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

2011

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

For calendar year 2011 or tax year beginning

OCT 1, 2011

, and ending

SEP 30, 2012

Name of foundation

EDWARD J MALLINCKRODT JR. FOUNDATION

A-Employer-identification-number

43-6030295

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

7701 FORSYTH BLVD

Room/suite

1100

B Telephone number

314-719-1541

City or town, state, and ZIP code

ST. LOUIS, MO 63105

C If exemption application is pending, check here ☐

G Check all that apply:

☐ Initial return☐ Initial return of a former public charity☐ Final return☐ Amended return☒ Address change☐ Name changeD 1. Foreign organizations, check here ☐2. Foreign organizations meeting the 85% test, check here and attach computation ☐

H Check type of organization:

☒ Section 501(c)(3) exempt private foundation☐ Section 4947(a)(1) nonexempt charitable trust☐ Other taxable private foundationE If private foundation status was terminated under section 507(b)(1)(A), check here ☐I Fair market value of all assets at end of year  
(from Part II, col. (c), line 16)

\$ 36,491,572.

J Accounting method:

☐ Cash☐ Accrual☒ Other (specify) MODIFIED CASHF 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).)

(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

2 Check ☒ if the foundation is not required to attach Sch B

3 Interest on savings and temporary cash investments

237,380.

237,380.

4 Dividends and interest from securities

495,776.

495,776.

5a Gross rents

b Net rental income or (loss)

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

613,510.

b Gross sales price for all assets on line 6a 6,607,751.

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

480,509.

8 Net short-term capital gain

9 Income modifications

10a Gross sales less returns and allowances

b Less Cost of goods sold

c Gross profit or (loss)

11 Other income

16,548.

295,664.

0. STATEMENT 1

12 Total. Add lines 1 through 11

1,363,214.

1,509,329.

0.

13 Compensation of officers, directors, trustees, etc.

0.

0.

0.

14 Other employee salaries and wages

15 Pension plans, employee benefits

16a Legal fees

b Accounting fees

STMT 2

14,350.

22,086.

0. 0.

c Other professional fees

STMT 3

95,063.

195,859.

0. 0.

17 Interest

18 Taxes

STMT 4

43,770.

0.

0. 0.

19 Depreciation and depletion

20 Occupancy

21 Travel, conferences, and meetings

22 Printing and publications

23 Other expenses

STMT 5

9,222.

2,305.

0. 6,917.

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

162,405.

220,250.

0. 6,917.

25 Contributions, gifts, grants paid

1,880,000.

1,880,000.

26 Total expenses and disbursements. Add lines 24 and 25

2,042,405.

220,250.

0. 1,886,917.

27 Subtract line 26 from line 12:

a Excess of revenue over expenses and disbursements

&lt;679,191.&gt;

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

1,289,079.

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

0.

SCANNED MAR 28 2013

123501  
12-02-11

LHA For Paperwork Reduction Act Notice, see instructions.

Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only		Beginning of year	End of year	
				(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash - non-interest-bearing				
	2	Savings and temporary cash investments		720,092.	987,219.	987,219.
	3	Accounts receivable ▶				
		Less: allowance for doubtful accounts ▶				
	4	Pledges receivable ▶				
		Less: allowance for doubtful accounts ▶				
	5	Grants receivable				
	6	Receivables due from officers, directors, trustees, and other disqualified persons				
	7	Other notes and loans receivable ▶				
		Less: allowance for doubtful accounts ▶				
	8	Inventories for sale or use				
	9	Prepaid expenses and deferred charges		9,120.	21,700.	21,700.
	10a	Investments - U.S. and state government obligations STMT 7		901,481.	0.	0.
	b	Investments - corporate stock STMT 8		23,545,308.	27,669,505.	27,669,505.
	c	Investments - corporate bonds STMT 9		6,648,335.	7,813,148.	7,813,148.
11	Investments - land, buildings, and equipment: basis ▶					
	Less: accumulated depreciation ▶					
12	Investments - mortgage loans					
13	Investments - other					
14	Land, buildings, and equipment: basis ▶					
	Less: accumulated depreciation ▶					
15	Other assets (describe ▶)					
16	Total assets (to be completed by all filers)		31,824,336.	36,491,572.	36,491,572.	
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				
	22	Other liabilities (describe ▶)				
23	Total liabilities (add lines 17 through 22)		0.	0.		
Net Assets or Fund Balances		Foundations that follow SFAS 117, check here ▶ <input checked="" type="checkbox"/> and complete lines 24 through 26 and lines 30 and 31.				
	24	Unrestricted		31,824,336.	36,491,572.	
	25	Temporarily restricted				
	26	Permanently restricted				
		Foundations that do not follow SFAS 117, check here ▶ <input type="checkbox"/> and complete lines 27 through 31.				
	27	Capital stock, trust principal, or current funds				
	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		31,824,336.	36,491,572.	
	31	Total liabilities and net assets/fund balances		31,824,336.	36,491,572.	

## 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	31,824,336.
2	Enter amount from Part I, line 27a	2	<679,191.>
3	Other increases not included in line 2 (itemize) ▶ SEE STATEMENT 6	3	5,346,427.
4	Add lines 1, 2, and 3	4	36,491,572.
5	Decreases not included in line 2 (itemize) ▶	5	0.
6	Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	36,491,572.

**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 WELLS FARGO CONFLUENCE	P		
b WELLS FARGO FAMCO	P		
c SHORT TERM LOSS K-1			
d LONG TERM GAIN K-1			
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 2,617,805.		2,184,932.	432,873.
b 3,989,946.		3,809,309.	180,637.
c		261,576.	<261,576.>
d 128,575.			128,575.
e			

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
a			432,873.
b			180,637.
c			<261,576.>
d			128,575.
e			

2 Capital gain net income or (net capital loss)	<div> <div>If gain, also enter in Part I, line 7</div> <div>If (loss), enter -0- in Part I, line 7</div> </div>	2	480,509.
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter -0- in Part I, line 8		3	N/A

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

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

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

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

☐ Yes ☒ No

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2010	1,929,229.	34,310,084.	.056229
2009	2,013,725.	33,165,004.	.060718
2008	1,826,904.	30,526,804.	.059846
2007	1,915,327.	40,558,720.	.047224
2006	1,670,000.	43,951,814.	.037996

2 Total of line 1, column (d)	2	.262013
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	.052403
4 Enter the net value of noncharitable-use assets for 2011 from Part X, line 5	4	34,777,222.
5 Multiply line 4 by line 3	5	1,822,431.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	12,891.
7 Add lines 5 and 6	7	1,835,322.
8 Enter qualifying distributions from Part XII, line 4 If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate. See the Part VI instructions.	8	1,886,917.

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

1a Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1. Date of ruling or determination letter: _____ (attach copy of letter if necessary-see instructions)			
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input checked="" type="checkbox"/> and enter 1% of Part I, line 27b		1	12,891.
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	12,891.
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		4	0.
5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-		5	12,891.
6 Credits/Payments:			
a 2011 estimated tax payments and 2010 overpayment credited to 2011	6a	21,700.	
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	21,700.	
8 Enter any penalty for underpayment of estimated tax. Check here <input checked="" type="checkbox"/> if Form 2220 is attached	8	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	8,801.	
11 Enter the amount of line 10 to be: Credited to 2012 estimated tax <input checked="" type="checkbox"/> 8,801. Refunded <input checked="" type="checkbox"/> 0.	11	0.	

**Part VII-A Statements Regarding Activities**

	Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		X
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for definition)? If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.		X
c Did the foundation file Form 1120-POL for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. <input checked="" type="checkbox"/> \$ 0. (2) On foundation managers. <input checked="" type="checkbox"/> \$ 0.		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. <input checked="" type="checkbox"/> \$ 0.		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? If "Yes," attach a detailed description of the activities	2	X
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes	3	X
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?	4a	X
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? If "Yes," attach the statement required by General Instruction T.	5	X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	6	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.	7	X
8a Enter the states to which the foundation reports or with which it is registered (see instructions) <input checked="" type="checkbox"/> MO		
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	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	9	X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses	10	X

N/A

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

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)	11		X
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► N/A	13	X	
14	The books are in care of ► JUDY MURPHY Located at ► ONE NORTH BRENTWOOD, ST. LOUIS, MO	Telephone no. ► 314-290-3300 ZIP+4 ► 63105		
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here and enter the amount of tax-exempt interest received or accrued during the year ► 15 N/A			
16	At any time during calendar year 2011, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? See the instructions for exceptions and filing requirements for Form TD F 90-22.1. If "Yes," enter the name of the foreign country ►	16	Yes	No X

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

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

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

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

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

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

N/A

5b

Organizations relying on a current notice regarding disaster assistance check here

☒

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

N/A

☐ Yes ☐ No

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

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

☐ Yes ☒ No

6b

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

X

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

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

☐ Yes ☒ No

7b

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

N/A

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

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

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
SEE STATEMENT 10		0.	0.	0.

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

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

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

0

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

(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
FIDUCIARY ASSET MANAGEMENT - 8235 FORSYTH BLVD, SUITE 700, ST LOUIS, MO 63105	INVESTMENT MGMT	70,305.
CONFLUENCE INVESTMENT MANAGEMENT - 349 MARSHALL AVE, SUITE 302, ST LOUIS, MO 63119	INVESTMENT MGMT	66,714.

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 N/A	
2	
3	
4	

**Part IX-B Summary of Program-Related Investments**

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

	Amount
1 N/A	
2	
All other program-related investments. See instructions.	
3	

Total. Add lines 1 through 3

0.

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**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	34,736,638.
b Average of monthly cash balances	1b	570,186.
c Fair market value of all other assets	1c	
d Total (add lines 1a, b, and c)	1d	35,306,824.
e Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	0.
2 Acquisition indebtedness applicable to line 1 assets	2	0.
3 Subtract line 2 from line 1d	3	35,306,824.
4 Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	529,602.
5 Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	34,777,222.
6 Minimum investment return. Enter 5% of line 5	6	1,738,861.

**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	1,738,861.
2a Tax on investment income for 2011 from Part VI, line 5	2a	12,891.
b Income tax for 2011. (This does not include the tax from Part VI.)	2b	
c Add lines 2a and 2b	2c	12,891.
3 Distributable amount before adjustments. Subtract line 2c from line 1	3	1,725,970.
4 Recoveries of amounts treated as qualifying distributions	4	15,084.
5 Add lines 3 and 4	5	1,741,054.
6 Deduction from distributable amount (see instructions)	6	0.
7 Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	1,741,054.

**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	1,886,917.
b Program-related investments - total from Part IX-B	1b	0.
2 Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3 Amounts set aside for specific charitable projects that satisfy the:		
a Suitability test (prior IRS approval required)	3a	
b Cash distribution test (attach the required schedule)	3b	
4 Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	1,886,917.
5 Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b	5	12,891.
6 Adjusted qualifying distributions. Subtract line 5 from line 4	6	1,874,026.

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

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

	(a) Corpus	(b) Years prior to 2010	(c) 2010	(d) 2011
1 Distributable amount for 2011 from Part XI, line 7				1,741,054.
2 Undistributed income, if any, as of the end of 2011				
a Enter amount for 2010 only			117,889.	
b Total for prior years:		0.		
3 Excess distributions carryover, if any, to 2011:				
a From 2006				
b From 2007				
c From 2008				
d From 2009				
e From 2010				
f Total of lines 3a through e	0.			
4 Qualifying distributions for 2011 from Part XII, line 4: ▶ \$ 1,886,917.				
a Applied to 2010, but not more than line 2a			117,889.	
b Applied to undistributed income of prior years (Election required - see instructions)		0.		
c Treated as distributions out of corpus (Election required - see instructions)	0.			
d Applied to 2011 distributable amount				1,741,054.
e Remaining amount distributed out of corpus	27,974.			
5 Excess distributions carryover applied to 2011 (If an amount appears in column (d), the same amount must be shown in column (a))	0.			0.
6 Enter the net total of each column as indicated below:	27,974.			
a Corpus Add lines 3f, 4c, and 4e Subtract line 5				
b Prior years' undistributed income. Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b. Taxable amount - see instructions		0.		
e Undistributed income for 2010. Subtract line 4a from line 2a. Taxable amount - see instr.			0.	
f Undistributed income for 2011. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2012				0.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3)	0.			
8 Excess distributions carryover from 2006 not applied on line 5 or line 7	0.			
9 Excess distributions carryover to 2012. Subtract lines 7 and 8 from line 6a	27,974.			
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	27,974.			



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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a Paid during the year				
UNIVERSITY OF IOWA 312 CMAB IOWA CITY, IA 52242	N/A	PUBLIC	SCHOLAR PROGRAM (DR. SUTTERWALA)	75,000.
UNIVERSITY OF PITTSBURGH 3550 TERRACE STREET PITTSBURGH, PA 15261	N/A	PUBLIC	SCHOLAR PROGRAM (DR. PRESCOTT)	70,000.
CALIFORNIA INSTITUTE OF TECHNOLOGY MAIL CODE 5-32 PASADENA, CA 91125	N/A	PUBLIC	SCHOLAR PROGRAM (DR. HOELZ)	70,000.
WASHINGTON UNIVERSITY 700 ROSEDALE AVENUE ST. LOUIS, MO 63112	N/A	PUBLIC	FELLOWSHIP (DR. BRETT 3RD YEAR)	15,000.
WASHINGTON UNIVERSITY 700 ROSEDALE AVENUE ST. LOUIS, MO 63115	N/A	PUBLIC	FELLOWSHIP (DR. HALTCHEV & DR. KUHN 2ND YEAR)	30,000.
Total SEE CONTINUATION SHEET(S) ▶ 3a				1,880,000.
b Approved for future payment				
UNIVERSITY OF PITTSBURGH 3550 TERRACE STREET PITTSBURGH, PA 15261	N/A	PUBLIC	SCHOLAR PROGRAM (DR. PRESCOTT)	75,000.
CALIFORNIA INSTITUTE OF TECHNOLOGY MAIL CODE 5-32 PASADENA, CA 91125	N/A	PUBLIC	SCHOLAR PROGRAM (DR. HOELZ)	75,000.
UNIVERSITY OF PENNSYLVANIA 231 S. 34 STREET PHILADELPHIA, PA 19104	N/A	PUBLIC	SCHOLAR PROGRAM (DR. KOHLI)	400,000.
Total SEE CONTINUATION SHEET(S) ▶ 3b				2,440,000.

Form 990-PF (2011)




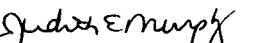
**Part XVII Information Regarding Transfers To and Transactions and Relationships With Noncharitable Exempt Organizations**

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

[illegible]

**2a** Is the foundation directly or indirectly affiliated with, or related to, one or more tax-exempt organizations described in section 501(c) of the Code (other than section 501(c)(3)) or in section 527? ☐ Yes ☒ No

b If "Yes," complete the following schedule.		
(a) Name of organization	(b) Type of organization	(c) Description of relationship
N/A		

<b>Sign Here</b>	Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than taxpayer) is based on all information of which preparer has any knowledge.				May the IRS discuss this return with the preparer shown below (see instr.)? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
	Signature of officer or trustee 	Date 3/11/13	Title Pres. Lmt		
<b>Paid Preparer Use Only</b>	Print/Type preparer's name Judith E. Murphy	Preparer's signature 	Date 3-8-13	Check <input type="checkbox"/> if self-employed	PTIN P00325547
	Firm's name ▶ RUBINBROWN LLP			Firm's EIN ▶ 43-0765316	
	Firm's address ▶ ONE NORTH BRENTWOOD SAINT LOUIS, MO 63105			Phone no. (314) 290-3300	

**Part XV** Supplementary Information**3 Grants and Contributions Paid During the Year (Continuation)**

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
WASHINGTON UNIVERSITY 700 ROSEDALE AVENUE ST. LOUIS, MO 63115	N/A	PUBLIC	SERINE/THREONIN KINASE MUTATION (DR. BOSE)	60,000.
STANFORD UNIVERSITY 300 PASTEUR DRIVE STANFORD, CA 94305-5119	N/A	PUBLIC	STEM CELL GENE EXPRESSION (DR. DIEHN)	60,000.
UNIVERSITY OF CHICAGO 970 EAST 58TH CHICAGO, IL 60637	N/A	PUBLIC	NEURULATION IN ASCARIANS (DR. MUNRO)	60,000.
DUKE UNIVERSITY SCHOOL OF MEDICINE ERWIN SQUARE PLAZA, SUITE 820 DURHAM, NC 27705	N/A	PUBLIC	PH REGULATION BY HV 1 (DR. LEE)	60,000.
WASHINGTON UNIVERSITY 700 ROSEDALE AVENUE ST. LOUIS, MO 63112	N/A	PUBLIC	MALARIA VACCINE (DR. TOLIA)	60,000.
WASHINGTON UNIVERSITY 700 ROSEDALE AVENUE ST. LOUIS, MO 63112	N/A	PUBLIC	CANCER GENE REGULATORY WKS (DR. WANG)	60,000.
WASHINGTON UNIVERSITY 700 ROSEDALE AVENUE ST. LOUIS, MO 63112	N/A	PUBLIC	DISSECTION OF RETINA (DR. KERSCHENSTRINER)	60,000.
WISTAR INSTITUTE 3601 SPRUCE STREET PHILADELPHIA, PA 19104	N/A	PUBLIC	IDENTIFYING NOVEL PATHWAY (DR. NOMA)	60,000.
WISTAR INSTITUTE 3601 SPRUCE STREET PHILADELPHIA, PA 19104	N/A	PUBLIC	EPIGENETIC REGULATION (DR. HUANG)	60,000.
UNIVERSITY OF MICHIGAN 4115 MEDICAL SCIENCE BUILDING L, 1301 CATHERINE ANN ARBOR, MI 48109	N/A	PUBLIC	DEADENYLASE NOCTURNIN (DR. GOLDSTROHN)	60,000.
Total from continuation sheets				1,620,000.

**Part XV Supplementary Information****3 Grants and Contributions Paid During the Year (Continuation)**

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
CALIFORNIA INSTITUTE OF TECHNOLOGY MAIL CODE 5-32 PASADENA, CA 91125	N/A	PUBLIC	STUDY OF SINGLE-CELL GENOMICS BY SUPER-RESOLUTION MICROSCOPY. (DR. CAI)	60,000.
NEW YORK UNIVERSITY LANGONE MEDICAL CENTER 1 PARK AVENUE 17TH FLOOR NEW YORK, NY 10016	N/A	PUBLIC	STUDY OF GENETIC MECHANISMS THAT SPECIFY NEURONAL CHEMOSENSITIVITY. (DR. RINGSTAD)	60,000.
WASHINGTON UNIVERSITY 700 ROSEDALE AVENUE ST. LOUIS, MO 63112	N/A	PUBLIC	TARGETING TH2-IMMUNITY TO TREAT METASTATIC BREAST CANCER. (DR. DENARDO)	60,000.
HARVARD MEDICAL SCHOOL 450 BROOKLINE AVENUE, DA1628 BOSTON, MA 02215	N/A	PUBLIC	TUBERCULOSIS ZEBRAFISH MODEL (DR. ILIOPOULOS)	60,000.
DUKE UNIVERSITY BOX DUMC 2927 DURHAM, NC 27710	N/A	PUBLIC	RNA MOLECULES (DR. TOBIN)	60,000.
WASHINGTON UNIVERSITY SCHOOL OF MEDICINE 700 ROSEDALE AVENUE ST. LOUIS, MO 63112-1408	N/A	PUBLIC	NEURAL CELL TYPES (DR. DOUGHERTY)	60,000.
NEW YORK UNIVERSITY 522 FIRST AVENUE, SMILOW RESEARCH BUILDING, RM 1205 NEW YORK, NY 10016	N/A	PUBLIC	UBIQUITILINS IMMUNITY TO TB (DR. PHILIPS)	120,000.
UNIVERSITY OF IOWA 5-512 BSB IOWA CITY, IA 52242	N/A	PUBLIC	SYNAPTIC CHANGES IN MOVEMENT (DR. HARATA)	120,000.
WASHINGTON UNIVERSITY SCHOOL OF MEDICINE 700 ROSEDALE AVENUE ST. LOUIS, MO 63112-1408	N/A	PUBLIC	SPONTANEOUS CROHN'S DISEASE (DR. VIG)	120,000.
WASHINGTON UNIVERSITY SCHOOL OF MEDICINE 700 ROSEDALE AVENUE ST. LOUIS, MO 63112-1408	N/A	PUBLIC	MOLECULAR MECHANISMS (DR. MONK)	120,000.
Total from continuation sheets				



<b>Part XV</b>	<b>Supplementary Information</b>
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**3 Grants and Contributions Paid During the Year (Continuation)**

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)				
CALIFORNIA INSTITUTE OF TECHNOLOGY MAIL CODE 156-29 PASADENA, CA 91125	N/A	PUBLIC	LIGHT-GATED MOLECULAR SWITCHES (DR. GRADINARU)	60,000.
WASHINGTON UNIVERSITY UNIVERSITY OF MEDICINE 700 ROSEDALE AVENUE ST. LOUIS, MO 63112-1408	N/A	PUBLIC	BRAIN REGIONS-SPECIFIC NEURONS (DR. YOO)	60,000.
VANDERBILT UNIVERSITY 2525 WEST END AVE, SUITE 600 NASHVILLE, TN 37203	N/A	PUBLIC	SCALABLE BIOMEDICAL PATTERNING (DR. LASKO)	60,000.
Total from continuation sheets				

**Part XV Supplementary Information****3 Grants and Contributions Approved for Future Payment (Continuation)**

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
WASHINGTON UNIVERSITY 700 ROSEDALE AVENUE ST. LOUIS, MO 63112	N/A	PUBLIC	FELLOWSHIP (DR. HALATCHEV AND DR. KUHN)	30,000.
CALIFORNIA INSTITUTE OF TECHNOLOGY MC 5-32 PASADENA, CA 91125	N/A	PUBLIC	SINGLE-CELL GENOMICS (DR. CAI)	60,000.
NEW YORK UNIVERSITY LANGONE MEDICAL CENTER 1 PARK AVENUE 17TH FLOOR NEW YORK, NY 10016	N/A	PUBLIC	NEURONAL CHEMOSENSITIVITY (DR. RINGSTAD)	60,000.
WASHINGTON UNIVERSITY 700 ROSEDALE AVENUE ST. LOUIS, MO 63112	N/A	PUBLIC	TH2-IMMUNITY (DR. DENARDO)	60,000.
HARVARD MEDICAL SCHOOL 450 BROOKLINE AVENUE, DA1628 BOSTON, MA 02215	N/A	PUBLIC	TUBERCULOSIS ZEBRAFISH MODEL (DR. ILIOPOULOS)	60,000.
DUKE UNIVERSITY SCHOOL OF MEDICINE ERWIN SQUARE PLAZA, SUITE 820 DURHAM, NC 27705	N/A	PUBLIC	RNA MOLECULES (DR. TOBIN)	60,000.
WASHINGTON UNIVERSITY 700 ROSEDALE AVENUE ST. LOUIS, MO 63112	N/A	PUBLIC	NEURAL CELL TYPES (DR. DOUGHERTY)	60,000.
NEW YORK UNIVERSITY LANGONE MEDICAL CENTER 1 PARK AVENUE 17TH FLOOR NEW YORK, NY 10016	N/A	PUBLIC	UBIQUILINS IMMUNITY TO TB (DR. PHILIPS)	60,000.
UNIVERSITY OF IOWA CARVER COLLEGE OF MEDICINE 312 CMAB IOWA CITY, IA 52242-2600	N/A	PUBLIC	SYNAPTIC CHANGES MOVEMENT (DR. HARATA)	60,000.
WASHINGTON UNIVERSITY SCHOOL OF MEDICINE 700 ROSEDALE AVENUE ST. LOUIS, MO 62112	N/A	PUBLIC	SPONTANEOUS CROHN'S DISEASE (DR. VIG)	60,000.
<b>Total from continuation sheets</b>				<b>1,890,000.</b>

**Part XV Supplementary Information****3 Grants and Contributions Approved for Future Payment (Continuation)**

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
WASHINGTON UNIVERSITY 700 ROSEDALE AVENUE ST. LOUIS, MO 63112	N/A	PUBLIC	MOLECULAR MECHANISMS (DR. MONK)	60,000.
CALIFORNIA INSTITUTE OF TECHNOLOGY MAIL CODE 156-29 PASADENA, CA 91125	N/A	PUBLIC	LIGHT-GATED MOLECULAR SWITCHES (DR. GRADINARU)	120,000.
WASHINGTON UNIVERSITY SCHOOL OF MEDICINE 700 ROSEDALE AVENUE ST. LOUIS, MO 63112-1408	N/A	PUBLIC	BRAIN REGION-SPECIFIC NEURONS (DR. YOO)	120,000.
VANDERBILT UNIVERSITY 2525 WEST END AVE, SUITE 600 NASHVILLE, TN 37203	N/A	PUBLIC	SCALABLE BIOMEDICAL PATTERNING (DR. LASKO)	120,000.
WASHINGTON UNIVERSITY 700 ROSEDALE AVENUE ST. LOUIS, MO 63112-1408	N/A	PUBLIC	STUDY OF THE AP4 AS A NOVEL REGULATOR FOR T CELL IMMUNE RESPONSE AGAINST VIRAL INFECTION (DR. EGAWA)	180,000.
COLUMBIA UNIVERSITY MEDICAL CENTER 1150 ST. NICHOLAS AVENUE NEW YORK, NY 10032	N/A	PUBLIC	STUDY OF HOW NOTCH REGULATES HEPATIC GLUCOSE AND LIPID METABOLISM (DR. PAJVANI)	180,000.
STANFORD UNIVERSITY SCHOOL OF MEDICINE 300 PASTEUR DRIVE STANFORD, CA 94305-5119	N/A	PUBLIC	EXPRESSION RESPONSE TO ENVIRONMENT IN CORONARY ARTERY SMOOTH MUSCLE CELLS (DR. MONTGOMERY)	180,000.
UNIVERSITY OF UTAH 201 PRESIDENT'S CIRCLE ROOM 210 SALT LAKE CITY, UT 84112	N/A	PUBLIC	STUDY OF A MOLECULAR CODE GOVERNING NEURAL CIRCUIT ASSEMBLY (DR. WILLIAMS)	180,000.
UNIVERSITY OF UTAH SCHOOL OF MEDICINE 201 PRESIDENT'S CIRCLE ROOM 210 SALT LAKE CITY, UT 84112	N/A	PUBLIC	STUDY OF THE DISCOVERY OF NOVEL BACTERIA MOLECULES TO TREAT AUTOIMMUNE DISEASE (DR. ROUND)	180,000.
Total from continuation sheets				

FORM 990-PF	OTHER INCOME	STATEMENT	1
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DESCRIPTION	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
OTHER INVESTMENT INCOME	1,464.	1,464.	0.
INTEREST - K-1'S	0.	264.	0.
DIVIDENDS - K-1'S	0.	278,852.	0.
GRANTS RETURNED	15,084.	15,084.	0.
TOTAL TO FORM 990-PF, PART I, LINE 11	16,548.	295,664.	0.

FORM 990-PF	ACCOUNTING FEES	STATEMENT	2
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ACCOUNTING FEES - RUBINBROWN	14,350.	14,350.	0.	0.
ACCOUNTING FEES - K-1'S	0.	7,736.	0.	0.
TO FORM 990-PF, PG 1, LN 16B	14,350.	22,086.	0.	0.

FORM 990-PF	OTHER PROFESSIONAL FEES	STATEMENT	3
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
INVESTMENT MANAGEMENT FEES	95,063.	95,063.	0.	0.
INVESTMENT MGMT FEES - K-1'S	0.	100,796.	0.	0.
TO FORM 990-PF, PG 1, LN 16C	95,063.	195,859.	0.	0.

FORM 990-PF	TAXES	STATEMENT	4
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
EXCISE TAXES	43,770.	0.	0.	0.
TO FORM 990-PF, PG 1, LN 18	43,770.	0.	0.	0.

FORM 990-PF	OTHER EXPENSES	STATEMENT	5
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
MEETING EXPENSES	9,222.	2,305.	0.	6,917.
TO FORM 990-PF, PG 1, LN 23	9,222.	2,305.	0.	6,917.

FORM 990-PF	OTHER INCREASES IN NET ASSETS OR FUND BALANCES	STATEMENT	6
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DESCRIPTION	AMOUNT
NET UNREALIZED GAIN - 2011 TAX YEAR	5,346,427.
TOTAL TO FORM 990-PF, PART III, LINE 3	5,346,427.

FORM 990-PF	U.S. AND STATE/CITY GOVERNMENT OBLIGATIONS	STATEMENT	7
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DESCRIPTION	U.S. GOV'T	OTHER GOV'T	BOOK VALUE	FAIR MARKET VALUE
WELLS FARGO - FAMCO	X		0.	0.
TOTAL U.S. GOVERNMENT OBLIGATIONS				
TOTAL STATE AND MUNICIPAL GOVERNMENT OBLIGATIONS				
TOTAL TO FORM 990-PF, PART II, LINE 10A			0.	0.

FORM 990-PF	CORPORATE STOCK	STATEMENT	8
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DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
WELLS FARGO - CONFLUENCE	10,923,466.	10,923,466.
WELLS FARGO - FAMCO	5,879,038.	5,879,038.
WALTER SCOTT INTL FUND	2,985,609.	2,985,609.
FIDUCIARY PARTNERS FUND	7,881,392.	7,881,392.
TOTAL TO FORM 990-PF, PART II, LINE 10B	27,669,505.	27,669,505.

FORM 990-PF	CORPORATE BONDS	STATEMENT	9
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DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
WELLS FARGO - CONFLUENCE	4,081,713.	4,081,713.
WELLS FARGO - FAMCO	3,731,435.	3,731,435.
TOTAL TO FORM 990-PF, PART II, LINE 10C	7,813,148.	7,813,148.

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FORM 990-PF	PART VIII - LIST OF OFFICERS, DIRECTORS TRUSTEES AND FOUNDATION MANAGERS	STATEMENT 10
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NAME AND ADDRESS	TITLE AND AVRG HRS/WK	COMPEN- SATION	EMPLOYEE BEN PLAN CONTRIB	EXPENSE ACCOUNT
SPENCER B. BURKE 7701 FORSYTH BLVD, SUITE 1100 ST. LOUIS, MO 63105	PRESIDENT 1.00	0.	0.	0.
BILL POLK 7701 FORSYTH BLVD, SUITE 1100 ST. LOUIS, MO 63105	VICE-PRESIDENT 1.00	0.	0.	0.
MARIAN MEHAN 7701 FORSYTH BLVD, SUITE 1100 ST. LOUIS, MO 63105	SECRETARY 1.00	0.	0.	0.
BECKI BLANKENSHIP 7701 FORSYTH BLVD, SUITE 1100 ST. LOUIS, MO 63105	ASSISTANT SECRETARY 1.00	0.	0.	0.
DR. TOM CORI 7701 FORSYTH BLVD, SUITE 1100 ST. LOUIS, MO 63105	DIRECTOR 1.00	0.	0.	0.
DR. STUART KORNFELD 7701 FORSYTH BLVD, SUITE 1100 ST. LOUIS, MO 63105	DIRECTOR 1.00	0.	0.	0.
DR. ROBERT G. JOHNSON 7701 FORSYTH BLVD, SUITE 1100 ST. LOUIS, MO 63105	DIRECTOR 1.00	0.	0.	0.
DR. LILA SOLNICA-KREZEL 7701 FORSYTH BLVD, SUITE 1100 ST. LOUIS, MO 63105	DIRECTOR 1.00	0.	0.	0.
DR. ALAN SCHWARTZ 7701 FORSYTH BLVD, SUITE 1100 ST. LOUIS, MO 63105	DIRECTOR 1.00	0.	0.	0.
TOTALS INCLUDED ON 990-PF, PAGE 6, PART VIII		0.	0.	0.

FORM 990-PF

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

STATEMENT 11

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NAME AND ADDRESS OF PERSON TO WHOM APPLICATIONS SHOULD BE SUBMITTED

---

MR. SPENCER BURKE  
7701 FORSYTH BLVD, SUITE 1100  
ST. LOUIS, MO 63105

---

TELEPHONE NUMBER

---

314-719-1541

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FORM AND CONTENT OF APPLICATIONS

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1. THE BASIC AIM OF THE FOUNDATION IS TO DISPENSE THAT AMOUNT OF YEARLY INCOME NECESSARY FOR THE PUPOSE OF ADVANCING KNOWLEDGE IN THE VARIOUS FIELDS OF CLINICAL AND LABORATORY MEDICAL RESEARCH.
2. IT IS THE FURTHER GENERAL AIM TO CONFINE CONTRIBUTIONS TO THOSE WORTHY PROJECTS THAT ARE IN NEED OF INITIAL START-UP FUNDING.
3. PROPOSALS MUST CONTAIN SUCH ADEQUATE DETAILED DESCRIPTION AS TO BE UNDERSTANDABLE BY THE LAY AND MEDICAL MEMBERS OF THE TRUSTEES OF THE FOUNDATION. THEY NEED NOT BE IN THE DETAIL REQUESTED BY THE N.I.H. TWO TO FOUR DOUBLE-SPACED TYPEWRITTEN PAGES MAY BE SUFFICIENT, ADDITIONAL MATERIAL CAN BE SUBMITTED AS AN ATTACHMENT, BUT THE TWO TO FOUR PAGE COVER LETTER SHOULD CONTAIN THE ESSENTIAL INFORMATION. REFERENCES SHOULD ALSO BE INCLUDED.

---

ANY SUBMISSION DEADLINES

---

NO SPECIFIC DEADLINE

---

RESTRICTIONS AND LIMITATIONS ON AWARDS

---

MEDICAL RESEARCH GRANTS



---

NAME AND ADDRESS OF PERSON TO WHOM APPLICATIONS SHOULD BE SUBMITTED

---

MR. SPENCER BURKE  
7701 FORSYTH BLVD, SUITE 1100  
ST. LOUIS, MO 63105

---

TELEPHONE NUMBER

---

314-719-1541

---

FORM AND CONTENT OF APPLICATIONS

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4. PROPOSALS MUST BE INITIATED BY MEMBERS OF THE FACULTIES OF ACCREDITED MEDICAL SCHOOLS AND MUST BE ACCOMPANIED BY LETTERS OF APPROVAL BY THE DEAN OF SAID SCHOOL AND/OR FROM THE SENIOR FACULTY MEMBER OR MEMBERS ASSOCIATED WITH THE PROJECT AND OTHERS ACQUAINTED WITH THE QUALIFICATIONS OF THE APPLICANT.

5. PROPOSALS MUST CONTAIN AN ADEQUATE BUDGET WITH BREAKDOWN OF USE OF THE REQUESTED AMOUNT AND AN ACCOUNTING OF ANY GRANT SUPPORT ALREADY AVAILABLE OR PENDING.

6. THE FOUNDATION WILL NOT FUND OVERHEAD.

7. APPLICANTS MAY BE REQUESTED TO APPEAR BEFORE THE FOUNDATION FOR INTERVIEW. TRAVEL EXPENSES WILL BE REIMBURSED.

8. GRANTS MAY BE MADE FOR PERIODS OF ONE TO THREE YEARS AND ARE CONTINGENT UPON A YEARLY PROGRESS REPORT BY THE APPLICANT. ANNUAL GRANTS RANGE IN THE \$50,000 TO \$75,000 LEVEL, NOT TO EXCEED \$100,000.

---

ANY SUBMISSION DEADLINES

---

NO SPECIFIC DEADLINES

---

RESTRICTIONS AND LIMITATIONS ON AWARDS

---

MEDICAL RESEARCH GRANTS

NAME AND ADDRESS OF PERSON TO WHOM APPLICATIONS SHOULD BE SUBMITTED

MR. SPENCER BURKE  
7701 FORSYTH BLVD, SUITE 1100  
ST. LOUIS, MO 63105

TELEPHONE NUMBER

314-719-1541

FORM AND CONTENT OF APPLICATIONS

9. A GRANT IS MADE ON THE ASSUMPTION THAT THE RECIPIENT WILL USE THE FUNDS FOR THE PURPOSE INDICATED IN THE APPLICATION WHILE SERVING ON THE FACULTY OF THE SAME INSTITUTION AT THE TIME THE APPLICATION IS MADE. IF THE RECIPIENT MOVES TO ANOTHER INSTITUTION DURING THE TERM OF THE GRANT, PAYMENTS MAY OR MAY NOT BE CONTINUED.

ANY SUBMISSION DEADLINES

NO SPECIFIC DEADLINES

RESTRICTIONS AND LIMITATIONS ON AWARDS

MEDICAL RESEARCH GRANTS

\_\_\_\_\_

**Edward J. Mallinckrodt, Jr. Foundation**  
**Securities Detail**  
**September 30, 2012**

**Corporate Stock:**

Security	Shares/Units	Book Value	Fair Value
Wells Fargo - Confluence:			
Affiliated Managers	560	68,880.00	68,880.00
American Express Company	5,970	339,454.20	339,454.20
Bed Bath & Beyond, Inc.	5,000	315,000.00	315,000.00
Berkley W R Corporation	8,935	334,973.15	334,973.15
Berkshire Hathaway, Inc.	3,871	341,422.20	341,422.20
Brown and Brown, Inc.	2,621	68,329.47	68,329.47
Chevron Corporation	3,050	355,508.00	355,508.00
Claymore et Guggenheim Bulletshares	14,200	324,896.00	324,896.00
Cubic Corporation Common	1,400	70,084.00	70,084.00
Deckers Outdoor Corp Deck	1,500	54,960.00	54,960.00
Diageo PLC	3,240	365,245.20	365,245.20
Discovery Communications Inc.	7,000	392,280.00	392,280.00
Douglas Dynamics INC Plow	4,700	69,513.00	69,513.00
Emerson Electric Co.	6,200	299,274.00	299,274.00
Enpro Industries Inc.	1,400	50,414.00	50,414.00
Exxon Mobil Corp	4,165	380,889.25	380,889.25
Franklin Electric Inc	1,300	78,637.00	78,637.00
Franklin Street Properties Corp REIT	5,400	59,778.00	59,778.00
Generac Holdings Inc	3,500	80,115.00	80,115.00
Gladstone Commercial Corp	3,850	70,301.00	70,301.00
Google Inc CL A	580	437,610.00	437,610.00
GRACO INCORPORATED COM GGG	1,350	67,878.00	67,878.00
Haemonetics Corp.	905	72,581.00	72,581.00
Halliburton Company	9,300	313,317.00	313,317.00
Heartland Express Inc.	4,200	56,112.00	56,112.00
Hittite Microwave Corp	1,200	66,564.00	66,564.00
HNI Corp	2,300	58,673.00	58,673.00
Illinois Tool Works Inc.	5,700	338,979.00	338,979.00
John Wiley & Sons Inc.	1,435	65,938.25	65,938.25
Johnson & Johnson	4,940	340,415.40	340,415.40
Landstar Systems Inc	1,400	66,192.00	66,192.00
Leucadia National Corp	9,100	207,025.00	207,025.00
Lowe's Companies, Inc.	10,625	321,300.00	321,300.00
Markel Corp.	795	364,499.55	364,499.55
Mastercard Inc CL	850	383,758.00	383,758.00
Microsoft Corp.	10,720	319,027.20	319,027.20
Morningstar Inc.	1,152	72,161.28	72,161.28
Mueller Industries Inc	1,400	63,658.00	63,658.00

MVC Capital Inc.	4,895	62,656.00	62,656.00
Patterson Companies, Inc.	2,115	72,417.60	72,417.60
Pennantpark Investment Corp.	6,655	70,609.55	70,609.55
Pepsico Incorporated	4,825	341,465.25	341,465.25
RLI Corp.	1,050	69,993.00	69,993.00
Rayonier Inc	1,400	68,614.00	68,614.00
Ritchie Bros. Auctioneers, Inc.	2,897	55,709.31	55,709.31
Sanderson Farms Inc	1,300	57,675.15	57,675.15
Scotts Miracle-Gro Class A	1,388	60,336.36	60,336.36
Sigma Aldrich Corp.	4,775	343,665.82	343,665.82
Simpson Manufacturing Inc.	2,350	67,257.00	67,257.00
Techne Corp.	900	64,746.00	64,746.00
Thermo Fisher Scientific	5,848	344,037.84	344,037.84
TJX Cos. Inc.	7,400	331,446.00	331,446.00
VCA Antech, Inc.	2,600	51,272.00	51,272.00
Wal-Mart Stores, Inc.	4,551	335,863.80	335,863.80
Waters Corporation	3,675	306,237.75	306,237.75
Wells Fargo Company	9,975	337,530.75	337,530.75
West Pharmaceutical Services, Inc.	1,485	78,808.95	78,808.95
Zebra Technologies Corp.	1,800	67,482.00	67,482.00
		<b>10,923,466.28</b>	<b>10,923,466.28</b>

Wells Fargo - Fiduciary Asset Management:

Apple Inc	310	206,802.55	206,802.55
AT&T	4,945	186,426.50	186,426.50
Chevron Corporation	1,305	152,110.80	152,110.80
Coach Inc.	3,025	169,460.50	169,460.50
ConocoPhillips	3,835	219,285.30	219,285.30
Deere & Co.	2,175	179,372.25	179,372.25
Dow Chemical	3,780	109,449.90	109,449.90
DuPont	4,560	229,231.20	229,231.20
General Electric Company	9,365	212,679.15	212,679.15
Heinz	5,370	300,451.50	300,451.50
Home Depot	2,750	166,017.50	166,017.50
Intel Corp.	8,950	202,762.25	202,762.25
International Business Machines Corp.	1,595	330,882.75	330,882.75
Kraft Foods	5,715	236,315.25	236,315.25
McDonalds Copr	2,270	208,272.50	208,272.50
Medtronic	3,300	142,296.00	142,296.00
Microsoft Corp.	9,335	277,809.30	277,809.30
NYSE Euronext	3,035	74,812.75	74,812.75
Occidental Petroleum	1,420	122,205.50	122,205.50
PepsiCo	2,500	176,925.00	176,925.00
Pfizer Incorporated	11,265	279,935.25	279,935.25
Philp Morris Intl	4,085	367,404.90	367,404.90
Qualcomm Inc.	3,050	190,533.50	190,533.50
Time Warner, Inc.	4,125	187,006.87	187,006.87

Union Pacific, Corp.	2,405	285,473.50	285,473.50
United Technologies	2,885	144,836.50	144,836.50
Verizon Communications	2,885	131,469.45	131,469.45
Wal-Mart Stores, Inc.	2,325	171,585.00	171,585.00
Whirlpool Corp	2,620	217,224.20	217,224.20
		<u>5,879,037.62</u>	<u>5,879,037.62</u>
Fiduciary Partners Fund L.P.	2,037.00	7,881,392.36	7,881,392.36
Walter Scott International Fund, LLC	16,907.7441	<u>2,985,609.00</u>	<u>2,985,609.00</u>
<b>TOTAL CORPORATE STOCK</b>		<u><u>27,669,505.26</u></u>	<u><u>27,669,505.26</u></u>

**Corporate Bonds:**

Security	Shares/Units	Book Value	Fair Value
<b>Wells Fargo - Confluence:</b>			
Ishares Barclays MBS Bond Fund	5,406	590,118.96	590,118.96
Ishares Barclays Intermediate Credit Bond Fund	4,607	513,358.01	513,358.01
Ishares Barclays 1-3 Year Credit Bond fund	2,911	307,867.36	307,867.36
Ishares Investment Grade Corporate Bond Fund	10,026	1,220,866.02	1,220,866.02
SPDR Barclays Cap	10,472	365,263.36	365,263.36
Vanguard Intermdiateet Term Corp Bond	9,295	814,892.65	814,892.65
Vanguard Short Term ET Corp BD	3,353	269,346.49	269,346.49
		<u>4,081,712.85</u>	<u>4,081,712.85</u>
<b>Wells Fargo - FAMCO:</b>			
Nucor Corp	100,000	100,039.00	100,039.00
American Express	100,000	100,276.00	100,276.00
Kroger Co	100,000	101,676.00	101,676.00
Comcast Cable	100,000	104,766.00	104,766.00
General Electric Corp	100,000	104,824.00	104,824.00
Kinder Morgan Energy	100,000	105,150.00	105,150.00
Catepillar Financial	100,000	107,832.00	107,832.00
JP Morgan Chase	100,000	107,453.00	107,453.00
Citigroup, Inc.	100,000	109,857.00	109,857.00
Goldman Sachs Group	100,000	107,894.00	107,894.00
Anheuser-Busch Cos Inc	100,000	109,173.00	109,173.00
Wells Fargo & Co	100,000	107,030.00	107,030.00
Teva Pharm Finance LLC	100,000	114,170.00	114,170.00
Cisco Systems Inc	100,000	116,282.00	116,282.00
SBC Communications	100,000	117,300.00	117,300.00
Lockheed Martin Corp	100,000	104,163.00	104,163.00
Bank of America Corp	100,000	113,059.00	113,059.00
Morgan Stanley	100,000	109,984.00	109,984.00
CSX Corp	60,000	76,576.80	76,576.80

Union Pacific Corp	30,000	34,666.50	34,666.50
Walt Disney Company	90,000	109,256.40	109,256.40
John Deere Capital Corp	100,000	108,204.00	108,204.00
Nordstrom Inc	66,000	79,734.60	79,734.60
Berkshire Hathaway	100,000	121,100.00	121,100.00
Philip Morris Intl	65,000	79,794.00	79,794.00
Pepsico Inc	100,000	118,910.00	118,910.00
CELLCO PART/VERI WIRELSS	100,000	139,923.00	139,923.00
Avon Products	100,000	110,111.00	110,111.00
Abbott Laboratories	100,000	120,812.00	120,812.00
Union Pacifi Corp	65,000	81,385.20	81,385.20
Johnson Controls inc. senior notes	94,000	107,432.60	107,432.60
Norfolk Southern Corp	25,000	36,650.00	36,650.00
Walmart Stores Inc	66,000	74,296.20	74,296.20
Occidental Petroleum CP	55,000	63,455.15	63,455.15
IBM Corp	100,000	106,760.00	106,760.00
Yumi Brands Inc.	75,000	81,093.75	81,093.75
Norfolk Southern Corp	76,000	80,533.40	80,533.40
America Movil SAB DE CV	58,000	59,812.50	59,812.50
		<b>3,731,435.10</b>	<b>3,731,435.10</b>

**TOTAL CORPORATE BONDS**

**7,813,147.95**

**7,813,147.95**

**TOTAL INVESTMENTS**

**35,482,653.21**

**35,482,653.21**

# Application for Extension of Time To File an Exempt Organization Return

OMB No. 1545-1709

► **File a separate application for each return.**

- If you are filing for an **Automatic 3-Month Extension**, complete only **Part I** and check this box ☒
- If you are filing for an **Additional (Not Automatic) 3-Month Extension**, complete only **Part II** (on page 2 of this form).

Do not complete Part II unless you have already been granted an automatic 3-month extension on a previously filed Form 8868.

**Electronic filing (e-file)** . You can electronically file Form 8868 if you need a 3-month automatic extension of time to file (6 months for a corporation required to file Form 990-T), or an additional (not automatic) 3-month extension of time. You can electronically file Form 8868 to request an extension of time to file any of the forms listed in Part I or Part II with the exception of Form 8870, Information Return for Transfers Associated With Certain Personal Benefit Contracts, which must be sent to the IRS in paper format (see instructions). For more details on the electronic filing of this form, visit [www.irs.gov/efile](http://www.irs.gov/efile) and click on **e-file for Charities & Nonprofits**.

**Part I - Automatic 3-Month Extension of Time. Only submit original (no copies needed).**

A corporation required to file Form 990-T and requesting an automatic 6-month extension - check this box and complete

Part I only

All other corporations (including 1120-C filers), partnerships, REMICs, and trusts must use Form 7004 to request an extension of time to file income tax returns.

Type or print	Name of exempt organization or other filer, see instructions.	Employer identification number (EIN) or
	<b>EDWARD J MALLINCKRODT JR FOUNDATION</b>	<input checked="" type="checkbox"/> <b>43-6030295</b>
	Number, street, and room or suite no. If a P.O. box, see instructions.	Social security number (SSN)
	<b>ONE NORTH JEFFERSON STREET</b>	<input type="checkbox"/>
	City, town or post office, state, and ZIP code. For a foreign address, see instructions.	
	<b>ST. LOUIS, MO 63103</b>	

Enter the Return code for the return that this application is for (file a separate application for each return)

**04**

Application Is For	Return Code	Application Is For	Return Code
Form 990	01	Form 990-T (corporation)	07
Form 990-BL	02	Form 1041-A	08
Form 990-EZ	01	Form 4720	09
Form 990-PF	04	Form 5227	10
Form 990-T (sec. 401(a) or 408(a) trust)	05	Form 6069	11
Form 990-T (trust other than above)	06	Form 8870	12

**JUDY MURPHY**

- The books are in the care of ► **ONE NORTH BRENTWOOD - ST. LOUIS, MO 63105**

Telephone No. ► **314-290-3300**

FAX No. ►

- If the organization does not have an office or place of business in the United States, check this box ☐
- If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) ☐. If this is for the whole group, check this box ☐. If it is for part of the group, check this box ☐ and attach a list with the names and EINs of all members the extension is for.

1 I request an automatic 3-month (6 months for a corporation required to file Form 990-T) extension of time until **MAY 15, 2013**, to file the exempt organization return for the organization named above. The extension

is for the organization's return for:

► ☐ calendar year \_\_\_\_\_ or

► ☒ tax year beginning **OCT 1, 2011**, and ending **SEP 30, 2012**.

2 If the tax year entered in line 1 is for less than 12 months, check reason: ☐ Initial return ☐ Final return

☐ Change in accounting period

3a If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions.	3a	\$	<b>14,000.</b>
b If this application is for Form 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit.	3b	\$	<b>21,700.</b>
c Balance due. Subtract line 3b from line 3a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions.	3c	\$	<b>0.</b>

**Caution.** If you are going to make an electronic fund withdrawal with this Form 8868, see Form 8453-EO and Form 8879-EO for payment instructions.

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

Form **8868** (Rev. 1-2012)