HELD FOR INVESTMENT      STATEMENT      8

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DESCRIPTION	COST OR OTHER BASIS	ACCUMULATED DEPRECIATION	BOOK VALUE
LAPTOP	1,958.	1,958.	0.
TOTAL TO FM 990-PF, PART II, LN 14	1,958.	1,958.	0.

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FORM 990-PF      LIST OF SUBSTANTIAL CONTRIBUTORS      STATEMENT      9  
PART VII-A, LINE 10

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NAME OF CONTRIBUTOR	ADDRESS
ESTATE OF OTTO YORK	C/O MYRTH YORK, 44 HAZARD AVENUE PROVIDENCE, RI 02906

Form **4562**Department of the Treasury  
Internal Revenue Service (99)  
Name(s) shown on return**Depreciation and Amortization 990-PF**  
(Including Information on Listed Property)

▶ See separate instructions.

▶ Attach to your tax return.

OMB No 1545-0172

**2011**Attachment  
Sequence No **179**

OTTO H. YORK FOUNDATION INC.

FORM 990-PF PAGE 1

22-5154083

**Part I Election To Expense Certain Property Under Section 179** Note: If you have any listed property, complete Part V before you complete Part I.

1	Maximum amount (see instructions)	1	500,000.
2	Total cost of section 179 property placed in service (see instructions)	2	
3	Threshold cost of section 179 property before reduction in limitation	3	2,000,000.
4	Reduction in limitation. Subtract line 3 from line 2. If zero or less, enter -0-	4	
5	Dollar limitation for tax year. Subtract line 4 from line 1. If zero or less, enter -0-. If married filing separately, see instructions	5	
6	(a) Description of property	(b) Cost (business use only)	(c) Elected cost
7	Listed property. Enter the amount from line 29	7	
8	Total elected cost of section 179 property. Add amounts in column (c), lines 6 and 7	8	
9	Tentative deduction. Enter the smaller of line 5 or line 8	9	
10	Carryover of disallowed deduction from line 13 of your 2010 Form 4562	10	
11	Business income limitation. Enter the smaller of business income (not less than zero) or line 5	11	
12	Section 179 expense deduction. Add lines 9 and 10, but do not enter more than line 11	12	
13	Carryover of disallowed deduction to 2012. Add lines 9 and 10, less line 12	13	

Note: Do not use Part II or Part III below for listed property. Instead, use Part V.

**Part II Special Depreciation Allowance and Other Depreciation (Do not include listed property.)**

14	Special depreciation allowance for qualified property (other than listed property) placed in service during the tax year	14	1,958.
15	Property subject to section 168(f)(1) election	15	
16	Other depreciation (including ACRS)	16	

**Part III MACRS Depreciation (Do not include listed property.) (See instructions.)****Section A**

17	MACRS deductions for assets placed in service in tax years beginning before 2011	17	
18	If you are electing to group any assets placed in service during the tax year into one or more general asset accounts, check here		

**Section B - Assets Placed in Service During 2011 Tax Year Using the General Depreciation System**

(a) Classification of property	(b) Month and year placed in service	(c) Basis for depreciation (business/investment use only - see instructions)	(d) Recovery period	(e) Convention	(f) Method	(g) Depreciation deduction
19a 3-year property						
b 5-year property						
c 7-year property						
d 10-year property						
e 15-year property						
f 20-year property						
g 25-year property			25 yrs.		S/L	
h Residential rental property	/		27.5 yrs.	MM	S/L	
	/		27 5 yrs.	MM	S/L	
i Nonresidential real property	/		39 yrs.	MM	S/L	
	/			MM	S/L	

**Section C - Assets Placed in Service During 2011 Tax Year Using the Alternative Depreciation System**

20a Class life				S/L	
b 12-year			12 yrs.	S/L	
c 40-year	/		40 yrs.	MM	S/L

**Part IV Summary (See instructions.)**

21	Listed property. Enter amount from line 28	21	
22	Total. Add amounts from line 12, lines 14 through 17, lines 19 and 20 in column (g), and line 21. Enter here and on the appropriate lines of your return. Partnerships and S corporations - see instr.	22	1,958.
23	For assets shown above and placed in service during the current year, enter the portion of the basis attributable to section 263A costs	23	

116251  
11-21-11 LHA For Paperwork Reduction Act Notice, see separate instructions.

Form 4562 (2011)

**Part V Listed Property** (Include automobiles, certain other vehicles, certain computers, and property used for entertainment, recreation, or amusement.)**Note:** For any vehicle for which you are using the standard mileage rate or deducting lease expense, complete only 24a, 24b, columns (a) through (c) of Section A, all of Section B, and Section C if applicable.**Section A - Depreciation and Other Information** (Caution: See the instructions for limits for passenger automobiles.)**24a** Do you have evidence to support the business/investment use claimed? ☐ Yes ☐ No **24b** If "Yes," is the evidence written? ☐ Yes ☐ No

(a) Type of property (list vehicles first)	(b) Date placed in service	(c) Business/ investment use percentage	(d) Cost or other basis	(e) Basis for depreciation (business/investment use only)	(f) Recovery period	(g) Method/ Convention	(h) Depreciation deduction	(i) Elected section 179 cost
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**25** Special depreciation allowance for qualified listed property placed in service during the tax year and used more than 50% in a qualified business use

25

**26** Property used more than 50% in a qualified business use:

		%						
		%						
		%						

**27** Property used 50% or less in a qualified business use:

		%			S/L -		
		%			S/L -		
		%			S/L -		

**28** Add amounts in column (h), lines 25 through 27. Enter here and on line 21, page 1

28

**29** Add amounts in column (i), line 26. Enter here and on line 7, page 1

29

**Section B - Information on Use of Vehicles**

Complete this section for vehicles used by a sole proprietor, partner, or other "more than 5% owner," or related person.

If you provided vehicles to your employees, first answer the questions in Section C to see if you meet an exception to completing this section for those vehicles.

	(a) Vehicle	(b) Vehicle	(c) Vehicle	(d) Vehicle	(e) Vehicle	(f) Vehicle
<b>30</b> Total business/investment miles driven during the year (do not include commuting miles)						
<b>31</b> Total commuting miles driven during the year						
<b>32</b> Total other personal (noncommuting) miles driven						
<b>33</b> Total miles driven during the year. Add lines 30 through 32						
<b>34</b> Was the vehicle available for personal use during off-duty hours?	Yes No	Yes No	Yes No	Yes No	Yes No	Yes No
<b>35</b> Was the vehicle used primarily by a more than 5% owner or related person?						
<b>36</b> Is another vehicle available for personal use?						

**Section C - Questions for Employers Who Provide Vehicles for Use by Their Employees**

Answer these questions to determine if you meet an exception to completing Section B for vehicles used by employees who are not more than 5% owners or related persons.

	Yes	No
<b>37</b> Do you maintain a written policy statement that prohibits all personal use of vehicles, including commuting, by your employees?		
<b>38</b> Do you maintain a written policy statement that prohibits personal use of vehicles, except commuting, by your employees? See the instructions for vehicles used by corporate officers, directors, or 1% or more owners		
<b>39</b> Do you treat all use of vehicles by employees as personal use?		
<b>40</b> Do you provide more than five vehicles to your employees, obtain information from your employees about the use of the vehicles, and retain the information received?		
<b>41</b> Do you meet the requirements concerning qualified automobile demonstration use?		

**Note:** If your answer to 37, 38, 39, 40, or 41 is "Yes," do not complete Section B for the covered vehicles.**Part VI Amortization**

(a) Description of costs	(b) Date amortization begins	(c) Amortizable amount	(d) Code section	(e) Amortization period or percentage	(f) Amortization for this year
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**42** Amortization of costs that begins during your 2011 tax year.


**43** Amortization of costs that began before your 2011 tax year

43

**44** Total. Add amounts in column (f). See the instructions for where to report

44

