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Form 990-PF

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

OMB No 1545-0052

2011

Department of the Treasury  
Internal Revenue Service

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 08-01-2011 , and ending 07-31-2012

G Check all that apply

☐ Initial return

☐ Initial return of a former public charity

☐ Final return

☐ Amended return

☐ Address change

☐ Name change

Name of foundation  
HELEN L & MARIE F ROTTERMAN TRUST UW OF M ROTTERMAN

A Employer identification number  
31-6236156

Number and street (or P O box number if mail is not delivered to street address)  
1900 KETTERING TOWER

Room/suite





B Telephone number (see page 10 of the instructions)  
(937) 222-2500

City or town, state, and ZIP code  
DAYTON, OH 45423

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 ☐

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) \$ 3,430,441  
J Accounting method ☒ Cash ☐ Accrual  
☐ Other (specify)   
(Part I, column (d) must be on cash basis.)

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see page 11 of the instructions) )		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc , received (attach schedule)				
	2 Check <input checked="" type="checkbox"/> if the foundation is <b>not</b> required to attach Sch B				
	3 Interest on savings and temporary cash investments	1,618	1,618		
	4 Dividends and interest from securities. . . . .	103,729	103,729		
	5a Gross rents . . . . .				
	b Net rental income or (loss) _____				
	6a Net gain or (loss) from sale of assets not on line 10 	101,688			
	b Gross sales price for all assets on line 6a _____ 2,336,735				
	7 Capital gain net income (from Part IV , line 2) . . . . .		101,688		
	8 Net short-term capital gain . . . . .			24,145	
	9 Income modifications . . . . .				
	10a Gross sales less returns and allowances _____				
Operating and Administrative Expenses	b Less Cost of goods sold . . . . .				
	c Gross profit or (loss) (attach schedule) . . . . .				
	11 Other income (attach schedule) . . . . .				
	12 <b>Total.</b> Add lines 1 through 11 . . . . .	207,035	207,035	24,145	
	13 Compensation of officers, directors, trustees, etc	14,229	7,114		7,115
	14 Other employee salaries and wages . . . . .				
	15 Pension plans, employee benefits . . . . .				
	16a Legal fees (attach schedule) . . . . .				
	b Accounting fees (attach schedule) . . . . . 	175			175
	c Other professional fees (attach schedule) . . . . .				
	17 Interest . . . . .				
	18 Taxes (attach schedule) (see page 14 of the instructions) 	6,445	6,445		
	19 Depreciation (attach schedule) and depletion . . . . .				
	20 Occupancy . . . . .				
	21 Travel, conferences, and meetings . . . . .	78	39		39
	22 Printing and publications . . . . .				
	23 Other expenses (attach schedule) . . . . . 	20,247	19,453		794
	24 <b>Total operating and administrative expenses.</b>				
	Add lines 13 through 23 . . . . .	41,174	33,051		8,123
	25 Contributions, gifts, grants paid . . . . .	189,000			189,000
	26 <b>Total expenses and disbursements.</b> Add lines 24 and 25	230,174	33,051		197,123
	27 Subtract line 26 from line 12				
	a <b>Excess of revenue over expenses and disbursements</b>	-23,139			
	b <b>Net investment income</b> (if negative, enter -0-)		173,984		
	c <b>Adjusted net income</b> (if negative, enter -0-)			24,145	

Part II

Balance Sheets

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

		502	502	502	
Assets	1	Cash—non-interest-bearing . . . . .			
	2	Savings and temporary cash investments . . . . .	322,262	487,124	487,124
	3	Accounts receivable ▶ _____ Less allowance for doubtful accounts ▶ _____			
	4	Pledges receivable ▶ _____ Less allowance for doubtful accounts ▶ _____			
	5	Grants receivable . . . . .			
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see page 15 of the instructions) . . . . .			
	7	Other notes and loans receivable (attach schedule) ▶ _____ Less allowance for doubtful accounts ▶ _____			
	8	Inventories for sale or use . . . . .			
	9	Prepaid expenses and deferred charges . . . . .			
	10a	Investments—U S and state government obligations (attach schedule)	98,930		
	b	Investments—corporate stock (attach schedule) . . . . .	1,541,290	<input checked="" type="checkbox"/> 1,461,687	1,604,184
	c	Investments—corporate bonds (attach schedule). . . . .	790,739	<input checked="" type="checkbox"/> 796,668	856,257
	11	Investments—land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
	12	Investments—mortgage loans . . . . .			
	13	Investments—other (attach schedule) . . . . .	473,770	<input checked="" type="checkbox"/> 458,373	482,374
	14	Land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
15	Other assets (describe ▶ _____)				
16	<b>Total assets</b> (to be completed by all filers—see the instructions Also, see page 1, item I)	3,227,493	3,204,354	3,430,441	
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	<b>Total liabilities</b> (add lines 17 through 22) . . . . .		0	
Net Assets or Fund Balances	<b>Foundations that follow SFAS 117, check here ▶ <input type="checkbox"/></b> <b>and complete lines 24 through 26 and lines 30 and 31.</b>				
	24	Unrestricted . . . . .			
	25	Temporarily restricted . . . . .			
	26	Permanently restricted . . . . .			
	<b>Foundations that do not follow SFAS 117, check here ▶ <input checked="" type="checkbox"/></b> <b>and complete lines 27 through 31.</b>				
	27	Capital stock, trust principal, or current funds . . . . .	3,227,493	3,204,354	
	28	Paid-in or capital surplus, or land, bldg , and equipment fund			
	29	Retained earnings, accumulated income, endowment, or other funds			
	30	<b>Total net assets or fund balances</b> (see page 17 of the instructions) . . . . .	3,227,493	3,204,354	
31	<b>Total liabilities and net assets/fund balances</b> (see page 17 of the instructions) . . . . .	3,227,493	3,204,354		

Part III

Analysis of Changes in Net Assets or Fund Balances

1	Total net assets or fund balances at beginning of year—Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year’s return) . . . . .	1	3,227,493
2	Enter amount from Part I, line 27a . . . . .	2	-23,139
3	Other increases not included in line 2 (itemize) ▶ _____	3	
4	Add lines 1, 2, and 3 . . . . .	4	3,204,354
5	Decreases not included in line 2 (itemize) ▶ _____	5	
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30 . . . . .	6	3,204,354

Part IV Capital Gains and Losses for Tax on Investment Income

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a See Additional Data Table			
b			
c			
d			
e			

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
a See Additional Data Table			
b			
c			
d			
e			

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	101,688
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) (see pages 13 and 17 of the instructions) If (loss), enter -0- in Part I, line 8 . . . . .		3	24,145

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

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

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

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period? ☐ Yes ☒ No

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

1 Enter the appropriate amount in each column for each year, see page 18 of the instructions before making any entries

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2010	167,208	3,457,540	0 048360
2009	165,082	3,241,829	0 050922
2008	131,582	3,087,447	0 042618
2007	153,837	3,648,975	0 042159
2006	171,184	3,665,303	0 046704

2	Total of line 1, column (d). . . . .	2	0 230763
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 046153
4	Enter the net value of noncharitable-use assets for 2011 from Part X, line 5. . . . .	4	3,432,201
5	Multiply line 4 by line 3. . . . .	5	158,406
6	Enter 1% of net investment income (1% of Part I, line 27b). . . . .	6	1,740
7	Add lines 5 and 6. . . . .	7	160,146
8	Enter qualifying distributions from Part XII, line 4. . . . .	8	197,123

If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate See the Part VI instructions on page 18

Part VIExcise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948—see page 18 of the instructions)

1a		Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1			
		Date of ruling or determination letter _____ (attach copy of letter if necessary—see instructions)			
b		Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input checked="" type="checkbox"/> and enter 1% of Part I, line 27b . . . . .		1	1,740
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	1,740
4		Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)		4	
5		Tax based on investment income. Subtract line 4 from line 3 If zero or less, enter -0- . . . . .		5	1,740
6		Credits/Payments			
a		2011 estimated tax payments and 2010 overpayment credited to 2011	6a	4,500	
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	4,500
8		Enter any penalty for underpayment of estimated tax Check here <input type="checkbox"/> if Form 2220 is attached		8	
9		Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed . . . . .		9	
10		Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid. . . . .		10	2,760
11		Enter the amount of line 10 to be Credited to 2012 estimated tax 2,760	Refunded	11	

Part VII-AStatements Regarding Activities

1a	During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign? . . . . .		Yes	No
		1a		No
b	Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see page 19 of the instructions for definition)? . . . . .			No
	If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.			
c	Did the foundation file Form 1120-POL for this year? . . . . .	1c		No
d	Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year (1) On the foundation \$ (2) On foundation managers \$			
e	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers \$			
2	Has the foundation engaged in any activities that have not previously been reported to the IRS? . . . . .	2		No
	If "Yes," attach a detailed description of the activities.			
3	Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes . . . . .	3		No
4a	Did the foundation have unrelated business gross income of \$1,000 or more during the year? . . . . .	4a		No
b	If "Yes," has it filed a tax return on Form 990-T for this year? . . . . .	4b		
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year? . . . . .	5		No
	If "Yes," attach the statement required by General Instruction T.			
6	Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either			
	• By language in the governing instrument, or			
	• By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument? . . . . .	6	Yes	
7	Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col (c), and Part XV	7	Yes	
8a	Enter the states to which the foundation reports or with which it is registered (see page 19 of the instructions) OH			
b	If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation .	8b	Yes	
9	Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2011 or the taxable year beginning in 2011 (see instructions for Part XIV on page 27)? If "Yes," complete Part XIV . . . . .	9		No
10	Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses	10		No

Part VII-A

Statements Regarding Activities *(continued)*

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see page 20 of the instructions).	11		No
12	Did the foundation acquire a direct or indirect interest in any applicable insurance contract before August 17, 2008?	12		No
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ▶N/A	13	Yes	
14	The books are in care of ▶JAN S SCHEID Telephone no ▶(937) 293-7462 Located at ▶47 SPIREA DRIVE DAYTON OH ZIP +4 ▶454193408			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of <b>Form 1041</b> —Check here . . . . . ▶ <input type="checkbox"/> and enter the amount of tax-exempt interest received or accrued during the year . . . . . ▶	15		
16	At any time during calendar year 2011, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? . . . . .	16	Yes	No
See the instructions for exceptions and filing requirements for Form TD F 90-22.1 If "Yes", enter the name of the foreign country ▶				

Part VII-B

Statements Regarding Activities for Which Form 4720 May Be Required

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.			Yes	No
1a	During the year did the foundation (either directly or indirectly) (1) Engage in the sale or exchange, or leasing of property with a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?. . . . . <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No (5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)?. . . . . <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (6) Agree to pay money or property to a government official? ( <b>Exception.</b> Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days ). . . . . <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
b	If any answer is "Yes" to 1a(1)–(6), did <b>any</b> of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see page 20 of the instructions)?. . . Organizations relying on a current notice regarding disaster assistance check here. . . . . ▶ <input type="checkbox"/>	1b		No
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		No
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))			
a	At the end of tax year 2011, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2011?. . . . . <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If "Yes," list the years ▶ 20____, 20____, 20____, 20____			
b	Are there any years listed in 2a for which the foundation is <b>not</b> applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to <b>all</b> years listed, answer "No" and attach statement—see page 20 of the instructions ). . . . .	2b		No
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here ▶ 20____, 20____, 20____, 20____			
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?. . . . . <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
b	If "Yes," did it have excess business holdings in 2011 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969, (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? ( <i>Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2011.</i> ). . . . .	3b		
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a		No
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2011?	4b		No

Part VII-B

Statements Regarding Activities for Which Form 4720 May Be Required (continued)

5a	During the year did the foundation pay or incur any amount to			
	(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
	(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
	(3) Provide a grant to an individual for travel, study, or other similar purposes?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> 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 page 22 of the instructions).	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> 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?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
b	If any answer is "Yes" to 5a(1)–(5), did <b>any</b> of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see page 22 of the instructions)? Organizations relying on a current notice regarding disaster assistance check here.	<input type="checkbox"/>		5b
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? <i>If "Yes," attach the statement required by Regulations section 53.4945–5(d).</i>	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
6a	Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
b	Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? <i>If "Yes" to 6b, file Form 8870.</i>			6b No
7a	At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> 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 page 22 of the instructions).				
(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
JEFFREY B SHULMAN 1900 KETTERING TOWERDAYTON, OH 45423	TRUSTEE 4 00	4,743	0	0
MILDRED HUBLER PATTERSON BLVD DAYTON, OH 45409	TRUSTEE 4 00	4,743	0	0
JAN S SCHEID 47 SPIREA DRIVE DAYTON, OH 45419	TRUSTEE 4 00	4,743	0	0
2 Compensation of five highest-paid employees (other than those included on line 1—see page 23 of the instructions). If none, enter "NONE."				
(a) Name and address of each employee paid more than \$50,000	(b) Title, and average hours per week devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
NONE				
Total number of other employees paid over \$50,000.				0

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 page 23 of the instructions). If none, enter "NONE".		
(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
NONE		
Total number of others receiving over \$50,000 for professional services. . . . .		0

Part IX-A

Summary of Direct Charitable Activities

List the foundation's four largest direct charitable activities during the tax year. Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc.	Expenses
1	
2	
3	
4	

Part IX-B

Summary of Program-Related Investments (see page 23 of the instructions)

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2	Amount
1	
2	
All other program-related investments. See page 24 of the instructions.	
3	
Total. Add lines 1 through 3. . . . .	



Part X

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc , purposes		
a	Average monthly fair market value of securities. . . . .	1a	3,110,068
b	Average of monthly cash balances. . . . .	1b	374,400
c	Fair market value of all other assets (see page 24 of the instructions). . . . .	1c	0
d	Total (add lines 1a, b, and c). . . . .	1d	3,484,468
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation). . . . .	1e	
2	Acquisition indebtedness applicable to line 1 assets. . . . .	2	
3	Subtract line 2 from line 1d. . . . .	3	3,484,468
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see page 25 of the instructions). . . . .	4	52,267
5	Net value of noncharitable-use assets. Subtract line 4 from line 3 Enter here and on Part V, line 4	5	3,432,201
6	Minimum investment return. Enter 5% of line 5. . . . .	6	171,610

Part XI

Distributable Amount (see page 25 of the instructions) (Section 4942(j)(3) and (j)(5) private operating foundations and certain foreign organizations check here ☒ and do not complete this part.)

1	Minimum investment return from Part X, line 6. . . . .	1	171,610
2a	Tax on investment income for 2011 from Part VI, line 5. . . . .	2a	1,740
b	Income tax for 2011 (This does not include the tax from Part VI ). . . . .	2b	
c	Add lines 2a and 2b. . . . .	2c	1,740
3	Distributable amount before adjustments Subtract line 2c from line 1. . . . .	3	169,870
4	Recoveries of amounts treated as qualifying distributions. . . . .	4	
5	Add lines 3 and 4. . . . .	5	169,870
6	Deduction from distributable amount (see page 25 of the instructions). . . . .	6	
7	Distributable amount as adjusted Subtract line 6 from line 5 Enter here and on Part XIII, line 1. . . . .	7	169,870

Part XII

Qualifying Distributions (see page 25 of the instructions)

1	Amounts paid (including administrative expenses) to accomplish charitable, etc , purposes		
a	Expenses, contributions, gifts, etc —total from Part I, column (d), line 26. . . . .	1a	197,123
b	Program-related investments—total from Part IX-B. . . . .	1b	
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc , purposes. . . . .	2	
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required). . . . .	3a	
b	Cash distribution test (attach the required schedule). . . . .	3b	
4	Qualifying distributions. Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4	4	197,123
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income Enter 1% of Part I, line 27b (see page 26 of the instructions). . . . .	5	1,740
6	Adjusted qualifying distributions. Subtract line 5 from line 4. . . . .	6	195,383
Note: The amount on line 6 will be used in Part V, column (b), in subsequent years when calculating whether the foundation qualifies for the section 4940(e) reduction of tax in those years			

Part XIII

Undistributed Income (see page 26 of the instructions)

	(a) Corpus	(b) Years prior to 2010	(c) 2010	(d) 2011
1	Distributable amount for 2011 from Part XI, line 7			
2	Undistributed income, if any, as of the end of 2011			
a	Enter amount for 2010 only. . . . . 100,726			
b	Total for prior years 20____, 20____, 20____			
3	Excess distributions carryover, if any, to 2011			
a	From 2006. . . . .			
b	From 2007. . . . .			
c	From 2008. . . . .			
d	From 2009. . . . .			
e	From 2010. . . . .			
f	Total of lines 3a through e. . . . .			
4	Qualifying distributions for 2011 from Part XII, line 4 ▶ \$ 197,123			
a	Applied to 2010, but not more than line 2a 100,726			
b	Applied to undistributed income of prior years (Election required—see page 26 of the instructions)			
c	Treated as distributions out of corpus (Election required—see page 26 of the instructions). . .			
d	Applied to 2011 distributable amount. . . . . 96,397			
e	Remaining amount distributed out of corpus			
5	Excess distributions carryover applied to 2011 (If an amount appears in column (d), the same amount must be shown in column (a).)			
6	Enter the net total of each column as indicated below:			
a	Corpus Add lines 3f, 4c, and 4e Subtract line 5			
b	Prior years' undistributed income Subtract line 4b from line 2b. . . . .			
c	Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed. . . . .			
d	Subtract line 6c from line 6b Taxable amount—see page 27 of the instructions . . .			
e	Undistributed income for 2010 Subtract line 4a from line 2a Taxable amount—see page 27 of the instructions . . . . .			
f	Undistributed income for 2011 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2011. . . . . 73,473			
7	Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see page 27 of the instructions). . . . .			
8	Excess distributions carryover from 2006 not applied on line 5 or line 7 (see page 27 of the instructions). . . . .			
9	Excess distributions carryover to 2012. Subtract lines 7 and 8 from line 6a. . . . .			
10	Analysis of line 9			
a	Excess from 2007. . . . .			
b	Excess from 2008. . . . .			
c	Excess from 2009. . . . .			
d	Excess from 2010. . . . .			
e	Excess from 2011. . . . .			

Part XIVPrivate Operating Foundations (see page 27 of the instructions and Part VII-A, question 9)

1a

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

b

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

☐ 4942(j)(3) or ☐ 4942(j)(5)

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

Part XVSupplementary Information (Complete this part only if the organization had \$5,000 or more in assets at any time during the year—see page 27 of the instructions.)

1

Information Regarding Foundation Managers:

a

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

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 page 28 of the instructions) to individuals or organizations under other conditions, complete items 2a, b, c, and d.

a

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

JEFFREY B SHULMAN  
1900 KETTERING TOWER  
DAYTON, OH 45423  
(937) 222-2500

b

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

SEE STATEMENT 1 ATTACHED

c

Any submission deadlines

SEE STATEMENT 1 ATTACHED

d

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

SEE STATEMENT 1 ATTACHED

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)				
<div>a Paid during the year</div> <div>See Additional Data TableSee Additional Data Table</div>				
<div>Total . . . . .</div>			<div>3a</div>	189,000
<div>b Approved for future payment</div>				
<div>Total . . . . .</div>			<div>3b</div>	

Enter gross amounts unless otherwise indicated	Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See page 28 of the instructions )
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	
<b>1</b> Program service revenue					
<b>a</b> _____					
<b>b</b> _____					
<b>c</b> _____					
<b>d</b> _____					
<b>e</b> _____					
<b>f</b> _____					
<b>g</b> Fees and contracts from government agencies					
<b>2</b> Membership dues and assessments. . . . .					
<b>3</b> Interest on savings and temporary cash investments			14	1,618	
<b>4</b> Dividends and interest from securities. . . . .			14	103,729	
<b>5</b> Net rental income or (loss) from real estate					
<b>a</b> Debt-financed property. . . . .					
<b>b</b> Not debt-financed property. . . . .					
<b>6</b> Net rental income or (loss) from personal property					
<b>7</b> Other investment income. . . . .					
<b>8</b> Gain or (loss) from sales of assets other than inventory			19	101,688	
<b>9</b> Net income or (loss) from special events					
<b>10</b> Gross profit or (loss) from sales of inventory. . .					
<b>11</b> Other revenue <b>a</b> _____					
<b>b</b> _____					
<b>c</b> _____					
<b>d</b> _____					
<b>e</b> _____					
<b>12</b> Subtotal. Add columns (b), (d), and (e). . . . .				207,035	
<b>13 Total.</b> Add line 12, columns (b), (d), and (e). . . . .					207,035

[illegible]

## Part XVII

**1**

(a)

**2.**

1

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4.

**Additional Data**

**Software ID:**  
**Software Version:**  
**EIN:** 31-6236156  
**Name:** HELEN L & MARIE F ROTTERMAN TRUST UW OF M  
ROTTERMAN

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

<b>Special Condition Description</b>
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Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

(a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co )	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo , day, yr )	(d) Date sold (mo , day, yr )
ACCENTURE	P	2011-01-01	2011-08-01
AMERICAN EXPRESS	P	2011-01-01	2011-08-01
APPLE	P	2010-01-01	2011-08-01
EMC CORP	P	2010-01-01	2011-08-01
GILEAD SCIENCES	P	2011-01-01	2011-08-01
ISHARES RUSSELL	P	2010-01-01	2011-08-01
KOHL'S	P	2011-01-01	2011-08-01
MASTERCARD	P	2010-01-01	2011-08-01
MCDONALDS	P	2011-01-01	2011-08-01
NATIONAL OILWELL	P	2010-01-01	2011-08-01
NORFOLK SOUTHERN	P	2010-01-01	2011-08-01
MARATHON PETE	P	2011-01-01	2011-08-09
SPDR GOLD TRUST	P	2011-01-01	2011-08-09
MARATHON OIL	P	2011-01-01	2011-08-10
CHEVRON	P	2010-01-01	2011-08-17
KRAFT FOODS	P	2011-01-01	2011-08-17
MCDONALDS	P	2011-01-01	2011-08-17
MICROSOFT	P	2011-01-01	2011-08-17
PEPSICO	P	2011-01-01	2011-08-17
SPDR GOLD TRUST	P	2011-01-01	2011-08-17
UNITED TECHNOLOGIES	P	2011-01-01	2011-08-17
SPDR GOLD TRUST	P	2011-01-01	2011-08-29
JP MORGAN CHASE	P	2011-01-01	2011-09-09
ECOLAB	P	2011-01-01	2011-09-30
MASTERCARD	P	2010-01-01	2011-09-30
NIKE	P	2011-01-01	2011-09-30
WALGREEN	P	2011-01-01	2011-09-30
MICROCHIP TECHNOLOGY	P	2010-01-01	2011-10-25
AECOM	P	2011-01-01	2011-11-08
BECTON DICKINSON	P	2011-01-01	2011-11-08



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

(a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co )	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo , day, yr )	(d) Date sold (mo , day, yr )
CONCHO RES	P	2011-01-01	2011-11-08
KENNAMETAL	P	2011-01-01	2011-11-08
GOLDMAN SACHS	P	2010-01-01	2011-11-28
KOHL'S	P	2011-01-01	2011-11-28
ISHARES MSCI EAFE INDEX	P	2010-01-01	2011-12-14
CHEVRON	P	2010-01-01	2012-01-19
INTEL	P	2011-06-30	2012-01-19
NEXTERA ENERGY	P	2010-01-01	2012-01-19
AMERICAN EXPRESS	P	2011-06-30	2012-02-02
CELGENE CORP	P	2011-06-30	2012-02-02
DEERE & CO	P	2011-06-30	2012-02-02
ECOLAB	P	2011-06-30	2012-02-02
GILEAD SCIENCES	P	2011-06-30	2012-02-02
ISHARES HIGH YIELD	P	2011-06-30	2012-02-02
MICROSOFT	P	2011-06-30	2012-02-02
NATIONAL OILWELL	P	2010-01-01	2012-02-02
VANGUARD REIT	P	2011-06-30	2012-02-02
WELLS FARGO	P	2011-06-30	2012-02-02
GOLDMAN SACHS	P	2011-06-30	2012-02-03
ANHEUSER BUSCH	P	2011-06-30	2012-02-23
APPLE	P	2010-01-01	2012-02-23
GILEAD SCIENCES	P	2011-06-30	2012-02-23
GOLDMAN SACHS	P	2011-06-30	2012-02-23
NATIONAL OILWELL	P	2010-01-01	2012-02-23
NOBLE CORP	P	2011-06-30	2012-02-29
ABBOTT LABS	P	2010-01-01	2012-02-29
BEKSHIRE HATHAWAY	P	2011-06-30	2012-02-29
DUKE ENERGY	P	2011-06-30	2012-02-29
GOLDMAN SACHS	P	2011-06-30	2012-02-29
KRAFT FOODS	P	2011-06-30	2012-02-29

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

(a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co )	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo , day, yr )	(d) Date sold (mo , day, yr )
VERIZON	P	2011-06-30	2012-02-29
VANGUARD REIT	P	2011-06-30	2012-03-01
HUSSMAN STRATEGIC GROWTH	P	2011-06-30	2012-03-15
PUBLIC STORAGE	P	2011-06-30	2012-04-11
ACCENTURE	P	2010-01-01	2012-04-20
EMC CORP	P	2010-01-01	2012-04-20
HOME DEPOT	P	2010-01-01	2012-04-20
STARBUCKS	P	2011-06-30	2012-04-20
VANGUARD REIT	P	2011-06-30	2012-04-20
ISHARES MSCI EAFE	P	2011-06-30	2012-04-30
PNC FINANCIAL SERVICES	P	2010-01-10	2012-04-30
SPDR GOLD TRUST	P	2011-06-30	2012-04-30
VANGUARD REIT	P	2011-06-30	2012-04-30
HSBC FINANCE	P	2010-01-01	2012-05-15
PIMCO ALL ASSET	P	2011-06-30	2012-05-16
VANGUARD REIT	P	2010-01-01	2012-05-17
ISHARES MSCI EAFE	P	2010-01-01	2012-05-18
AMERICAN EXPRESS	P	2010-01-01	2012-05-24
AMERIPRISE	P	2011-06-30	2012-05-24
DUPONT	P	2010-01-01	2012-05-24
MEDTRONIC	P	2010-01-01	2012-05-24
NORFOLK SOUTHERN	P	2011-06-30	2012-05-24
POWERSHARES DB COMMODITY	P	2011-06-30	2012-06-06
ECOLAB	P	2010-01-01	2012-06-08
PEPSICO	P	2010-01-01	2012-06-08
COLGATE PALMOLIVE	P	2011-06-30	2012-06-11
ISHARES MSCI EMERGING	P	2011-06-30	2012-06-11
COMCAST	P	2010-01-01	2012-06-21
HOME DEPOT	P	2011-06-30	2012-06-21
WALGREEN	P	2010-01-01	2012-06-21

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

(a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co )	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo , day, yr )	(d) Date sold (mo , day, yr )
HUSSMAN STRATEGIC GROWTH	P	2010-01-01	2012-06-29
FREDDIE MAC	P	2010-01-01	2012-07-16
VANGUARD REIT	P	2011-07-31	2012-07-18
ANHEUSER BUSCH	P	2010-01-01	2012-07-24
COMCAST	P	2010-01-01	2012-07-24
MCKESSON	P	2011-07-31	2012-07-24
PNC CAPITAL TR	P	2010-01-01	2012-07-30

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
9,051	0	7,584	1,467
5,069	0	4,280	789
9,962	0	4,179	5,783
6,717	0	3,210	3,507
10,592	0	9,765	827
20,207	0	15,610	4,597
5,548	0	5,466	82
7,769	0	3,868	3,901
8,807	0	7,582	1,225
8,067	0	3,962	4,105
7,724	0	4,092	3,632
10,020	0	10,094	-74
40,797	0	36,188	4,609
24,220	0	28,344	-4,124
9,600	0	7,242	2,358
8,567	0	7,948	619
8,613	0	7,582	1,031
6,267	0	6,478	-211
6,295	0	6,419	-124
25,428	0	22,002	3,426
5,371	0	6,227	-856
17,274	0	14,668	2,606
16,640	0	23,067	-6,427
5,144	0	4,773	371
8,517	0	3,795	4,722
9,162	0	8,023	1,139
8,457	0	8,842	-385
32,954	0	27,882	5,072
26,631	0	35,052	-8,421
29,080	0	32,402	-3,322

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
36,719	0	36,863	-144
30,106	0	30,379	-273
61,108	0	58,635	2,473
8,079	0	8,199	-120
12,700	0	10,257	2,443
31,359	0	20,525	10,834
25,185	0	23,446	1,739
29,414	0	15,450	13,964
7,408	0	6,906	502
7,122	0	5,411	1,711
8,686	0	8,426	260
8,979	0	7,160	1,819
7,236	0	5,859	1,377
22,615	0	21,870	745
7,240	0	6,478	762
7,624	0	3,617	4,007
30,749	0	28,070	2,679
5,830	0	5,238	592
11,121	0	9,400	1,721
6,529	0	5,486	1,043
12,647	0	4,179	8,468
4,755	0	3,906	849
11,597	0	10,152	1,445
8,491	0	3,617	4,874
29,379	0	24,815	4,564
28,299	0	23,062	5,237
25,990	0	25,139	851
26,327	0	24,940	1,387
29,164	0	33,983	-4,819
28,380	0	23,475	4,905

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
24,752	0	23,553	1,199
60,846	0	57,375	3,471
75,000	0	81,472	-6,472
62,500	0	41,818	20,682
6,315	0	5,056	1,259
7,255	0	3,210	4,045
5,129	0	4,016	1,113
5,838	0	4,376	1,462
25,324	0	24,344	980
26,674	0	20,690	5,984
34,670	0	31,578	3,092
23,755	0	24,399	-644
22,659	0	20,438	2,221
250,000	0	238,325	11,675
75,000	0	76,757	-1,757
16,307	0	14,352	1,955
62,174	0	93,872	-31,698
5,557	0	4,279	1,278
16,195	0	14,988	1,207
4,829	0	4,997	-168
9,273	0	9,873	-600
6,557	0	6,429	128
118,133	0	137,096	-18,963
6,266	0	4,778	1,488
6,698	0	6,669	29
7,290	0	6,800	490
84,711	0	92,077	-7,366
6,218	0	5,080	1,138
5,226	0	4,016	1,210
23,939	0	32,530	-8,591

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
78,955	0	83,528	-4,573
100,000	0	98,930	1,070
19,962	0	18,471	1,491
7,938	0	5,486	2,452
8,077	0	6,350	1,727
4,832	0	3,852	980
62,500	0	61,625	875

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
0	0	0	1,467
0	0	0	789
0	0	0	5,783
0	0	0	3,507
0	0	0	827
0	0	0	4,597
0	0	0	82
0	0	0	3,901
0	0	0	1,225
0	0	0	4,105
0	0	0	3,632
0	0	0	-74
0	0	0	4,609
0	0	0	-4,124
0	0	0	2,358
0	0	0	619
0	0	0	1,031
0	0	0	-211
0	0	0	-124
0	0	0	3,426
0	0	0	-856
0	0	0	2,606
0	0	0	-6,427
0	0	0	371
0	0	0	4,722
0	0	0	1,139
0	0	0	-385
0	0	0	5,072
0	0	0	-8,421
0	0	0	-3,322



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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) FMV as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
0	0	0	-144
0	0	0	-273
0	0	0	2,473
0	0	0	-120
0	0	0	2,443
0	0	0	10,834
0	0	0	1,739
0	0	0	13,964
0	0	0	502
0	0	0	1,711
0	0	0	260
0	0	0	1,819
0	0	0	1,377
0	0	0	745
0	0	0	762
0	0	0	4,007
0	0	0	2,679
0	0	0	592
0	0	0	1,721
0	0	0	1,043
0	0	0	8,468
0	0	0	849
0	0	0	1,445
0	0	0	4,874
0	0	0	4,564
0	0	0	5,237
0	0	0	851
0	0	0	1,387
0	0	0	-4,819
0	0	0	4,905

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) FMV as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
0	0	0	1,199
0	0	0	3,471
0	0	0	-6,472
0	0	0	20,682
0	0	0	1,259
0	0	0	4,045
0	0	0	1,113
0	0	0	1,462
0	0	0	980
0	0	0	5,984
0	0	0	3,092
0	0	0	-644
0	0	0	2,221
0	0	0	11,675
0	0	0	-1,757
0	0	0	1,955
0	0	0	-31,698
0	0	0	1,278
0	0	0	1,207
0	0	0	-168
0	0	0	-600
0	0	0	128
0	0	0	-18,963
0	0	0	1,488
0	0	0	29
0	0	0	490
0	0	0	-7,366
0	0	0	1,138
0	0	0	1,210
0	0	0	-8,591

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
0	0	0	-4,573
0	0	0	1,070
0	0	0	1,491
0	0	0	2,452
0	0	0	1,727
0	0	0	980
0	0	0	875

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> <i>Paid during the year</i>				
TRINITY COLLEGE OFFICE OF DEVELOPMENT WASHINGTON, DC 20017		PUBLIC	UNRESTRICTED	96,000
CATHOLIC UNIVERSITY OF AMERICA OFFICE OF DEVELOPMENT WASHINGTON, DC 20064		PUBLIC	UNRESTRICTED	16,000
MARYKNOLL FATHERS OFFICE OF DEVELOPMENT MARYKNOLL, NY 10545		PUBLIC	UNRESTRICTED	16,000
MEDICAL MISSIONARY SISTERS OFFICE OF DEVELOPMENT PHILADELPHIA, PA 19102		PUBLIC	UNRESTRICTED	8,000
MARYKNOLL SISTERS OFFICE OF DEVELOPMENT MARYKNOLL, NY 10545		PUBLIC	UNRESTRICTED	8,000
BRENNA DAUGHERTY TRINITY UNIVERSITY WASHINGTON, DC 20017	NONE	N/A	SCHOLARSHIP	15,000
NATALIE PRINCE TRINITY UNIVERSITY WASHINGTON, DC 20017	NONE	N/A	SCHOLARSHIP	15,000
ANNA ROLAND TRINITY UNIVERSITY WASHINGTON, DC 20017	NONE	N/A	SCHOLARSHIP	15,000
<b>Total</b> . . . . .			<b>3a</b>	189,000

## TY 2011 Accounting Fees Schedule

**Name:** HELEN L & MARIE F ROTTERMAN TRUST UW OF M ROTTERMAN

**EIN:** 31-6236156

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FIFTH THIRD BANK TAX SERVICE FEE	175			

Note: To capture the full content of this document, please select landscape mode (11" x 8.5") when printing.

TY 2011 Gain/Loss from Sale of Other Assets Schedule

Name: HELEN L & MARIE F ROTTERMAN TRUST UW OF M ROTTERMAN

EIN: 31-6236156

Name	Date Acquired	How Acquired	Date Sold	Purchaser Name	Gross Sales Price	Basis	Basis Method	Sales Expenses	Total (net)	Accumulated Depreciation
INVESTMENTS--SEE PART IV					2,336,735	2,235,047	FMV		101,688	

**TY 2011 General Explanation Attachment****Name:** HELEN L & MARIE F ROTTERMAN TRUST UW OF M ROTTERMAN**EIN:** 31-6236156

Identifier	Return Reference	Explanation
PART XV, LINES 2(b), (c), and (d) STMT 1		2(B) ANY INDIVIDUAL APPLICANT IS REQUIRED TO FURNISH THE TRUSTEES WITH A COPY OF HER TRINITY COLLEGE APPLICATION AND, WHERE APPLICABLE, A COPY OF HER HIGH SCHOOL RECORD AND CERTIFICATION OF HER CATHOLIC CHURCH AFFILIATION 2(C) APPLICATIONS ARE ACCEPTED ANYTIME BUT, IN ORDER TO BE CONSIDERED FOR A SCHOOL YEAR, THE APPLICATION SHOULD BE IN THE HANDS OF THE TRUSTEES FOUR TO SIX MONTHS PRIOR TO THE BEGINNING OF THAT SCHOOL YEAR 2(D) THE TERMS OF THE WILL OF MARIE ROTTERMAN SET THE QUALIFICATIONS AND LIMIT CONSIDERATION TO CATHOLIC GIRLS WHO ATTEND OR ARE ENROLLED AT TRINITY COLLEGE WITH SPECIAL CONSIDERATION GIVEN TO ELIGIBLE GIRLS FROM THE DAYTON METROPOLITAN AREA

**TY 2011 Investments Corporate  
Bonds Schedule****Name:** HELEN L & MARIE F ROTTERMAN TRUST UW OF M ROTTERMAN**EIN:** 31-6236156

<b>Name of Bond</b>	<b>End of Year Book Value</b>	<b>End of Year Fair Market Value</b>
WALT DISNEY CO	101,050	102,152
ISHARES BARCLAYS TIPS BOND FUND	68,584	72,864
ISHARES HIGH YIELD CORP	132,352	137,550
EBAY INC	102,388	103,373
GENERAL ELECTRIC	117,415	118,125
JPM CHASE CAP XIV	47,692	64,200
GENERAL ELECTRIC	227,187	257,993



TY 2011 Investments Corporate  
Stock Schedule

**Name:** HELEN L & MARIE F ROTTERMAN TRUST UW OF M ROTTERMAN  
**EIN:** 31-6236156

Name of Stock	End of Year Book Value	End of Year Fair Market Value
50 APPLE	8,357	30,538
500 ACCENTURE	25,278	30,150
400 APACHE	41,872	34,448
225 COLGATE PALMOLIVE	19,638	24,156
750 EMERSON ELECTRIC	37,379	35,827
500 AMERICAN EXPRESS	20,732	28,855
1250 EMC CORP	18,900	32,763
650 AMERIPRISE FINL	38,964	33,618
300 ANHEUSER BUSCH	16,623	23,766
3150 FORD MOTOR	38,251	29,106
500 CELGENE	27,693	34,230
750 COMCAST	19,050	24,412
3250 ISHARES TR MSCI EMERGING MKTS	149,533	127,140
1000 ISHARES MSCI EAFE	34,956	35,710
500 NATIONAL OILWELL	25,291	36,150
550 HOME DEPOT	20,423	28,699
2000 ISHARES RUSSELL INDEX	140,834	156,700
275 MCKESSON	21,186	24,950
75 MASTERCARD	11,384	32,743
850 MEDTRONIC	33,709	33,507
500 DEERE & CO	41,442	38,410
425 OCCIDENTAL PETE	41,842	36,988
600 QUALCOMM	33,889	35,808
400 NIKE	31,408	37,340
650 DUPONT	31,070	32,305
300 PRAXAIR	21,853	31,128
60 GOOGLE	36,532	37,978
500 GILEAD SCIENCES	19,517	27,165
500 SCHLUMBERGER	33,793	35,630
1000 WELLS FARGO	23,939	33,810

Name of Stock	End of Year Book Value	End of Year Fair Market Value
525 STARBUCKS	22,010	23,772
500 TARGET	28,111	30,325
700 KOHLS	36,147	34,804
1000 KROGER	22,745	22,170
600 TUPPERWARE	31,996	31,452
375 MCDONALDS	29,374	33,510
1000 MICROSOFT	26,762	29,470
400 NORFOLK SOUTHERN	14,838	29,620
400 PEPSICO	26,771	29,092
425 UNITED TECHNOLOGIES	35,620	31,637
1000 US BANCORP	31,780	33,500
600 WELLPOINT	38,922	31,974
750 WISDOMTREE	31,933	32,648
400 ECOLAB	19,340	26,180

**TY 2011 Investments - Other Schedule****Name:** HELEN L & MARIE F ROTTERMAN TRUST UW OF M ROTTERMAN**EIN:** 31-6236156

Category / Item	Listed at Cost or FMV	Book Value	End of Year Fair Market Value
HUSSMAN STRATEGIC GROWTH FUND		903	824
PIMCO ALL ASSET ALL AUTH FUND		136,525	139,941
VANGUARD REIT		148,774	166,850
SPDR GOLD TRUST		169,692	172,139
PIMCO ALL ASSET ALL AUTH FUND		2,479	2,620

**TY 2011 Other Expenses Schedule****Name:** HELEN L & MARIE F ROTTERMAN TRUST UW OF M ROTTERMAN**EIN:** 31-6236156

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
INVESTMENT FEES & EXPENSES	18,690	18,690		
INSURANCE	1,189	595		594
ANNUAL FILING FEE-OH	200			200
SPDR INVESTMENT EXP	168	168		

TY 2011 Taxes Schedule

**Name:** HELEN L & MARIE F ROTTERMAN TRUST UW OF M ROTTERMAN

**EIN:** 31-6236156

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
EXCISE	6,445	6,445		