



See a Social Security Number? Say Something!
Report Privacy Problems to <https://public.resource.org/privacy>
Or call the IRS Identity Theft Hotline at 1-800-908-4490



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

OMB No 1545-0052

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

05/01, 2011, and ending

04/30, 2012

Name of foundation

POLLOCK FOUNDATION

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

ONE M & T PLAZA, 8TH FLOOR

City or town, state, and ZIP code

BUFFALO, NY 14203

G Check all that apply:

☐ Initial return☐ Final return☐ Address change☐ Initial return of a former public charity☐ Amended return☐ 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) \$ 8,212,568.

J Accounting method: ☒ Cash ☐ Accrual☐ Other (specify) _____

(Part I, column (d) must be on cash basis.)

A Employer identification number

23-7889770

B Telephone number (see instructions)

(716) 842-5506

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 ☐**Part I Analysis of Revenue and Expenses** (The
total of amounts in columns (b), (c), and (d)
may not necessarily equal the amounts in
column (a) (see instructions))(a) Revenue and
expenses per
books(b) Net investment
income(c) Adjusted net
income(d) Disbursements
for charitable
purposes
(cash basis only)

	(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 (attach schedule)				
2 Check ☐ if the foundation is not required to attach Sch. B				
3 Interest on savings and temporary cash investments				
4 Dividends and interest from securities	123,800.	121,178.		STMT 1
5a Gross rents				
b Net rental income or (loss)				
6a Net gain or (loss) from sale of assets not on line 10	-191,801.			
b Gross sales price for all assets on line 6a	2,595,268.			
7 Capital gain net income (from Part IV, line 2)				
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) (attach schedule)				
11 Other income (attach schedule)				
12 Total. Add lines 1 through 11	-68,001.	121,178.		
13 Compensation of officers, directors, trustees, etc.	41,453.	41,453.		
14 Other employee salaries and wages		NONE	NONE	
15 Pension plans, employee benefits		NONE	NONE	
16a Legal fees (attach schedule)				
b Accounting fees (attach schedule)				
c Other professional fees (attach schedule)				
17 Interest				
18 Taxes (attach schedule) (see instructions)	15,830.	4,678.		
19 Depreciation (attach schedule) and depletion				
20 Occupancy				
21 Travel, conferences, and meetings		NONE	NONE	
22 Printing and publications		NONE	NONE	
23 Other expenses (attach schedule)				
24 Total operating and administrative expenses. Add lines 13 through 23	57,283.	46,131.	NONE	
25 Contributions, gifts, grants paid	425,000.			425,000.
26 Total expenses and disbursements. Add lines 24 and 25	482,283.	46,131.	NONE	425,000.
27 Subtract line 26 from line 12	-550,284.			
a Excess of revenue over expenses and disbursements				
b Net investment income (if negative, enter -0-)		75,047.		
c Adjusted net income (if negative, enter -0-)				

For Paperwork Reduction Act Notice, see instructions.

JSA

Form 990-PF (2011)

1E1410 1.000

JO2663 L700 07/10/2012 10:59:25

1152153003

11

Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)	Beginning of year	End of year	
			(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash - non-interest-bearing	273.		
	2	Savings and temporary cash investments	199,021.	254,702.	254,702.
	3	Accounts receivable ▶			
		Less: allowance for doubtful accounts ▶			
	4	Pledges receivable ▶			
		Less: allowance for doubtful accounts ▶			
	5	Grants receivable			
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
	7	Other notes and loans receivable (attach schedule) ▶			
		Less: allowance for doubtful accounts ▶	NONE		
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges			
	10 a	Investments - U S and state government obligations (attach schedule)			
	b	Investments - corporate stock (attach schedule)			
	c	Investments - corporate bonds (attach schedule)			
	11	Investments - land, buildings, and equipment basis			
	Less: accumulated depreciation (attach schedule) ▶				
12	Investments - mortgage loans				
13	Investments - other (attach schedule)	STMT 4	8,628,740.	8,022,792.	7,957,866.
14	Land, buildings, and equipment basis				
	Less: accumulated depreciation (attach schedule) ▶				
15	Other assets (describe ▶)				
16	Total assets (to be completed by all filers - see the instructions Also, see page 1, item I)		8,828,034.	8,277,494.	8,212,568.
Liabilities	17	Accounts payable and accrued expenses			
	18	Grants payable			
	19	Deferred revenue			
	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable (attach schedule)			
	22	Other liabilities (describe ▶)			
23	Total liabilities (add lines 17 through 22)				
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ ☐ and complete lines 24 through 26 and lines 30 and 31.				
	24	Unrestricted			
	25	Temporarily restricted			
	26	Permanently restricted			
	Foundations that do not follow SFAS 117, check here and complete lines 27 through 31. ▶ ☒				
	27	Capital stock, trust principal, or current funds	8,828,034.	8,277,494.	
	28	Paid-in or capital surplus, or land, bldg, and equipment fund			
	29	Retained earnings, accumulated income, endowment, or other funds			
	30	Total net assets or fund balances (see instructions)	8,828,034.	8,277,494.	
	31	Total liabilities and net assets/fund balances (see instructions)	8,828,034.	8,277,494.	

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	8,828,034.
2	Enter amount from Part I, line 27a	2	-550,284.
3	Other increases not included in line 2 (itemize) ▶ SEE STATEMENT 6	3	2,244.
4	Add lines 1, 2, and 3	4	8,279,994.
5	Decreases not included in line 2 (itemize) ▶ SEE STATEMENT 7	5	2,500.
6	Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	8,277,494.

Form 990-PF (2011)

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 PUBLICLY TRADED SECURITIES					
b					
c					
d					
e					
(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)		
a 2,541,292.		2,787,069.	-245,777.		
b					
c					
d					
e					
Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(i) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))		
(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any			
a			-245,777.		
b					
c					
d					
e					
2 Capital gain net income or (net capital loss)			2	-191,801.	
{ If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 }					
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6):			3		
If gain, also enter in Part I, line 8, column (c) (see instructions). If (loss), enter -0- in Part I, line 8					

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 the instructions before making any entries.

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2010	370,000.	8,048,531.	0.045971
2009	324,333.	7,346,022.	0.044151
2008	544,201.	7,415,632.	0.073386
2007	427,833.	10,273,674.	0.041644
2006	425,000.	9,834,220.	0.043216
2 Total of line 1, column (d)			2 0.248368
3 Average distribution ratio for the 5-year base period - divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years			3 0.049674
4 Enter the net value of noncharitable-use assets for 2011 from Part X, line 5			4 7,949,553.
5 Multiply line 4 by line 3			5 394,886.
6 Enter 1% of net investment income (1% of Part I, line 27b)			6 750.
7 Add lines 5 and 6			7 395,636.
8 Enter qualifying distributions from Part XII, line 4			8 425,000.

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.

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 ☐ and enter "N/A" on line 1			
Date of ruling or determination letter _____ (attach copy of letter if necessary - see instructions)			
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☒ and enter 1% of Part I, line 27b		1	750.
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b).			
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)		2	
3 Add lines 1 and 2		3	750.
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)		4	NONE
5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-		5	750.
6 Credits/Payments:			
a 2011 estimated tax payments and 2010 overpayment credited to 2011	6a	6,144.	
b Exempt foreign organizations - tax withheld at source	6b	NONE	
c Tax paid with application for extension of time to file (Form 8868)	6c	NONE	
d Backup withholding erroneously withheld	6d		
7 Total credits and payments Add lines 6a through 6d	7	6,144.	
8 Enter any penalty for underpayment of estimated tax. Check here ☐ if Form 2220 is attached	8		
9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9		
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	5,394.	
11 Enter the amount of line 10 to be: Credited to 2012 estimated tax ☒ 376. Refunded ☐	11	5,018.	

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 page 19 of the instructions for definition)?		X
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?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation ► \$ _____ (2) On foundation managers ► \$ _____		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ► \$ _____		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS?		X
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		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?		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: • 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) ► PA		
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

Form 990-PF (2011)

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 <u>N/A</u>				
14	The books are in care of <u>MANUFACTURERS AND TRADERS TRUST</u> Telephone no <u>(716) 842-5506</u> Located at <u>ONE M&T PLAZA 8TH FLOOR, BUFFALO, NY</u> ZIP + 4 <u>14203</u>			
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. <u>15</u>			
16	At any time during calendar year 2011, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country?	16	Yes	No
See the instructions for exceptions and filing requirements for Form TD F 90-22.1 If "Yes," enter the name of the foreign country <u></u>				X

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

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

	Yes	No
1a During the year did the foundation (either directly or indirectly):		
(1) Engage in the sale or exchange, or leasing of property with a disqualified person? ☐ Yes ☒ No		
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☒ No		
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☐ Yes ☒ No		
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☐ Yes ☒ No		
(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? ☐ Yes ☒ 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). ☐ Yes ☒ 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)? ☐	1b	
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? ☐	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? ☐ Yes ☒ No If "Yes," list the years <u></u>		
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) ☐	2b	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. <u></u>		
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☐ Yes ☒ 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) ☐	3b	
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? ☐	4a	X
b Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2011? ☐	4b	X

Form 990-PF (2011)

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

- (1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? ☐ Yes ☒ No
- (2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive? ☐ Yes ☒ No
- (3) Provide a grant to an individual for travel, study, or other similar purposes? ☐ Yes ☒ No
- (4) Provide a grant to an organization other than a charitable, etc., organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? (see instructions) ☐ Yes ☒ No
- (5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? ☐ Yes ☒ No

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

5b

Organizations relying on a current notice regarding disaster assistance check here ☐**c** If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?☐ Yes ☐ No

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

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

6b

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

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

7b

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

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
SEE STATEMENT 8		41,453.	-0-	-0-

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

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

Total number of other employees paid over \$50,000 ☐ NONE

Form 990-PF (2011)

Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors (continued)**3 Five highest-paid independent contractors for professional services** (see instructions). If none, enter "NONE."

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

Total number of others receiving over \$50,000 for professional services **NONE****Part IX-A Summary of Direct Charitable Activities**

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

	Expenses
1 NONE	
2	
3	
4	

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

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

	Amount
1 NONE	
2	
All other program-related investments See instructions	
3 NONE	
Total. Add lines 1 through 3	

Form 990-PF (2011)

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
a	Average monthly fair market value of securities	1a	7,739,823.
b	Average of monthly cash balances	1b	330,789.
c	Fair market value of all other assets (see instructions)	1c	NONE
d	Total (add lines 1a, b, and c)	1d	8,070,612.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	
2	Acquisition indebtedness applicable to line 1 assets	2	NONE
3	Subtract line 2 from line 1d	3	8,070,612.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	121,059.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	7,949,553.
6	Minimum investment return. Enter 5% of line 5	6	397,478.

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

1	Minimum investment return from Part X, line 6	1	397,478.
2a	Tax on investment income for 2011 from Part VI, line 5	2a	750.
b	Income tax for 2011. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	750.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	396,728.
4	Recoveries of amounts treated as qualifying distributions	4	NONE
5	Add lines 3 and 4	5	396,728.
6	Deduction from distributable amount (see instructions)	6	NONE
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	396,728.

Part XII Qualifying Distributions (see instructions)

1	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes:		
a	Expenses, contributions, gifts, etc. - total from Part I, column (d), line 26	1a	425,000.
b	Program-related investments - total from Part IX-B	1b	
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	NONE
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	NONE
b	Cash distribution test (attach the required schedule)	3b	NONE
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	425,000.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b (see instructions)	5	750.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	424,250.

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

Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2010	(c) 2010	(d) 2011
1 Distributable amount for 2011 from Part XI, line 7				396,728.
2 Undistributed income, if any, as of the end of 2011				
a Enter amount for 2010 only			371,707.	
b Total for prior years: 20 09, 20 , 20		NONE		
3 Excess distributions carryover, if any, to 2011				
a From 2006	NONE			
b From 2007	NONE			
c From 2008	NONE			
d From 2009	NONE			
e From 2010	NONE			
f Total of lines 3a through e	NONE			
4 Qualifying distributions for 2011 from Part XII, line 4: ► \$ 425,000.				
a Applied to 2010, but not more than line 2a			371,707.	
b Applied to undistributed income of prior years (Election required - see instructions)		NONE		
c Treated as distributions out of corpus (Election required - see instructions)	NONE			
d Applied to 2011 distributable amount				53,293.
e Remaining amount distributed out of corpus	NONE			
5 Excess distributions carryover applied to 2011 (If an amount appears in column (d), the same amount must be shown in column (a))	NONE			NONE
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	NONE			
b Prior years' undistributed income Subtract line 4b from line 2b		NONE		
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		NONE		
d Subtract line 6c from line 6b Taxable amount - see instructions		NONE		
e Undistributed income for 2010 Subtract line 4a from line 2a. Taxable amount - see instructions				
f Undistributed income for 2011 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2012				343,435.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions)	NONE			
8 Excess distributions carryover from 2006 not applied on line 5 or line 7 (see instructions)	NONE			
9 Excess distributions carryover to 2012. Subtract lines 7 and 8 from line 6a	NONE			
10 Analysis of line 9:				
a Excess from 2007	NONE			
b Excess from 2008	NONE			
c Excess from 2009	NONE			
d Excess from 2010	NONE			
e Excess from 2011	NONE			

Part XIV Private Operating Foundations (see instructions and Part VII-A, question 9)**NOT APPLICABLE**

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

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

4942(j)(3) or

4942(j)(5)

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

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

Part XV Supplementary Information (Complete this part only if the 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).)

SEE ATTACHED DETAIL

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

SEE ATTACHED DETAIL

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:

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

c Any submission deadlines:

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

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a Paid during the year SEE STATEMENT 11				
Total			▶ 3a	425,000.
b Approved for future payment				
Total			▶ 3b	

FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES

=====

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
-----	-----	-----
LSV VALUE EQUITY FUND STRATEGY	11,859.	11,859.
ALPINE GLOBAL PREMIER PPTYS	8,389.	6,600.
ARTIO GLOBAL HIGH INCOME CL I	5,683.	5,683.
CBRE CLARION GBL REAL ESTATE INCOME	2,318.	1,701.
DWS FLOATING RATE CL I	3,034.	3,034.
DREYFUS INTERNATIONAL BOND CL I	1,437.	1,437.
FEDERATED ULTRA SHORT BOND CL I	3,717.	3,717.
GUINNESS ATKINSON CHINA & HONG KONG	1,002.	1,002.
GUINNESS ATKINSON - GBL ENERGY FD	402.	402.
HARBOR INTERNATIONAL FUND #11	27,301.	27,301.
ING CLARION GLOBAL R/E INCOME FD	560.	344.
T. ROWE PRICE INST LGE-CAP GROWTH	556.	556.
LAZARD EMRG-MKTS EQ PORTFOLIO CL I	10,059.	10,059.
LITMAN GREGORY MSTR SLCT INT'L CL I	753.	753.
MFS EMERGING MARKETS DEBT FD-CL I	5,905.	5,905.
MTB SH TERM CORP BD-INST I-#518	3,423.	3,423.
MTB SH DURATN GOVT BD-INST I-FD #120	1,549.	1,549.
MTB MONEY MKT-INST I-FD #420	52.	52.
MTB MONEY MKT-FUND SELECT SHS	30.	30.
MTB LGE CAP VAL-INST I #327	4,174.	4,174.
MTB LGE CAP GRWTH-INST I #299	494.	494.
MTB INCOME FUND-INST I-FD #143	14,175.	14,175.
MAINSTAY EPOCH GLOBAL EQ YIELD CL I	7,689.	7,689.
RIDGEWORTH SEIX FLT RATE HI INC CL I	4,039.	4,039.
SPDR S&P DIVIDEND ETF	1,247.	1,247.
CRM MID-CAP VALUE CL I	758.	758.
WILMINGTON PRIME MONEY MKT CL SLCT	20.	20.
WILMINGTON SHORT-TERM CORP BD CL I	320.	320.
WILMINGTON LARGE-CAP VALUE CL INST	1,151.	1,151.
WILMINGTON SHORT-DUR GOVT BD CL INST	525.	525.
WILMINGTON BROAD MARKET BOND CL I	1,179.	1,179.

FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES
=====

DESCRIPTION -----	REVENUE AND EXPENSES PER BOOKS -----	NET INVESTMENT INCOME -----
TOTAL	123,800. =====	121,178. =====

FORM 990PF, PART I - TAXES
=====

DESCRIPTION -----	REVENUE AND EXPENSES PER BOOKS -----	NET INVESTMENT INCOME -----
FEDERAL TAXES PRIOR YEAR BALAN	5,008.	
FEDERAL ESTIMATED TAX DEPOSITS	6,144.	
FOREIGN TAXES ON QUALIFIED FOR	4,432.	4,432.
FOREIGN TAXES ON NONQUALIFIED	246.	246.
	-----	-----
TOTALS	15,830.	4,678.
	=====	=====

POLLOCK FOUNDATION

23-7889770

FORM 990PF, PART II - OTHER INVESTMENTS

=====

COST/
FMV

C OR F

DESCRIPTION

ENDING
BOOK VALUE

ENDING
FMV

MTB SMALL CAP GRWTH-#555	C		
CRM MID CAP VALUE	C	56,082.	65,791.
LAZARD EMERGING MKTS PORT	C	369,972.	340,291.
MASTERS SELECT INTL FUND	C		
GUINNESS ATKINSON CHINA & HK	C	163,091.	151,855.
ARTIO GLOBAL HIGH INCOME FD	C	228,236.	223,275.
DREYFUS INTERNATIONAL BOND FD	C		
FEDERATED ULTRA SHORT BD - INS	C	429,975.	429,957.
MFS EMERGING MKTS DEBT FD CL I	C	270,235.	277,018.
DWS FLOATING RATE PLUS	C		
MTB INCOME - INST I FD #143	C		
MTB SHT TRM CORP BD INST I FD	C		
RIDGEWORTH SEIX FLT RATE HIGH	C	168,632.	167,621.
LSV VALUE EQUITY FUND	C	434,547.	428,638.
MORGAN STANLEY FOCUS GRWTH FD	C	403,599.	419,110.
MTB LARGE CAP GRWTH #299	C		
MTB LARGE CAP VALUE #327	C		
MTB MID CAP GRWTH #401	C		
T ROWE PRICE LGE CAP GRWTH FD	C	255,630.	319,984.
ALPINE GLOBAL PREM PROP FD	C	44,102.	41,187.
ING CLARION GLOBAL RE INC FD	C		
HARBOR INTERNATIONAL FD #11	C	963,007.	1,070,977.
GUINNESS ATKINSON GLO ENG FD	C	94,627.	78,557.
MAINSTAY EPOCH GLO EQ YLD FD	C	196,990.	201,910.
RS GLOBAL NAT RESOURCES FD Y	C	222,480.	208,272.
SPDR S&P DIVIDEND ETF	C	55,133.	58,246.
WILMINGTON BROAD MKT BD FD	C	453,633.	462,014.
WILMINGTON MULTI MANAGER RE FD	C	362,772.	366,610.
WILMINGTON SHT TRM CORP BD FD	C	280,790.	281,566.

POLLOCK FOUNDATION

23-7889770

FORM 990PF, PART II - OTHER INVESTMENTS
=====

DESCRIPTION	COST/ FMV C OR F	ENDING BOOK VALUE	ENDING FMV
-----	-----	-----	---
TIAA-CREF MID CAP VALUE FD	C	116,754.	117,012.
WILMINGTON LGE CAP GRWTH FD	C	557,702.	533,064.
WILMINGTON LGE CAP VALUE FD	C	441,432.	417,518.
WILMINGTON MID CAP GRWTH FD	C	566,885.	555,927.
WILMINGTON SML CAP GRWTH FD	C	400,225.	306,960.
CBRE CLARION GLBL RE INC	C	21,657.	21,599.
LITMAN GREGORY MASTER SELECT	C	272,540.	218,741.
ISHARES HIGH DIVIDEND EQ FD	C	192,064.	194,166.
		-----	-----
TOTALS		8,022,792.	7,957,866.
		=====	=====

FORM 990PF, PART III - OTHER INCREASES IN NET WORTH OR FUND BALANCES

DESCRIPTION	AMOUNT
-----	-----
ROUNDING	3.
MUTUAL FUND ADJUSTMENT	2,241.

TOTAL	2,244.
	=====

FORM 990PF, PART III - OTHER DECREASES IN NET WORTH OR FUND BALANCES
=====DESCRIPTION
-----AMOUNT

COST BASIS ADJUSTMENT FOR RETURN OF CAPITAL

2,500.

TOTAL

2,500.
=====

FORM 990PF, PART VIII - LIST OF OFFICERS, DIRECTORS, AND TRUSTEES

=====

OFFICER NAME:

M&T BANK

ADDRESS:

ONE M&T PLAZA 8TH FLOOR

BUFFALO, NY 14203

TITLE:

CORP TTEE

AVERAGE HOURS PER WEEK DEVOTED TO POSITION: 2

COMPENSATION 41,453.

OFFICER NAME:

LAUREN P CACCIAMANI

ADDRESS:

6445 MCCORMICK LANE

HARRISBURG, PA 17111

TITLE:

DIRECTOR

AVERAGE HOURS PER WEEK DEVOTED TO POSITION: 1

OFFICER NAME:

COURTNEY P GORDON

ADDRESS:

8 OAKGLADE DR

HUMMELSTOWN, PA 17036

TITLE:

DIRECTOR

AVERAGE HOURS PER WEEK DEVOTED TO POSITION: 1

OFFICER NAME:

LINDSAY KATHRYN POLLOCK

ADDRESS:

1638 JAMESTOWNE COURT

CHAPEL HILL, NC 27517

TITLE:

DIRECTOR

AVERAGE HOURS PER WEEK DEVOTED TO POSITION: 1

FORM 990PF, PART VIII - LIST OF OFFICERS, DIRECTORS, AND TRUSTEES

=====

OFFICER NAME:
 GRACE M POLLOCK
 ADDRESS:
 333 N 26TH STREET
 CAMP HILL, PA 17011
 TITLE:
 DIRECTOR
 AVERAGE HOURS PER WEEK DEVOTED TO POSITION: 1

OFFICER NAME:
 DAVID H MCLANE PH.D.
 ADDRESS:
 1520 WATERFORD
 CAMP HILL, PA 17011
 TITLE:
 DIRECTOR
 AVERAGE HOURS PER WEEK DEVOTED TO POSITION: 1

OFFICER NAME:
 PAUL A CACCIAMANI, ESQ.
 ADDRESS:
 6445 MCCORMICK LANE
 HARRISBURG, PA 17111
 TITLE:
 DIRECTOR
 AVERAGE HOURS PER WEEK DEVOTED TO POSITION: 1

TOTAL COMPENSATION: 41,453.
 =====

RECIPIENT NAME:

NED SMITH CENTER FOR NATURE AND ART

ADDRESS:

176 WATER COMPANY ROAD

MILLERSBURG, PA 17061

RELATIONSHIP:

NONE

PURPOSE OF GRANT:

PUBLIC SUPPORT

FOUNDATION STATUS OF RECIPIENT:

N/A

AMOUNT OF GRANT PAID 100,000.

RECIPIENT NAME:

MESSIAH COLLEGE

ADDRESS:

ONE COLLEGE AVENUE

GRANTHAM, PA 17027

RELATIONSHIP:

NONE

PURPOSE OF GRANT:

ACADEMIC SCHOLARSHIP

FOUNDATION STATUS OF RECIPIENT:

N/A

AMOUNT OF GRANT PAID 25,000.

RECIPIENT NAME:

PENN STATE MILTON HERSHEY MEDICAL
CENTER A120

ADDRESS:

PO BOX 852

HERSHEY, PA 17033

RELATIONSHIP:

NONE

PURPOSE OF GRANT:

MEDICAL RESEARCH AND SUPPORT

FOUNDATION STATUS OF RECIPIENT:

N/A

AMOUNT OF GRANT PAID 100,000.

POLLÖCK FOUNDATION

23-7889770

FORM 990PF, PART XV, LINE 3 - CONTRIBUTIONS, GIFTS, GRANTS PAID

=====

RECIPIENT NAME:

PINNACLE HEALTH FOUNDATION

ADDRESS:

P.O. BOX 8700

HARRISBURG, PA 17105-8700

RELATIONSHIP:

NONE

PURPOSE OF GRANT:

SUPPORT

FOUNDATION STATUS OF RECIPIENT:

NONE

AMOUNT OF GRANT PAID 200,000.

TOTAL GRANTS PAID:

425,000.

=====

**SCHEDULE D
(Form 1041)**

Department of the Treasury
Internal Revenue Service

Capital Gains and Losses

► Attach to Form 1041, Form 5227, or Form 990-T. See the Instructions for Schedule D (Form 1041) (also for Form 5227 or Form 990-T, if applicable).

OMB No 1545-0092

2011

Name of estate or trust

POLLOCK FOUNDATION

Employer identification number

23-7889770

Note: Form 5227 filers need to complete *only* Parts I and II

Part I Short-Term Capital Gains and Losses - Assets Held One Year or Less

(a) Description of property (Example: 100 shares 7% preferred of "Z" Co)	(b) Date acquired (mo, day, yr)	(c) Date sold (mo, day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) for the entire year Subtract (e) from (d)
1a SHORT-TERM CAPITAL GAIN DIVIDENDS					6,134.

b Enter the short-term gain or (loss), if any, from Schedule D-1, line 1b	1b	-91,492.
2 Short-term capital gain or (loss) from Forms 4684, 6252, 6781, and 8824	2	
3 Net short-term gain or (loss) from partnerships, S corporations, and other estates or trusts	3	
4 Short-term capital loss carryover. Enter the amount, if any, from line 9 of the 2010 Capital Loss Carryover Worksheet	4	()
5 Net short-term gain or (loss). Combine lines 1a through 4 in column (f). Enter here and on line 13, column (3) on the back ►	5	-85,358.

Part II Long-Term Capital Gains and Losses - Assets Held More Than One Year

(a) Description of property (Example: 100 shares 7% preferred of "Z" Co)	(b) Date acquired (mo, day, yr)	(c) Date sold (mo, day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) for the entire year Subtract (e) from (d)
6a LONG-TERM CAPITAL GAIN DIVIDENDS					47,842.

b Enter the long-term gain or (loss), if any, from Schedule D-1, line 6b	6b	-154,285.
7 Long-term capital gain or (loss) from Forms 2439, 4684, 6252, 6781, and 8824	7	
8 Net long-term gain or (loss) from partnerships, S corporations, and other estates or trusts	8	
9 Capital gain distributions	9	
10 Gain from Form 4797, Part I	10	
11 Long-term capital loss carryover. Enter the amount, if any, from line 14 of the 2010 Capital Loss Carryover Worksheet	11	()
12 Net long-term gain or (loss). Combine lines 6a through 11 in column (f). Enter here and on line 14a, column (3) on the back ►	12	-106,443.

For Paperwork Reduction Act Notice, see the Instructions for Form 1041.

Schedule D (Form 1041) 2011

Part III Summary of Parts I and II**Caution: Read the instructions before completing this part.**

	(1) Beneficiaries' (see instr.)	(2) Estate's or trust's	(3) Total
13 Net short-term gain or (loss)	13		-85,358.
14 Net long-term gain or (loss):			
a Total for year	14a		-106,443.
b Unrecaptured section 1250 gain (see line 18 of the wrkst.)	14b		
c 28% rate gain	14c		
15 Total net gain or (loss). Combine lines 13 and 14a	15		-191,801.

Note: If line 15, column (3), is a net gain, enter the gain on Form 1041, line 4 (or Form 990-T, Part I, line 4a). If lines 14a and 15, column (2), are net gains, go to Part V, and do not complete Part IV. If line 15, column (3), is a net loss, complete Part IV and the **Capital Loss Carryover Worksheet**, as necessary.

Part IV Capital Loss Limitation

16 Enter here and enter as a (loss) on Form 1041, line 4 (or Form 990-T, Part I, line 4c, if a trust), the smaller of:	16	(3,000)
a The loss on line 15, column (3) or b \$3,000		

Note: If the loss on line 15, column (3), is more than \$3,000, or if Form 1041, page 1, line 22 (or Form 990-T, line 34), is a loss, complete the **Capital Loss Carryover Worksheet** in the instructions to figure your capital loss carryover.

Part V Tax Computation Using Maximum Capital Gains Rates

Form 1041 filers. Complete this part **only** if both lines 14a and 15 in column (2) are gains, or an amount is entered in Part I or Part II and there is an entry on Form 1041, line 2b(2), and Form 1041, line 22, is more than zero.

Caution: Skip this part and complete the **Schedule D Tax Worksheet** in the instructions if:

- Either line 14b, col. (2) or line 14c, col. (2) is more than zero, or
- Both Form 1041, line 2b(1), and Form 4952, line 4g are more than zero.

Form 990-T trusts. Complete this part **only** if both lines 14a and 15 are gains, or qualified dividends are included in income in Part I of Form 990-T, and Form 990-T, line 34, is more than zero. Skip this part and complete the **Schedule D Tax Worksheet** in the instructions if either line 14b, col. (2) or line 14c, col. (2) is more than zero.

17 Enter taxable income from Form 1041, line 22 (or Form 990-T, line 34)	17	
18 Enter the smaller of line 14a or 15 in column (2) but not less than zero	18	
19 Enter the estate's or trust's qualified dividends from Form 1041, line 2b(2) (or enter the qualified dividends included in income in Part I of Form 990-T)	19	
20 Add lines 18 and 19	20	
21 If the estate or trust is filing Form 4952, enter the amount from line 4g; otherwise, enter -0-	21	
22 Subtract line 21 from line 20. If zero or less, enter -0-	22	
23 Subtract line 22 from line 17. If zero or less, enter -0-	23	
24 Enter the smaller of the amount on line 17 or \$2,300	24	
25 Is the amount on line 23 equal to or more than the amount on line 24? ☐ Yes. Skip lines 25 and 26; go to line 27 and check the "No" box ☐ No. Enter the amount from line 23	25	
26 Subtract line 25 from line 24	26	
27 Are the amounts on lines 22 and 26 the same? ☐ Yes. Skip lines 27 thru 30, go to line 31 ☐ No. Enter the smaller of line 17 or line 22	27	
28 Enter the amount from line 26 (If line 26 is blank, enter -0-)	28	
29 Subtract line 28 from line 27	29	
30 Multiply line 29 by 15% (.15)	30	
31 Figure the tax on the amount on line 23. Use the 2011 Tax Rate Schedule for Estates and Trusts (see the Schedule G instructions in the instructions for Form 1041)	31	
32 Add lines 30 and 31	32	
33 Figure the tax on the amount on line 17. Use the 2011 Tax Rate Schedule for Estates and Trusts (see the Schedule G instructions in the instructions for Form 1041)	33	
34 Tax on all taxable income. Enter the smaller of line 32 or line 33 here and on Form 1041, Schedule G, line 1a (or Form 990-T, line 36)	34	

Schedule D (Form 1041) 2011

SCHEDULE D-1
(Form 1041)

Department of the Treasury
Internal Revenue Service

Continuation Sheet for Schedule D
(Form 1041)

OMB No 1545-0092

2011

► See instructions for Schedule D (Form 1041).

► Attach to Schedule D to list additional transactions for lines 1a and 6a.

Name of estate or trust

POLLOCK FOUNDATION

Employer identification number

23-7889770

Part I Short-Term Capital Gains and Losses - Assets Held One Year or Less

(a) Description of property (Example: 100 sh. 7% preferred of "Z" Co.)	(b) Date acquired (mo., day, yr.)	(c) Date sold (mo., day, yr.)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
1a 1483.59 LSV VALUE EQUITY F	02/18/2011	05/13/2011	21,987.00	21,824.00	163.00
9536. ALPINE GLOBAL PREMIE	02/18/2011	05/13/2011	68,461.00	67,246.00	1,215.00
71.663 DWS FLOATING RATE C	02/18/2011	05/13/2011	682.00	683.00	-1.00
327.35 DREYFUS INTERNATIONAL	02/18/2011	05/13/2011	5,506.00	5,391.00	115.00
273.973 FEDERATED ULTRA SH	02/18/2011	05/13/2011	2,529.00	2,521.00	8.00
I					
3502. ING CLARION GLOBAL R	02/18/2011	05/13/2011	28,997.00	28,970.00	27.00
229.665 MFS EMERGING MARKE	02/18/2011	05/13/2011	3,374.00	3,287.00	87.00
FD-CL I					
464.792 MTB SH TERM CORP B	02/18/2011	05/13/2011	4,787.00	4,764.00	23.00
I-#518					
510.758 MTB MID CAP GRWTH-	02/18/2011	05/13/2011	8,233.00	8,223.00	10.00
#401					
206.114 MTB LGE CAP VAL-IN	02/18/2011	05/13/2011	2,271.00	2,321.00	-50.00
1274.196 MTB INCOME FUND-I	02/18/2011	05/13/2011	12,793.00	12,589.00	204.00
#143					
286.09 MAINSTAY EPOCH GLOB	02/18/2011	05/13/2011	4,620.00	4,429.00	191.00
CL I					
389.317 MORGAN STANLEY FOC	02/18/2011	05/13/2011	15,545.00	15,397.00	148.00
I					
56.176 RIDGEWORTH SEIX FLT	02/18/2011	05/13/2011	507.00	510.00	-3.00
CL I					
24. SPDR S&P DIVIDEND ETF	02/18/2011	05/13/2011	1,322.00	1,297.00	25.00
13994.699 LSV VALUE EQUITY	02/18/2011	11/22/2011	173,674.00	205,862.00	-32,188.00
STRATEGY					
420. ALPINE GLOBAL PREMIER	02/18/2011	11/22/2011	2,197.00	2,914.00	-717.00
1774. CBRE CLARION GLBL RE	02/18/2011	11/22/2011	11,832.00	14,675.00	-2,843.00
INCOME					
869.039 DWS FLOATING RATE	02/18/2011	11/22/2011	7,891.00	8,282.00	-391.00
1087.058 DREYFUS INTERNATI	02/18/2011	11/22/2011	17,947.00	17,904.00	43.00
I					
2622.664 FEDERATED ULTRA S	02/18/2011	11/22/2011	23,997.00	24,129.00	-132.00
I					
6413.573 T. ROWE PRICE INS	02/18/2011	11/22/2011	100,565.00	113,713.00	-13,148.00
GROWTH					
890.918 MFS EMERGING MARKE	02/18/2011	11/22/2011	12,874.00	12,749.00	125.00
FD-CL I					
4022.52 MTB SH TERM CORP B	02/18/2011	11/22/2011	41,110.00	41,231.00	-121.00
I-#518					

1b Total. Combine the amounts in column (f). Enter here and on Schedule D, line 1b

For Paperwork Reduction Act Notice, see the Instructions for Form 1041.

Schedule D-1 (Form 1041) 2011

JSA

1F1221 2 000

J02663 L700 07/10/2012 10:59:25

1152153003

37

-

**Continuation Sheet for Schedule D
(Form 1041)**

OMB No 1545-0092

2011

▶ See instructions for Schedule D (Form 1041).

▶ **Attach to Schedule D to list additional transactions for lines 1a and 6a.**

Name of estate or trust

POLLOCK FOUNDATION

Employer identification number

23-7889770

Part I Short-Term Capital Gains and Losses - Assets Held One Year or Less

[illegible]

1b Total. Combine the amounts in column (f). Enter here and on Schedule D, line 1b	-91,492.00
---	------------

For Paperwork Reduction Act Notice, see the Instructions for Form 1041.

Schedule D-1 (Form 1041) 2011

Name of estate or trust as shown on Form 1041 Do not enter name and employer identification number if shown on the other side

Employer identification number

POLLOCK FOUNDATION

23-7889770

Part II Long-Term Capital Gains and Losses - Assets Held More Than One Year

(a) Description of property (Example 100 sh 7% preferred of "Z" Co)	(b) Date acquired (mo, day, yr)	(c) Date sold (mo, day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
6a 81.853 ARTIO GLOBAL HIGH I	04/09/2010	05/13/2011	868.00	855.00	13.00
48.743 T. ROWE PRICE INST GROWTH	09/20/2007	05/13/2011	849.00	798.00	51.00
628.161 LAZARD EMRG-MKTS E CL I	08/31/2007	05/13/2011	13,411.00	15,032.00	-1,621.00
490.346 MTB SM CAP GRWTH-I #555	04/05/2005	05/13/2011	8,865.00	12,849.00	-3,984.00
3714.948 HARBOR INTERNATIO	09/20/2007	11/22/2011	191,468.00	266,250.00	-74,782.00
1033.616 T. ROWE PRICE INS GROWTH	09/20/2007	11/22/2011	16,207.00	16,930.00	-723.00
2860.858 LITMAN GREGORY MS INT'L CL I	09/20/2007	11/22/2011	35,274.00	65,842.00	-30,568.00
9028. ALPINE GLOBAL PREMIE	02/18/2011	03/27/2012	58,658.00	62,642.00	-3,984.00
1828. CBRE CLARION GLBL RE INCOME	02/18/2011	03/27/2012	14,483.00	15,122.00	-639.00
12259.612 LSV VALUE EQUITY STRATEGY	02/18/2011	03/28/2012	180,829.00	180,339.00	490.00
6969.888 DWS FLOATING RATE	02/18/2011	03/28/2012	64,820.00	66,423.00	-1,603.00
7417.064 DREYFUS INTERNATI I	02/18/2011	03/28/2012	123,717.00	122,159.00	1,558.00
876.28 GUINNESS ATKINSON - FD	02/18/2011	03/28/2012	24,150.00	29,093.00	-4,943.00
264.355 HARBOR INTERNATIONAL	09/20/2007	03/28/2012	15,875.00	18,946.00	-3,071.00
1782.327 T. ROWE PRICE INS GROWTH	09/20/2007	03/28/2012	34,328.00	29,193.00	5,135.00
24.411 LITMAN GREGORY MSTR CL I	08/31/2007	03/28/2012	351.00	547.00	-196.00
1089.43 MORGAN STANLEY FOC I	02/18/2011	03/28/2012	46,007.00	43,087.00	2,920.00
2633.712 RS GLOBAL NATURAL CL Y	02/18/2011	03/28/2012	95,472.00	105,111.00	-9,639.00
1537.126 CRM MID-CAP VALUE	12/17/2007	03/28/2012	45,868.00	45,139.00	729.00
2006.814 WILMINGTON SMALL- CL INST	04/05/2005	03/28/2012	34,838.00	52,586.00	-17,748.00
19838.713 WILMINGTON LARGE CL INST	02/18/2011	03/28/2012	182,119.00	187,873.00	-5,754.00
15594.035 WILMINGTON LARGE CL INST	02/18/2011	03/28/2012	169,663.00	175,589.00	-5,926.00

6b Total. Combine the amounts in column (f). Enter here and on Schedule D, line 6b -154,285.00

Schedule D-1 (Form 1041) 2011