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Form **990-PF**

Department of the Treasury
Internal Revenue Service

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

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

OMB No 1545-0052





2012


Open to Public Inspection

For calendar year 2012, or tax year beginning 01-01-2012 , and ending 12-31-2012

| | | | |
|---|--|--|--|
| Name of foundation DANIEL AND SUSAN PFAU CHARITABLE FOUNDATION | | A Employer identification number 31-1411794 | |
| Number and street (or P O box number if mail is not delivered to street address) C/O PNC BANK 620 LIBERTY AVENUE NO 10THFL | | B Telephone number (see instructions) (412) 762-0861 | |
| City or town, state, and ZIP code PITTSBURGH, PA 152222705 | | C If exemption application is pending, check here <input type="checkbox"/> | |
| G Check all that apply <div><input type="checkbox"/> Initial return <input type="checkbox"/> Final return <input type="checkbox"/> Address change</div> <div><input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Amended return <input type="checkbox"/> Name change</div> | | D 1. Foreign organizations, check here <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/> | |
| H Check type of organization <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation | | E If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/> | |
| I Fair market value of all assets at end of year (from Part II, col. (c), line 16) <input checked="" type="checkbox"/> \$ 17,094,061 | J Accounting method <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____ (Part I, column (d) must be on cash basis.) | F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/> | |

| Part I Analysis of Revenue and Expenses <small>(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions))</small> | | (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) | 961,005 | | | |
| | 2 Check <input checked="" type="checkbox"/> if the foundation is not required to attach Sch B | | | | |
| | 3 Interest on savings and temporary cash investments | 683 | 683 | | |
| | 4 Dividends and interest from securities. | 415,925 | 415,925 | | |
| | 5a Gross rents | | | | |
| | b Net rental income or (loss) _____ | | | | |
| | 6a Net gain or (loss) from sale of assets not on line 10 | 216,615 | | | |
| | b Gross sales price for all assets on line 6a _____ 2,663,163 | | | | |
| | 7 Capital gain net income (from Part IV, line 2) | | 237,394 | | |
| | 8 Net short-term capital gain | | | | |
| | 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) | 44 | 0 | | |
| | 12 Total. Add lines 1 through 11 | 1,594,272 | 654,002 | | |
| | 13 Compensation of officers, directors, trustees, etc | 39,147 | 31,318 | | 7,829 |
| | 14 Other employee salaries and wages | | | | |
| | 15 Pension plans, employee benefits | | | | |
| | 16a Legal fees (attach schedule) | | | | |
| | b Accounting fees (attach schedule) | 700 | 0 | | 700 |
| | c Other professional fees (attach schedule) | | | | |
| | 17 Interest | | | | |
| | 18 Taxes (attach schedule) (see instructions) | 2,859 | 39 | | 0 |
| | 19 Depreciation (attach schedule) and depletion | | | | |
| | 20 Occupancy | | | | |
| | 21 Travel, conferences, and meetings | | | | |
| | 22 Printing and publications | | | | |
| | 23 Other expenses (attach schedule) | 41,826 | 2,340 | | 39,486 |
| | 24 Total operating and administrative expenses. Add lines 13 through 23 | 84,532 | 33,697 | | 48,015 |
| | 25 Contributions, gifts, grants paid | 882,680 | | | 882,680 |
| | 26 Total expenses and disbursements. Add lines 24 and 25 | 967,212 | 33,697 | | 930,695 |
| | 27 Subtract line 26 from line 12 | | | | |
| | a Excess of revenue over expenses and disbursements | 627,060 | | | |
| | b Net investment income (if negative, enter -0-) | | 620,305 | | |
| | c Adjusted net income (if negative, enter -0-) | | | | |

| Part II Balance Sheets | | Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions) | Beginning of year | End of year | |
|-----------------------------|---|--|-------------------|---|-----------------------|
| | | | (a) Book Value | (b) Book Value | (c) Fair Market Value |
| Assets | 1 | Cash—non-interest-bearing | | | |
| | 2 | Savings and temporary cash investments | 1,784,067 | 1,890,310 | 1,890,310 |
| | 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) | 509,350 |  256,994 | 292,904 |
| | b | Investments—corporate stock (attach schedule) | 3,538,082 |  4,177,566 | 5,454,810 |
| | c | Investments—corporate bonds (attach schedule). | 2,031,085 |  1,908,773 | 2,069,733 |
| | 11 | Investments—land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____ | | | |
| | 12 | Investments—mortgage loans | | | |
| | 13 | Investments—other (attach schedule) | 5,329,634 |  5,952,766 | 7,386,304 |
| | 14 | Land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____ | | | |
| 15 | Other assets (describe ▶ _____) | | | | |
| 16 | Total assets (to be completed by all filers—see the instructions Also, see page 1, item I) | 13,192,218 | 14,186,409 | 17,094,061 | |
| Liabilities | 17 | Accounts payable and accrued expenses | | | |
| | 18 | Grants payable | | | |
| | 19 | Deferred revenue | | | |
| | 20 | Loans from officers, directors, trustees, and other disqualified persons | | | |
| | 21 | Mortgages and other notes payable (attach schedule) | | | |
| | 22 | Other liabilities (describe ▶ _____) | | | |
| | 23 | Total liabilities (add lines 17 through 22) | 0 | 0 | |
| Net Assets or Fund Balances | Foundations that follow SFAS 117, check here ▶ <input type="checkbox"/> and complete lines 24 through 26 and lines 30 and 31. | | | | |
| | 24 | Unrestricted | | | |
| | 25 | Temporarily restricted | | | |
| | 26 | Permanently restricted | | | |
| | Foundations that do not follow SFAS 117, check here ▶ <input checked="" type="checkbox"/> and complete lines 27 through 31. | | | | |
| | 27 | Capital stock, trust principal, or current funds | 13,144,069 | 14,138,260 | |
| | 28 | Paid-in or capital surplus, or land, bldg , and equipment fund | 0 | 0 | |
| | 29 | Retained earnings, accumulated income, endowment, or other funds | 48,149 | 48,149 | |
| | 30 | Total net assets or fund balances (see page 17 of the instructions) | 13,192,218 | 14,186,409 | |
| | 31 | Total liabilities and net assets/fund balances (see page 17 of the instructions) | 13,192,218 | 14,186,409 | |

| 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 13,192,218 |
| 2 | Enter amount from Part I, line 27a | 2 627,060 |
| 3 | Other increases not included in line 2 (itemize) ▶  | 3 367,131 |
| 4 | Add lines 1, 2, and 3 | 4 14,186,409 |
| 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 14,186,409 |

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) |
| 1 a | SALES OF PUBLICLY TRADED SECURITIES | | | |
| b | CLASS ACTION SETTLEMENTS | | P | |
| c | CAPITAL GAINS DIVIDENDS | | P | |
| d | | | | |
| e | | | | |

| | | | |
|-----------------------|--|---|--|
| (e) Gross sales price | (f) Depreciation allowed (or allowable) | (g) Cost or other basis plus expense of sale | (h) Gain or (loss) (e) plus (f) minus (g) |
| a 2,638,817 | | 2,425,812 | 213,005 |
| b 43 | | | 43 |
| c 24,346 | | | 24,346 |
| d | | | |
| 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 | | | 213,005 |
| b | | | 43 |
| c | | | 24,346 |
| 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 | 237,394 |
| 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 instructions) If (loss), enter -0- in Part I, line 8 | | 3 | |

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)) |
| 2011 | 894,396 | 14,670,809 | 0 060964 |
| 2010 | 780,202 | 13,008,479 | 0 059976 |
| 2009 | 856,471 | 12,093,687 | 0 070820 |
| 2008 | 827,942 | 14,364,162 | 0 057639 |
| 2007 | 767,201 | 14,788,573 | 0 051878 |

| | | |
|--|---|------------|
| 2 Total of line 1, column (d). | 2 | 0 301277 |
| 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 060255 |
| 4 Enter the net value of noncharitable-use assets for 2012 from Part X, line 5. | 4 | 15,711,965 |
| 5 Multiply line 4 by line 3. | 5 | 946,724 |
| 6 Enter 1% of net investment income (1% of Part I, line 27b). | 6 | 6,203 |
| 7 Add lines 5 and 6. | 7 | 952,927 |
| 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 | 930,695 |

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 type="checkbox"/> and enter 1% of Part I, line 27b | | 1 | 12,406 |
| 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 | 12,406 |
| 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 | 12,406 |
| 6 | | Credits/Payments | | | |
| a | | 2012 estimated tax payments and 2011 overpayment credited to 2012 | 6a | 5,640 | |
| 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 | 5,640 |
| 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 | 6,766 |
| 10 | | Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid. | | 10 | |
| 11 | | Enter the amount of line 10 to be Credited to 2013 estimated tax <input type="checkbox"/> | Refunded <input type="checkbox"/> | 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 <input type="checkbox"/> \$ 0 (2) On foundation managers <input type="checkbox"/> \$ 0 | | | |
| e | Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers <input type="checkbox"/> \$ 0 | | | |
| 2 | Has the foundation engaged in any activities that have not previously been reported to the IRS? If "Yes," attach a detailed description of the activities. | 2 | | No |
| 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? If "Yes," attach the statement required by General Instruction T. | 5 | | No |
| 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 instructions) <input type="checkbox"/> 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 | | No |
| 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 2012 or the taxable year beginning in 2012 (see instructions for Part XIV)? 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 | Yes | |

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 | | No |
| 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 | | No |
| 13 | Did the foundation comply with the public inspection requirements for its annual returns and exemption application? | 13 | Yes | |
| Website address ▶N/A | | | | |
| 14 | The books are in care of ▶PNC BANK NA Telephone no ▶(412) 762-0861 Located at ▶620 LIBERTY AVENUE 10TH FLOOR PITTSBURGH PA ZIP +4 ▶15222705 | | | |
| 15 | Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 —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 2012, 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 | | No |
| See 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? (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 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 2012?. | 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 2012, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2012?. <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 not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement—see instructions). | 2b | | |
| 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 2012 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 2012.</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 2012? | 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 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 any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)? | 5b | | |
| | Organizations relying on a current notice regarding disaster assistance check here. | <input type="checkbox"/> | | |
| 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? | <input type="checkbox"/> Yes <input type="checkbox"/> 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? | <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? | 6b | | No |
| | 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? | <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 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 |
| PNC BANK NA 620 LIBERTY AVENUE PITTSBURGH,PA 152222705 | TRUSTEE 8 00 | 39,147 | 0 | 0 |
| DANIEL A AND SUSAN L PFAU 8305 OLD HICKORY DRIVE CINCINNATI,OH 45243 | ADVISORY BOARD 1 00 | 0 | 0 | 0 |
| GREATER CINCINNATI FOUNDATION 200 WEST FOURTH STREET CINCINNATI,OH 45202 | FOUNDATION MANAGER 6 00 | 0 | 0 | 0 |
| 2 Compensation of five highest-paid employees (other than those included on line 1—see instructions). If none, enter "NONE." | | | | |
| (a) Name and address of each employee paid more than \$50,000 | (b) Title, and average hours per week devoted to position | (c) Compensation | (d) Contributions to employee benefit plans and deferred compensation | (e) Expense account, other allowances |
| NONE | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| 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 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 N/A | 0 |
| 2 | |
| | |
| | |
| 3 | |
| | |
| | |
| | |
| 4 | |
| | |
| | |

Part IX-B

Summary of Program-Related Investments (see instructions)

| | |
|--|--------|
| Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2 | Amount |
| 1 N/A | 0 |
| 2 | |
| | |
| | |
| All other program-related investments. See page 24 of the instructions. | |
| 3 | 0 |
| Total. Add lines 1 through 3. | 0 |

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 | 15,951,233 |
| b | Average of monthly cash balances. | 1b | 0 |
| c | Fair market value of all other assets (see instructions). | 1c | 0 |
| d | Total (add lines 1a, b, and c). | 1d | 15,951,233 |
| 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 | 15,951,233 |
| 4 | Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions). | 4 | 239,268 |
| 5 | Net value of noncharitable-use assets. Subtract line 4 from line 3 Enter here and on Part V, line 4 | 5 | 15,711,965 |
| 6 | Minimum investment return. Enter 5% of line 5. | 6 | 785,598 |

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 | 785,598 |
| 2a | Tax on investment income for 2012 from Part VI, line 5. | 2a | 12,406 |
| b | Income tax for 2012 (This does not include the tax from Part VI). | 2b | |
| c | Add lines 2a and 2b. | 2c | 12,406 |
| 3 | Distributable amount before adjustments Subtract line 2c from line 1. | 3 | 773,192 |
| 4 | Recoveries of amounts treated as qualifying distributions. | 4 | 0 |
| 5 | Add lines 3 and 4. | 5 | 773,192 |
| 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 | 773,192 |

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 | 930,695 |
| 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 | 930,695 |
| 5 | Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income Enter 1% of Part I, line 27b (see instructions). | 5 | 0 |
| 6 | Adjusted qualifying distributions. Subtract line 5 from line 4. | 6 | 930,695 |
| Note: The amount on line 6 will be used in Part V, column (b), in subsequent years when calculating whether the foundation qualifies for the section 4940(e) reduction of tax in those years | | | |

Part XIII

Undistributed Income (see instructions)

| | (a) Corpus | (b) Years prior to 2011 | (c) 2011 | (d) 2012 |
|---|---------------|----------------------------|-------------|-------------|
| 1 Distributable amount for 2012 from Part XI, line 7 | | | | 773,192 |
| 2 Undistributed income, if any, as of the end of 2012 | | | | |
| a Enter amount for 2011 only. | | | 0 | |
| b Total for prior years 20____, 20____, 20____ | | 0 | | |
| 3 Excess distributions carryover, if any, to 2012 | | | | |
| a From 2007. | | | | 41,151 |
| b From 2008. | | | | 120,202 |
| c From 2009. | | | | 257,911 |
| d From 2010. | | | | 138,183 |
| e From 2011. | | | | 172,094 |
| f Total of lines 3a through e. | 729,541 | | | |
| 4 Qualifying distributions for 2012 from Part XII, line 4 ▶ \$ 930,695 | | | | |
| a Applied to 2011, but not more than line 2a | | | 0 | |
| 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 2012 distributable amount. | | | | 773,192 |
| e Remaining amount distributed out of corpus | 157,503 | | | |
| 5 Excess distributions carryover applied to 2012 (If an amount appears in column (d), the same amount must be shown in column (a).) | 0 | | | 0 |
| 6 Enter the net total of each column as indicated below: | | | | |
| a Corpus Add lines 3f, 4c, and 4e Subtract line 5 | 887,044 | | | |
| 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 2011 Subtract line 4a from line 2a Taxable amount—see instructions | | | 0 | |
| f Undistributed income for 2012 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2013. | | | | 0 |
| 7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions). | 0 | | | |
| 8 Excess distributions carryover from 2007 not applied on line 5 or line 7 (see instructions). . . | 41,151 | | | |
| 9 Excess distributions carryover to 2013. Subtract lines 7 and 8 from line 6a. | 845,893 | | | |
| 10 Analysis of line 9 | | | | |
| a Excess from 2008. . . . | | | | 120,202 |
| b Excess from 2009. . . . | | | | 257,911 |
| c Excess from 2010. . . . | | | | 138,183 |
| d Excess from 2011. . . . | | | | 172,094 |
| e Excess from 2012. . . . | | | | 157,503 |

Part XIVPrivate Operating Foundations (see 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 2012, 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)

| | Tax year | Prior 3 years | | | (e) Total |
|---|----------|---------------|----------|----------|-----------|
| | (a) 2012 | (b) 2011 | (c) 2010 | (d) 2009 | |
| 2a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed | | | | | |
| b 85% of line 2a | | | | | |
| c Qualifying distributions from Part XII, line 4 for each year listed | | | | | |
| d Amounts included in line 2c not used directly for active conduct of exempt activities | | | | | |
| e Qualifying distributions made directly for active conduct of exempt activities Subtract line 2d from line 2c | | | | | |
| 3 Complete 3a, b, or c for the alternative test relied upon | | | | | |
| a "Assets" alternative test—enter | | | | | |
| (1) Value of all assets | | | | | |
| (2) Value of assets qualifying under section 4942(j)(3)(B)(i) | | | | | |
| b "Endowment" alternative test— enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed. | | | | | |
| c "Support" alternative test—enter | | | | | |
| (1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties) | | | | | |
| (2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii). | | | | | |
| (3) Largest amount of support from an exempt organization | | | | | |
| (4) Gross investment income | | | | | |

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

1

Information Regarding Foundation Managers:

a

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

DANIEL A AND SUSAN L PFAU

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

2

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

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

a

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

DANIEL AND SUSAN PFAU FOUNDATION CO
200 WEST FOURTH STREET
CINCINNATI, OH 45202
(513) 241-2880

b

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

USE GREATER CINCINNATI COMMON GRANT APPLICATION REFER TO THE DANIEL AND SUSAN PFAU FOUNDATION "INFORMATION FOR GRANT APPLICANTS" FOR INFORMATION REQUIRED COPY ATTACHED AND AVAILABLE FROM ABOVE CONTACT

c

Any submission deadlines

SEE "INFORMATION FOR GRANT APPLICANTS" AVAILABLE FROM CONTACT ABOVE

d

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

SEE "INFORMATION FOR GRANT APPLICANTS" AVAILABLE FROM CONTACT ABOVE

Part XV

Supplementary Information (continued)

3 Grants and Contributions Paid During the Year or Approved for Future Payment

| Recipient | If recipient is an individual, show any relationship to any foundation manager or substantial contributor | Foundation status of recipient | Purpose of grant or contribution | Amount |
|---|---|--------------------------------|----------------------------------|---------|
| Name and address (home or business) | | | | |
| a Paid during the year See Additional Data Table | | | | |
| Total | | | 3a | 882,680 |
| b Approved for future payment | | | | |
| Total | | | 3b | 0 |

| Enter gross amounts unless otherwise indicated | | Unrelated business income | | Excluded by section 512, 513, or 514 | | (e) Related or exempt function income (See instructions) |
|--|---|---------------------------|---------------|--------------------------------------|----------------|---|
| | | (a) Business code | (b) Amount | (c) Exclusion code | (d) Amount | |
| 1 | Program service revenue | | | | | |
| a | _____ | | | | | |
| b | _____ | | | | | |
| c | _____ | | | | | |
| d | _____ | | | | | |
| e | _____ | | | | | |
| f | _____ | | | | | |
| g | Fees and contracts from government agencies | | | | | |
| 2 | Membership dues and assessments. . . . | | | | | |
| 3 | Interest on savings and temporary cash investments | | | 14 | 683 | |
| 4 | Dividends and interest from securities. . . . | | | 14 | 415,925 | |
| 5 | Net rental income or (loss) from real estate | | | | | |
| a | Debt-financed property. | | | | | |
| b | Not debt-financed property. | | | | | |
| 6 | Net rental income or (loss) from personal property | | | | | |
| 7 | Other investment income. | | | | | |
| 8 | Gain or (loss) from sales of assets other than inventory | | | 18 | 216,615 | |
| 9 | Net income or (loss) from special events | | | | | |
| 10 | Gross profit or (loss) from sales of inventory. . | | | | | |
| 11 | Other revenue a CLASS ACTIONS PROCEEDS | | | 14 | 43 | |
| b | 2011 EXCISE TAX REFUND | | | 14 | 1 | |
| c | _____ | | | | | |
| d | _____ | | | | | |
| e | _____ | | | | | |
| 12 | Subtotal. Add columns (b), (d), and (e). . | | 0 | | 633,267 | 0 |
| 13 | Total. Add line 12, columns (b), (d), and (e). | | | 13 | 633,267 | |

[illegible]

| | | | |
|---|---|--------------|-----------|
| 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 |
| a | Transfers from the reporting foundation to a noncharitable exempt organization of | | |
| (1) | Cash. | 1a(1) | No |
| (2) | Other assets. | 1a(2) | No |
| b | Other transactions | | |
| (1) | Sales of assets to a noncharitable exempt organization. | 1b(1) | No |
| (2) | Purchases of assets from a noncharitable exempt organization. | 1b(2) | No |
| (3) | Rental of facilities, equipment, or other assets. | 1b(3) | No |
| (4) | Reimbursement arrangements. | 1b(4) | No |
| (5) | Loans or loan guarantees. | 1b(5) | No |
| (6) | Performance of services or membership or fundraising solicitations. | 1b(6) | No |
| c | Sharing of facilities, equipment, mailing lists, other assets, or paid employees. | 1c | No |
| d If the answer to any of the above is "Yes," complete the following schedule. Column (b) should always show the fair market value of the goods, other assets, or services given by the reporting foundation. If the foundation received less than fair market value in any transaction or sharing arrangement, show in column (d) the value of the goods, other assets, or services received. | | | |

[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 |
|--------------------------|--------------------------|---------------------------------|
| | | |
| | | |
| | | |
| | | |
| | | |

**Sign
Here**

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

* * * * *

2013-05-09

* * * * *

Signature of officer or trustee

Date

Title

May the IRS discuss this return with the preparer shown below (see instr)? ☐ Yes ☐ No

**Paid
Preparer
Use Only**

Print/Type preparer's name

Preparer's Signature

Date _____

Check if self-employed ☐

PTIN

Firm's name

Firm's EIN Firm's address

Schedule B

(Form 990, 990-EZ, or 990-PF)

Department of the Treasury
Internal Revenue Service

Schedule of Contributors

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

OMB No 1545-0047

2012

| | |
|---|--|
| Name of the organization DANIEL AND SUSAN PFAU CHARITABLE FOUNDATION | Employer identification number 31-1411794 |
|---|--|

Organization type (check one)

| | |
|--------------------|---|
| Filers of: | Section: |
| Form 990 or 990-EZ | <div><input type="checkbox"/> 501(c)() (enter number) organization</div> <div><input type="checkbox"/> 4947(a)(1) nonexempt charitable trust not treated as a private foundation</div> <div><input type="checkbox"/> 527 political organization</div> |
| Form 990-PF | <div><input checked="" type="checkbox"/> 501(c)(3) exempt private foundation</div> <div><input type="checkbox"/> 4947(a)(1) nonexempt charitable trust treated as a private foundation</div> <div><input type="checkbox"/> 501(c)(3) taxable private foundation</div> |

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

General Rule

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

Special Rules

☐ For a section 501(c)(3) organization filing Form 990 or 990-EZ that met the 33¹/₃% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi) and received from any one contributor, during the year, a contribution of the greater of **(1)** \$5,000 or **(2)** 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1 Complete Parts I and II

☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than \$1,000 for use *exclusively* for religious, charitable, scientific, literary, or educational purposes, or the prevention of cruelty to children or animals Complete Parts I, II, and III

☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions for use *exclusively* for religious, charitable, etc , purposes, but these contributions did not total to more than \$1,000 If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc , purpose Do not complete any of the parts unless the **General Rule** applies to this organization because it received nonexclusively religious, charitable, etc , contributions of \$5,000 or more during the year ▶ \$ _____

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

| | |
|--|---|
| Name of organization DANIEL AND SUSAN PFAU CHARITABLE FOUNDATION | Employer identification number 31-1411794 |
|--|---|

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

| (a) No. | (b) Name, address, and ZIP + 4 | (c) Total contributions | (d) Type of contribution |
|------------|--|----------------------------|---|
| 1 | DANIEL A PFAU 8305 OLD HICKORY DR CINCINNATI, OH 452431440 | \$ 800,000 | Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution) |
| (a) No. | (b) Name, address, and ZIP + 4 | (c) Total contributions | (d) Type of contribution |
| 2 | DANIEL A PFAU 8305 OLD HICKORY DR CINCINNATI, OH 452431440 | \$ 161,005 | Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input checked="" type="checkbox"/> (Complete Part II if there is a noncash contribution) |
| (a) No. | (b) Name, address, and ZIP + 4 | (c) Total contributions | (d) Type of contribution |
| | | \$ | Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution) |
| (a) No. | (b) Name, address, and ZIP + 4 | (c) Total contributions | (d) Type of contribution |
| | | \$ | Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution) |
| (a) No. | (b) Name, address, and ZIP + 4 | (c) Total contributions | (d) Type of contribution |
| | | \$ | Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution) |
| (a) No. | (b) Name, address, and ZIP + 4 | (c) Total contributions | (d) Type of contribution |
| | | \$ | Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution) |

| | |
|--|---|
| Name of organization DANIEL AND SUSAN PFAU CHARITABLE FOUNDATION | Employer identification number 31-1411794 |
|--|---|

Part III

Exclusively religious, charitable, etc., individual contributions to section 501(c)(7), (8), or (10) organizations that total more than \$1,000 for the year. Complete columns (a) through (e) and the following line entry

For organizations completing Part III, enter the total of *exclusively* religious, charitable, etc , contributions of **\$1,000 or less** for the year (Enter this information once See instructions) ▶ \$

Use duplicate copies of Part III if additional space is needed

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

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

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

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

TY 2012 Accounting Fees Schedule

Name: DANIEL AND SUSAN PFAU CHARITABLE FOUNDATION

EIN: 31-1411794

| Category | Amount | Net Investment Income | Adjusted Net Income | Disbursements for Charitable Purposes |
|---------------------------|--------|--------------------------|------------------------|---|
| TAX RETURN PREPARATION | 700 | 0 | | 700 |

TY 2012 All Other Program Related Investments Schedule

Name: DANIEL AND SUSAN PFAU CHARITABLE FOUNDATION

EIN: 31-1411794

| Category | Amount |
|----------|--------|
| N/A | 0 |

TY 2012 Explanation of Non-Filing with Attorney General Statement

Name: DANIEL AND SUSAN PFAU CHARITABLE FOUNDATION

EIN: 31-1411794

Statement: THIS TRUST DOES NOT PROVIDE A COPY OF FORM 990-PF TO THE OHIO ATTORNEY GENERAL BECAUSE, IN LIEU THEREOF, IT IS REQUIRED TO FILE AN ON-LINE ANNUAL REPORT AT WWW.OHIOATTORNEYGENERAL.GOV.

**TY 2012 Investments Corporate
Bonds Schedule**

Name: DANIEL AND SUSAN PFAU CHARITABLE FOUNDATION
EIN: 31-1411794

| Name of Bond | End of Year Book Value | End of Year Fair Market Value |
|-----------------|------------------------|-------------------------------|
| CORPORATE BONDS | 1,908,773 | 2,069,733 |

TY 2012 Investments Corporate Stock Schedule

Name: DANIEL AND SUSAN PFAU CHARITABLE FOUNDATION

EIN: 31-1411794

| Name of Stock | End of Year Book Value | End of Year Fair Market Value |
|---------------|------------------------|-------------------------------|
| COMMON STOCKS | 4,177,566 | 5,454,810 |

**TY 2012 Investments Government
Obligations Schedule**

Name: DANIEL AND SUSAN PFAU CHARITABLE FOUNDATION
EIN: 31-1411794

| | |
|---|---------|
| US Government Securities - End of Year Book Value: | 256,994 |
| US Government Securities - End of Year Fair Market Value: | 292,904 |
| State & Local Government Securities - End of Year Book Value: | 0 |
| State & Local Government Securities - End of Year Fair Market Value: | 0 |

TY 2012 Investments - Other Schedule

Name: DANIEL AND SUSAN PFAU CHARITABLE FOUNDATION

EIN: 31-1411794

| Category/ Item | Listed at Cost or FMV | Book Value | End of Year Fair Market Value |
|----------------------|-----------------------|------------|-------------------------------|
| MUTUAL FUNDS-EQUITY | AT COST | 4,674,371 | 6,068,856 |
| MUTUAL FUNDS - FIXED | AT COST | 1,278,395 | 1,317,448 |

TY 2012 Other Expenses Schedule**Name:** DANIEL AND SUSAN PFAU CHARITABLE FOUNDATION**EIN:** 31-1411794

| Description | Revenue and Expenses per Books | Net Investment Income | Adjusted Net Income | Disbursements for Charitable Purposes |
|---|-----------------------------------|--------------------------|---------------------|--|
| OHIO ATTORNEY GENERAL FILING FEE | 200 | 0 | | 200 |
| ACCRUED INTEREST | 2,277 | 2,277 | | 0 |
| ADMINISTRATIVE SERVICES | 39,286 | 0 | | 39,286 |
| PROCESSING FEES ON FOREIGN DIVIDENDS | 63 | 63 | | 0 |

TY 2012 Other Income Schedule

Name: DANIEL AND SUSAN PFAU CHARITABLE FOUNDATION

EIN: 31-1411794

| Description | Revenue And Expenses Per Books | Net Investment Income | Adjusted Net Income |
|------------------------|-----------------------------------|--------------------------|---------------------|
| CLASS ACTIONS PROCEEDS | 43 | | 43 |
| 2011 EXCISE TAX REFUND | 1 | | 1 |

TY 2012 Other Increases Schedule

Name: DANIEL AND SUSAN PFAU CHARITABLE FOUNDATION

EIN: 31-1411794

| Description | Amount |
|--|---------|
| PARKER HANNIFIN CORP CARRYING VALUE ADJUSTMENT | 367,131 |

TY 2012 Substantial Contributors Schedule

Name: DANIEL AND SUSAN PFAU CHARITABLE FOUNDATION

EIN: 31-1411794

| Name | Address |
|-------------|--|
| DANIEL PFAU | 8305 OLD HICKORY DRIVE CINCINNATI, OH 452431440 |

TY 2012 Taxes Schedule**Name:** DANIEL AND SUSAN PFAU CHARITABLE FOUNDATION**EIN:** 31-1411794

| Category | Amount | Net Investment Income | Adjusted Net Income | Disbursements for Charitable Purposes |
|--------------------------------|--------|--------------------------|------------------------|---|
| 2012 ESTIMATED EXCISE TAX PAID | 2,820 | 0 | | 0 |
| FOREIGN TAXES PAID | 39 | 39 | | 0 |

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|---|---|--------------------------------|---|--------|
| Name and address (home or business) | | | | |
| a <i>Paid during the year</i> | | | | |
| BIG BROTHERS AND BIG SISTERS 2400 READING RD SUITE 401 CINCINNATI, OH 45202 | NONE | PUBLIC CHARITY | TO SUPPORT THE COMMUNITY BASED MENTORING PROGRAM | 20,000 |
| BRIDGES FOR A JUST COMMUNITY 50 EAST FREEDOM WAY 4TH FLOOR CINCINNATI, OH 45202 | NONE | PUBLIC CHARITY | TO SUPPORT THE JUST COMMUNITY YOUTH LEADERSHIP INSTITUTE | 10,000 |
| BRIGHTON CENTER INC P O BOX 325 NEWPORT, KY 41072 | NONE | PUBLIC CHARITY | TO SUPPORT THE YOUTH LEADERSHIP DEVELOPMENT PROGRAM | 19,000 |
| CAMP KOINONIA 1914 ANDY HOLT AVENUE 347 HPER BLDG KNOXVILLE, TN 37996 | NONE | PUBLIC CHARITY | TO SUPPORT CAMP KOINONIA AN EXPERIENCE THAT WILL LAST A LIFETIME | 20,000 |
| CANCER FAMILY CARE INC 2421 AUBURN AVENUE CINCINNATI, OH 45219 | NONE | PUBLIC CHARITY | TO SUPPORT THE TREEHOUSE CHILDREN'S SERVICES PROGRAM | 20,000 |
| CAPITAL DISTRICT COMMUNITY GARDENS 40 RIVER ST TROY, NY 12180 | NONE | PUBLIC CHARITY | TO SUPPORT THE PRODUCE PROJECT | 25,000 |
| CHILDREN INC 333 MADISON AVE COVINGTON, KY 41011 | NONE | PUBLIC CHARITY | TO SUPPORT THE GREATER CINCINNATI SERVICE LEARNING INITIATIVE | 15,000 |
| CINCINNATI ASSOCIATION FOR THE BLIND & VISUALLY IMPAIRED 2045 GILBERT AVE CINCINNATI, OH 45202 | NONE | PUBLIC CHARITY | TO SUPPORT THE MUSIC PROGRAM FOR CHILDREN WHO ARE BLIND OR VISUALLY IMPAIRED | 10,000 |
| CINCINNATI INSTITUTE OF FINE ARTS 20 EAST CENTRAL PARKWAY SUITE 200 CINCINNATI, OH 45202 | NONE | PUBLIC CHARITY | TO SUPPORT THE ARTS SERVICES OFFICE, ENDOWMENT FUND AND COMMUNITY GRANTS FUND | 40,000 |
| CINCINNATI ART MUSEUM 953 EDEN PARK DR CINCINNATI, OH 45202 | NONE | PUBLIC CHARITY | TO SUPPORT THE SCHOOL BASED LEARNING THROUGH THE ART MUSEUM PROGRAM | 12,500 |
| CINCINNATI MUSICAL FESTIVAL ASSOCIATION 1241 ELM STREET CINCINNATI, OH 45202 | NONE | PUBLIC CHARITY | TO SUPPORT THE MAY FESTIVAL & VOCAL ARTS ENSEMBLE STRATEGIC PARTNERSHIP | 15,000 |
| CINCINNATI OPERA ASSOCIATION 1243 ELM STREET CINCINNATI, OH 45202 | NONE | PUBLIC CHARITY | TO SUPPORT THE INTRODUCING OPERA TO YOUTH PROGRAM | 15,000 |
| CINCINNATI RECREATION COMMISSION FOUNDATION 805 CENTRAL AVE SUITE 800 CINCINNATI, OH 45202 | NONE | PUBLIC CHARITY | TO SUPPORT MEMBERSHIPS FOR DISADVANTAGED YOUTH & THE I CAN SWIM PROGRAMS | 20,000 |
| CINCINNATI SYMPHONY ORCHESTRA 1241 ELM STREET CINCINNATI, OH 45202 | NONE | PUBLIC CHARITY | TO SUPPORT THE 2012-2013 SEASON | 10,000 |
| CINCINNATI WORKS 708 WALNUT STREET 2ND FLOOR CINCINNATI, OH 45202 | NONE | PUBLIC CHARITY | TO SUPPORT THE NEXT STEP NETWORK PROJECT | 50,000 |


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| CINCINNATI YOUTH COLLABORATIVE 301 OAK STREET CINCINNATI,OH 45219 | NONE | PUBLIC CHARITY | TO SUPPORT THE GIRLS CLUBS | 5,000 |
| CINCYSMILES FOUNDATION 635 W 7TH ST SUITE 309 CINCINNATI,OH 45203 | NONE | PUBLIC CHARITY | TO SUPPORT THE DENTAL ROAD CREW PROGRAM | 20,000 |
| CIVIC GARDEN CENTER OF GREATER CINCINNATI 2715 READING RD CINCINNATI,OH 45206 | NONE | PUBLIC CHARITY | TO SUPPORT THE YOUTH EDUCATION PROGRAM | 10,000 |
| COMPREHENSIVE COMMUNITY CHILD CARE 1924 DANA AVENUE CINCINNATI,OH 45207 | NONE | PUBLIC CHARITY | TO SUPPORT THE DEVELOPING QUALITY E-LEARNING FOR THE EARLY CHILDHOOD FIELD PROGRAM | 9,055 |
| FAMILY NURTURING CENTER OF KENTUCKY 8275 EWING BOULEVARD FLORENCE,KY 41042 | NONE | PUBLIC CHARITY | TO SUPPORT THE PLAYGROUND PROJECT | 7,500 |
| FREESTORE FOODBANK 1141 CENTRAL PARKWAY CINCINNATI,OH 45202 | NONE | PUBLIC CHARITY | TO SUPPORT THE EXPANSION OF THE POWER PACK PROGRAM | 40,000 |
| GIRL SCOUTS OF WESTERN OHIO 4930 CORNELL ROAD CINCINNATI,OH 45242 | NONE | PUBLIC CHARITY | TO SUPPORT THE GIRL SCOUTS EDUCATIONAL OUTREACH PROGRAMS GIRL SCOUTS DURING THE SCHOOL DAY, GIRL SCOUTS SPRING BREAK DAY CAMP AND SUMMER OUTREACH | 7,500 |
| HEALTHY BEGINNINGS INC 47 E HOLLISTER ST CINCINNATI,OH 45219 | NONE | PUBLIC CHARITY | TO SUPPORT THE AT-RISK PRENATAL CARE PROGRAM | 15,000 |
| HEARING SPEECH & DEAF CENTER OF GREATER CINCINNATI 2825 BURNET AVE CINCINNATI,OH 45219 | NONE | PUBLIC CHARITY | TO SUPPORT THE BUILDING KATIE'S HOUSE PROJECT | 20,000 |
| HOLLY HILL CHILDREN'S HOME 9599 SUMMER HILL ROAD CALIFORNIA,KY 41007 | NONE | PUBLIC CHARITY | TO SUPPORT THE FISCAL 2013 BUILDINGS & GROUNDS PROJECT | 20,000 |
| JOY OUTDOOR EDUCATION CENTER FOUNDATION PO BOX 417 CLARKSVILLE,OH 45113 | NONE | PUBLIC CHARITY | TO SUPPORT THE CAMP JOY MAKEOVER PROJECT | 25,000 |
| LINDEN GROVE SCHOOL 4122 MYRTLE AVE CINCINNATI,OH 45236 | NONE | PUBLIC CHARITY | TO SUPPORT THE BRING IT PROJECT - BRING INTEGRATED TECHNOLOGY TO LINDEN GROVE | 20,000 |
| LITERACY CENTER WEST 3208 WARSAWAVE CINCINNATI,OH 45205 | NONE | PUBLIC CHARITY | TO SUPPORT THE URBAN CENTER DEVELOPMENT PROJECT | 10,000 |
| LITERACY NETWORK OF GREATER CINCINNATI 635 W 7TH ST SUITE 103 19 BROADCAST PLAZA CINCINNATI,OH 45203 | NONE | PUBLIC CHARITY | TO SUPPORT THE CINCINNATI READS PROGRAM | 10,000 |
| LADD INC 3603 VICTORY PKWY CALIFORNIA,OH 45229 | NONE | PUBLIC CHARITY | TO SUPPORT THE LADD-STARFIRE SUPPORTED EMPLOYMENT INITIATIVE | 15,000 |

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| LOWER PRICE HILL COMMUNITY SCHOOL INC 2104 ST MICHAEL ST CINCINNATI,OH 45204 | NONE | PUBLIC CHARITY | TO SUPPORT THE YOUNG ADULT LIFE COACH POSITION | 15,000 |
| MAY-WE-HELP P O BOX 510 MILFORD,OH 45150 | NONE | PUBLIC CHARITY | TO SUPPORT MATERIALS COSTS FOR DEVICES REQUESTED BY CLIENTS FROM AGES 0-30 | 9,000 |
| MINDPEACE 5642 HAMILTON AVENUE CINCINNATI,OH 45224 | NONE | PUBLIC CHARITY | TO SUPPORT THE IMPROVING ACCESS TO MENTAL HEALTH CARE FOR UNDERSERVED CHILDREN PROGRAM | 25,000 |
| NOTRE DAME URBAN EDUCATION CENTER 14 EAST 8TH STREET COVINGTON,KY 41011 | NONE | PUBLIC CHARITY | TO SUPPORT THE NOTRE DAME URBAN EDUCATION CENTER PROGRAMS | 10,000 |
| OHIO JUSTICE AND POLICY CENTER 215 E 9TH ST SUITE 601 CALIFORNIA,OH 45202 | NONE | PUBLIC CHARITY | TO SUPPORT THE SECOND CHANCE COMMUNITY LEGAL CLINICS AT CINCINNATI STATE | 15,000 |
| HAMILTON COUNTY SPECIAL OLYMPICS 4777 RED BANK EXPWY SUITE 19 CINCINNATI,OH 45227 | NONE | PUBLIC CHARITY | TO SUPPORT THE SKI CLUB IN 2012-13 AND PARTIAL FUNDING TO SEND ONE ATHLETE TO THE WORLD GAMES IN SOUTH KOREA | 13,700 |
| PARSONS CHILD AND FAMILY CENTER 530 FRANKLIN STREET 3RD FLOOR SCHENECTADY,NY 12203 | NONE | PUBLIC CHARITY | TO SUPPORT THE GET REAL' PROGRAM | 31,900 |
| PEOPLE WORKING COOPERATIVELY 4612 PADDOCK ROAD CINCINNATI,OH 45229 | NONE | PUBLIC CHARITY | TO SUPPORT THE MODIFICATIONS FOR MOBILITY PROGRAM | 25,000 |
| PLAN OF SOUTHWEST OHIO INC 4300 ROSSPLAIN ROAD CINCINNATI,OH 45236 | NONE | PUBLIC CHARITY | TO SUPPORT EXPANDING STAFF FOR THE NEXT STEP PROGRAM | 40,000 |
| PROKIDS 2605 BURNET AVENUE CINCINNATI,OH 45219 | NONE | PUBLIC CHARITY | TO SUPPORT THE CASA UNIVERSITY | 30,000 |
| READING LOCKLAND PRESBYTERIAN CHURCH 125 SOUTH COOPER AVENUE CINCINNATI,OH 45215 | NONE | PUBLIC CHARITY | TO SUPPORT THE SUMMER FOOD AND EDUCATIONAL ENRICHMENT PROGRAM | 17,525 |
| SANTA MARIA COMMUNITY SERVICES 617 STEINER AVE CINCINNATI,OH 45204 | NONE | PUBLIC CHARITY | TO SUPPORT THE BUILDING YOUTH ASSETS IN PRICE HILL PROGRAM | 15,000 |
| ST RITA SCHOOL FOR THE DEAF 1720 GLENDALE MILFORD RD CINCINNATI,OH 45215 | NONE | PUBLIC CHARITY | TO SUPPORT THE JOB TRAINING FOR VOC 2 PROGRAM | 25,000 |
| STARFIRE COUNCIL OF GREATER CINCINNATI INC 5030 OAKLAWN DRIVE CINCINNATI,OH 45227 | NONE | PUBLIC CHARITY | TO SUPPORT THE CAPSTONE CONNECTORS PROGRAM | 30,000 |
| TAFT MUSEUM OF ART 316 PIKE STREET CINCINNATI,OH 45202 | NONE | PUBLIC CHARITY | TO SUPPORT THE DUNCANSON SOCIETY & AFRICAN-AMERICAN AUDIENCE OUTREACH PROGRAM | 10,000 |

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| YMCA OF GREATER CINCINNATI 1105 ELM STREET CINCINNATI, OH 45202 | NONE | PUBLIC CHARITY | TO SUPPORT THE YOUTH SCHOLARSHIPS PROGRAM AT THE CARL H LINDNER JR YMCA | 15,000 |
| YWCA OF GREATER CINCINNATI INC 898 WALNUT ST CINCINNATI, OH 45202 | NONE | PUBLIC CHARITY | TO SUPPORT THE GIRLS, INC PROGRAM | 20,000 |
| Total  3a | | | | 882,680 |