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

2012

Department of the Treasury  
Internal Revenue Service

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

For calendar year 2012, or tax year beginning

, 2012, and ending

THE PETER AND PATRICIA GRUBER FOUNDATION  
PO BOX 208958  
NEW HAVEN, CT 06520-8958

**A** Employer identification number  
65-1230485

**B** Telephone number (see the instructions)  
203-432-6231

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

**D** 1 Foreign organizations, check here ☐

2 Foreign organizations meeting the 85% test, check here and attach computation ☐

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

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

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

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

**I** Fair market value of all assets at end of year (from Part II, column (c), line 16)  
\$ 10,679,843.

**J** Accounting method. ☐ Cash ☒ Accrual  
☐ Other (specify) \_\_\_\_\_  
(Part I, column (d) must be on cash basis)

## Part I Analysis of Revenue and Expenses

(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions).)

(a) Revenue and expenses per books

(b) Net investment income

(c) Adjusted net income

(d) Disbursements for charitable purposes (cash basis only)

REVENUE	1	Contributions, gifts, grants, etc., received (att sch)	6,876,253.			
	2	Cl <input type="checkbox"/> if the foundn is not req to att Sch B				
	3	Interest on savings and temporary cash investments	388.	388.	N/A	
	4	Dividends and interest from securities	69,185.	69,185.		
	5a	Gross rents				
	b	Net rental income or (loss)				
	6a	Net gain/(loss) from sale of assets not on line 10	1,536.			
	b	Gross sales price for all assets on line 6a	1,536.			
	7	Capital gain net income (from Part IV, line 2)		1,536.		
	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/(loss) (att sch)					
11	Other income (attach schedule)					
	SEE STATEMENT 1	281,763.	167,211.			
12	Total. Add lines 1 through 11	7,229,125.	238,320.			
ADMINISTRATIVE EXPENSES	13	Compensation of officers, directors, trustees, etc	52,308.			52,308.
	14	Other employee salaries and wages	52,325.			52,325.
	15	Pension plans, employee benefits	6,341.			6,341.
	16a	Legal fees (attach schedule) SEE ST 2	19,647.			24,512.
	b	Accounting fees (attach sch) SEE ST 3	10,974.			10,244.
	c	Other prof fees (attach sch)				
	17	Interest				
	18	Taxes (attach schedule) (see instrs) SEE STM 4	2,383.			
	19	Depreciation (attach sch) and depletion	1,175.			
	20	Occupancy	36,744.			36,744.
	21	Travel, conferences, and meetings	5,611.			5,611.
	22	Printing and publications	992.			992.
	23	Other expenses (attach schedule) SEE STATEMENT 5	23,950.			23,950.
	24	Total operating and administrative expenses. Add lines 13 through 23	212,450.			213,027.
	25	Contributions, gifts, grants paid PART XV	4,325,200.			15,575,200.
26	Total expenses and disbursements. Add lines 24 and 25	4,537,650.	0.		15,788,227.	
27	Subtract line 26 from line 12:					
a	Excess of revenue over expenses and disbursements	2,691,475.				
b	Net investment income (if negative, enter -0-)		238,320.			
c	Adjusted net income (if negative, enter -0-)					

16  
14

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		600.	600.	600.
	2	Savings and temporary cash investments		5,224,939.	1,197,823.	1,197,823.
	3	Accounts receivable				
		Less: allowance for doubtful accounts				
	4	Pledges receivable				
		Less: allowance for doubtful accounts				
	5	Grants receivable				
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)				
	7	Other notes and loans receivable (attach sch.)				
		Less: allowance for doubtful accounts				
	8	Inventories for sale or use				
	9	Prepaid expenses and deferred charges		121,114.	116,653.	119,036.
	10a	Investments — U.S. and state government obligations (attach schedule)				
	b	Investments — corporate stock (attach schedule)				
	c	Investments — corporate bonds (attach schedule)				
	LIABILITIES	11	Investments — land, buildings, and equipment: basis			
		Less: accumulated depreciation (attach schedule)				
12		Investments — mortgage loans				
13		Investments — other (attach schedule) STATEMENT 6		11,551,917.	8,904,190.	9,337,837.
14		Land, buildings, and equipment: basis 10,842.				
		Less: accumulated depreciation (attach schedule) SEE STMT 7 9,899.		2,642.	943.	943.
15		Other assets (describe SEE STATEMENT 8)		578,762.	23,604.	23,604.
16		Total assets (to be completed by all filers — see the instructions. Also, see page 1, item I)		17,479,974.	10,243,813.	10,679,843.
17		Accounts payable and accrued expenses		9,573.	5,115.	
18		Grants payable		14,050,000.	2,800,000.	
NET FUND ASSETS OR FUND BALANCES	19	Deferred revenue				
	20	Loans from officers, directors, trustees, & other disqualified persons				
	21	Mortgages and other notes payable (attach schedule)				
	22	Other liabilities (describe)		743.		
	23	Total liabilities (add lines 17 through 22)		14,060,316.	2,805,115.	
	24	Foundations that follow SFAS 117, check here and complete lines 24 through 26 and lines 30 and 31.	<input type="checkbox"/>			
	25	Unrestricted				
26	Temporarily restricted					
27	Permanently restricted					
28	Foundations that do not follow SFAS 117, check here and complete lines 27 through 31.	<input checked="" type="checkbox"/>				
27	Capital stock, trust principal, or current funds					
28	Paid-in or capital surplus, or land, building, and equipment fund		22,404,978.	22,404,979.		
29	Retained earnings, accumulated income, endowment, or other funds		-18,985,320.	-14,966,281.		
30	Total net assets or fund balances (see instructions)		3,419,658.	7,438,698.		
31	Total liabilities and net assets/fund balances (see instructions)		17,479,974.	10,243,813.		

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

1	Total net assets or fund balances at beginning of year — Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return)	1	3,419,658.
2	Enter amount from Part I, line 27a	2	2,691,475.
3	Other increases not included in line 2 (itemize) SEE STATEMENT 9	3	1,327,565.
4	Add lines 1, 2, and 3	4	7,438,698.
5	Decreases not included in line 2 (itemize)	5	
6	Total net assets or fund balances at end of year (line 4 minus line 5) — Part II, column (b), line 30	6	7,438,698.

**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 shares MLC Company)		(b) How acquired P — Purchase D — Donation	(c) Date acquired (month, day, year)	(d) Date sold (month, day, year)
1 a				
b				
c				
d				
e				

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(i) Gains (Column (h) gain minus column (k), but not less than -0-) or Losses (from column (h))
(j) Fair Market Value as of 12/31/69	(k) Adjusted basis as of 12/31/69	(l) Excess of column (j) over column (k), if any	
a			
b			
c			
d			
e			

2 Capital gain net income or (net capital loss).	<div style="border: 1px solid black; padding: 2px;">           If gain, also enter in Part I, line 7            If (loss), enter -0- in Part I, line 7         </div>		2	1,536.
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6).	<div style="border: 1px solid black; padding: 2px;">           If gain, also enter in Part I, line 8, column (c) (see instructions). If (loss), enter -0-            in Part I, line 8         </div>		3	1,536.

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

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

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

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

☐ Yes☒ No

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (column (b) divided by column (c))
2011	72,700,758.	54,997,189.	1.321900
2010	4,047,143.	84,461,049.	0.047917
2009	4,101,565.	79,487,772.	0.051600
2008	4,128,189.	92,234,969.	0.044757
2007	3,988,418.	91,622,371.	0.043531

2 Total of line 1, column (d)	2	1.509705
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	0.301941
4 Enter the net value of noncharitable-use assets for 2012 from Part X, line 5	4	7,950,001.
5 Multiply line 4 by line 3	5	2,400,431.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	2,383.
7 Add lines 5 and 6	7	2,402,814.
8 Enter qualifying distributions from Part XII, line 4	8	15,788,227.

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.

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Form 990-PF (2012)

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

1 a 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 instrs)			
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	2,383.
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, column (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	2,383.
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		4	0.
5 <b>Tax based on investment income.</b> Subtract line 4 from line 3. If zero or less, enter -0-		5	2,383.
6 Credits/Payments:			
a 2012 estimated tax pmts and 2011 overpayment credited to 2012	6 a	9,036.	
b Exempt foreign organizations — tax withheld at source	6 b		
c Tax paid with application for extension of time to file (Form 8868)	6 c		
d Backup withholding erroneously withheld	6 d		
7 Total credits and payments. Add lines 6a through 6d	7	9,036.	
8 Enter any <b>penalty</b> for underpayment of estimated tax. Check here <input checked="" type="checkbox"/> if Form 2220 is attached	8		
9 <b>Tax due.</b> If the total of lines 5 and 8 is more than line 7, enter <b>amount owed</b>	9	0.	
10 <b>Overpayment.</b> If line 7 is more than the total of lines 5 and 8, enter the <b>amount overpaid</b>	10	6,653.	
11 Enter the amount of line 10 to be: <b>Credited to 2013 estimated tax</b> 6,653. <b>Refunded</b>	11	0.	

**Part VII-A Statements Regarding Activities**

	Yes	No
1 a 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 the instructions for definition)? <i>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</i>		X
c Did the foundation file <b>Form 1120-POL</b> 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 \$ 0. (2) On foundation managers \$ 0.		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers \$ 0.		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? <i>If 'Yes,' attach a detailed description of the activities</i>		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? <i>If 'Yes,' attach a conformed copy of the changes</i>		X
4 a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		X
b If 'Yes,' has it filed a tax return on <b>Form 990-T</b> for this year?		N/A
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? <i>If 'Yes,' attach the statement required by General Instruction T</i>		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	X	
7 Did the foundation have at least \$5,000 in assets at any time during the year? <i>If 'Yes,' complete Part II, column (c), and Part XV</i>	X	
8 a Enter the states to which the foundation reports or with which it is registered (see instructions) DE NY		
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 <i>General Instruction G</i> ? <i>If 'No,' attach explanation</i>	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 2012 or the taxable year beginning in 2012 (see instructions for Part XIV)? <i>If 'Yes,' complete Part XIV</i>		X
10 Did any persons become substantial contributors during the tax year? <i>If 'Yes,' attach a schedule listing their names and addresses</i>		X

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Form 990-PF (2012)

**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 <b>WWW.PPGRUBERFOUNDATION.ORG</b>	13	X	
14	The books are in care of <b>A. SARAH HREHA</b> Telephone no. <b>203-432-6231</b> Located at <b>PO BOX 208958 NEW HAVEN CT</b> ZIP + 4 <b>06520-8958</b>			
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 <b>15</b> <b>N/A</b>			
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	Yes	No
	See the instructions for exceptions and filing requirements for Form TD F 90-22.1 If 'Yes,' enter the name of the foreign country			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
1 a 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 type="checkbox"/> Yes <input checked="" 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"/>	1 b	N/A
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?	1 c	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 2012, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2012? If 'Yes,' list the years <b>20 __ , 20 __ , 20 __ , 20 __</b>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
b Are there any years listed in 2a for which the foundation is <b>not</b> applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer 'No' and attach statement - see instructions.)	2 b	N/A
c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. <b>20 __ , 20 __ , 20 __ , 20 __</b>		
3 a 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? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2012.)	3 b	N/A
4 a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4 a	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 2012?	4 b	X

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Form 990-PF (2012)

**Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required** (continued)**5 a** During the year did the foundation pay or incur any amount to:(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? ☐ Yes ☒ No(2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive? ☐ Yes ☒ No(3) Provide a grant to an individual for travel, study, or other similar purposes? ☐ Yes ☒ No(4) Provide a grant to an organization other than a charitable, etc., organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? (see instructions) ☐ Yes ☒ No(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? ☐ Yes ☒ No**b** If any answer is 'Yes' to 5a(1)-(5), did **any** of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)?

5 b

N/A

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

N/A

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

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

6 b

X

If 'Yes' to 6b, file Form 8870

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

N/A

7 b

**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
PETER J. GRUBER PO BOX 208958 NEW HAVEN, CT 06520-8958	CHM EMERITUS 0	0.	0.	0.
PATRICIA M. GRUBER PO BOX 208958 NEW HAVEN, CT 06520-8958	PRESIDENT 3.00	0.	0.	0.
AMY SARAH HREHA PO BOX 208958 NEW HAVEN, CT 06520-8958	VP, TREAS, SEC 22.00	52,308.	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.		

**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** (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	
2		
All other program-related investments. See instructions.		
3		
<b>Total.</b> Add lines 1 through 3		0

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Form 990-PF (2012)



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

<b>1</b> Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
<b>a</b> Average monthly fair market value of securities	<b>1 a</b>	5,783,879.
<b>b</b> Average of monthly cash balances	<b>1 b</b>	2,287,188.
<b>c</b> Fair market value of all other assets (see instructions)	<b>1 c</b>	
<b>d</b> Total (add lines 1a, b, and c)	<b>1 d</b>	8,071,067.
<b>e</b> Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	<b>1 e</b>	0.
<b>2</b> Acquisition indebtedness applicable to line 1 assets	<b>2</b>	0.
<b>3</b> Subtract line 2 from line 1d	<b>3</b>	8,071,067.
<b>4</b> Cash deemed held for charitable activities. Enter 1-1/2% of line 3 (for greater amount, see instructions)	<b>4</b>	121,066.
<b>5</b> Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	<b>5</b>	7,950,001.
<b>6</b> Minimum investment return. Enter 5% of line 5	<b>6</b>	397,500.

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

<b>1</b> Minimum investment return from Part X, line 6		<b>1</b>	397,500.
<b>2 a</b> Tax on investment income for 2012 from Part VI, line 5	<b>2 a</b>	2,383.	
<b>b</b> Income tax for 2012. (This does not include the tax from Part VI.)	<b>2 b</b>		
<b>c</b> Add lines 2a and 2b	<b>2 c</b>	2,383.	
<b>3</b> Distributable amount before adjustments. Subtract line 2c from line 1	<b>3</b>	395,117.	
<b>4</b> Recoveries of amounts treated as qualifying distributions	<b>4</b>		
<b>5</b> Add lines 3 and 4	<b>5</b>	395,117.	
<b>6</b> Deduction from distributable amount (see instructions)	<b>6</b>		
<b>7</b> Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	<b>7</b>	395,117.	

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

<b>1</b> Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes:		
<b>a</b> Expenses, contributions, gifts, etc. — total from Part I, column (d), line 26	<b>1 a</b>	15,788,227.
<b>b</b> Program-related investments — total from Part IX-B	<b>1 b</b>	
<b>2</b> Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	<b>2</b>	
<b>3</b> Amounts set aside for specific charitable projects that satisfy the:		
<b>a</b> Suitability test (prior IRS approval required)	<b>3 a</b>	
<b>b</b> Cash distribution test (attach the required schedule)	<b>3 b</b>	
<b>4</b> Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	<b>4</b>	15,788,227.
<b>5</b> Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b (see instructions)	<b>5</b>	2,383.
<b>6</b> Adjusted qualifying distributions. Subtract line 5 from line 4	<b>6</b>	15,785,844.

**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.

BAA

Form 990-PF (2012)

**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				395,117.
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				
b From 2008				
c From 2009	132,731.			
d From 2010				
e From 2011	69,998,851.			
f Total of lines 3a through e	70,131,582.			
4 Qualifying distributions for 2012 from Part XII, line 4 ▶ \$ 15,788,227.				
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				395,117.
e Remaining amount distributed out of corpus	15,393,110.			
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	85,524,692.			
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)	0.			
9 Excess distributions carryover to 2013. Subtract lines 7 and 8 from line 6a .	85,524,692.			
10 Analysis of line 9:				
a Excess from 2008				
b Excess from 2009	132,731.			
c Excess from 2010				
d Excess from 2011	69,998,851.			
e Excess from 2012	15,393,110.			

BAA

Form 990-PF (2012)

N/A

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

4942(1)(5)

**b** 85% of line 2a

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

**e** Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c.

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

a 'Assets' alternative test – enter:

**(1) Value of all assets**

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

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

c 'Support' alternative test – enter:

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

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

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

**(4) Gross investment income**

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

### 1 Information Regarding Foundation Managers:

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

**NONE**

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

**NONE**

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

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

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

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

c Any submission deadlines:

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

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
<b>a</b> Paid during the year SEE STATEMENT 10				
<b>Total</b>			<b>3a</b>	15,575,200.
<b>b</b> Approved for future payment				
BRANDEIS UNIVERSITY DEVELOPMENT SERVICES 415 SOUTH ST WALTHAM, MA 02453	N/A	PUBLIC	PETER GRUBER ENDOWED CHAIR IN NEUROSCIENCE	2,000,000.
TIBETAN BUDDHIST RESOURCE CENTER 115 FIFTH AVENUE, 7TH FLOOR NEW YORK, NY 10003	N/A	PUBLIC	SUPPORT FOR PRESERVATION OF TIBETAN CULTURE	800,000.
<b>Total</b>			<b>3b</b>	2,800,000.





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

Department of the Treasury  
Internal Revenue Service

**Schedule of Contributors**

► Attach to Form 990, Form 990-EZ, or Form 990-PF

OMB No 1545-0047

**2012**

Name of the organization

THE PETER AND PATRICIA GRUBER FOUNDATION

Employer identification number

65-1230485

Organization type (check one):

Filers of:

Form 990 or 990-EZ

Section:

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

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

☐ 527 political organization

Form 990-PF

☒ 501(c)(3) exempt private foundation

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

☐ 501(c)(3) taxable private foundation

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

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

**General Rule**

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

**Special Rules**

☐ For a section 501(c)(3) organization filing Form 990 or 990-EZ that met the 33-1/3% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi) and received from any one contributor, during the year, a contribution of the greater of (1) \$5,000 or (2) 2% of the amount on (i) Form 990, Part VIII, line 1h or (ii) Form 990-EZ, line 1. Complete Parts I and II.

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

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

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

**BAA For Paperwork Reduction Act Notice, see the Instructions for Form 990, 990-EZ, or 990-PF.**

Schedule B (Form 990, 990-EZ, or 990-PF) (2012)

Name of organization

Employer identification number

THE PETER AND PATRICIA GRUBER FOUNDATION

65-1230485

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

(a) Number	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	PETER & PATRICIA M. GRUBER 6501 RED HOOK PLAZA, SUITE 201 ST. THOMAS, VI 00802	\$ 6,826,253.	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input checked="" type="checkbox"/> (Complete Part II if there is a noncash contribution.)
2	THE GRUBER FOUNDATION 2 WHITNEY AVENUE, 6TH FLOOR NEW HAVEN, CT 06510	\$ 50,000.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution.)
			Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution.)
			Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution.)
			Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution.)
			Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution.)
			Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution.)



Name of organization

Employer identification number

THE PETER AND PATRICIA GRUBER FOUNDATION

65-1230485

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

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
1	JPM BRAZIL REAL ZERO NOTE 07/01/13		
		\$ 6,826,253.	12/21/12
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		\$	
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		\$	
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		\$	
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		\$	
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		\$	

BAA

Name of organization

THE PETER AND PATRICIA GRUBER FOUNDATION

Employer identification number

65-1230485

**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 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.

► \$ N/A

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

## THE PETER AND PATRICIA GRUBER FOUNDATION

65-1230485

**STATEMENT 1**  
**FORM 990-PF, PART I, LINE 11**  
**OTHER INCOME**

	(A) REVENUE PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME
OTHER INVESTMENT INCOME	\$ 165,674.	\$ 167,211.	
SERVICE EXPENSE REIMBURSE	116,089.		
<b>TOTAL</b>	<b>\$ 281,763.</b>	<b>\$ 167,211.</b>	<b>0.</b>

**STATEMENT 2**  
**FORM 990-PF, PART I, LINE 16A**  
**LEGAL FEES**

	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
RESEARCH & COMPLIANCE	\$ 19,647.			\$ 24,512.
<b>TOTAL</b>	<b>\$ 19,647.</b>	<b>\$ 0.</b>		<b>\$ 24,512.</b>

**STATEMENT 3**  
**FORM 990-PF, PART I, LINE 16B**  
**ACCOUNTING FEES**

	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ACCOUNTING AND TAX PREPARATION	\$ 10,974.			\$ 10,244.
<b>TOTAL</b>	<b>\$ 10,974.</b>	<b>\$ 0.</b>		<b>\$ 10,244.</b>

**STATEMENT 4**  
**FORM 990-PF, PART I, LINE 18**  
**TAXES**

	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
EXCISE TAX BASED ON INVESTMENT INCOME	\$ 2,383.			
<b>TOTAL</b>	<b>\$ 2,383.</b>	<b>\$ 0.</b>		<b>\$ 0.</b>

## THE PETER AND PATRICIA GRUBER FOUNDATION

65-1230485

**STATEMENT 5**  
**FORM 990-PF, PART I, LINE 23**  
**OTHER EXPENSES**

	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ADMINISTRATIVE EXPENSES	\$ 502.			\$ 502.
ADP FEES - PAYROLL	1,708.			1,708.
ADVERTISING & PROMOTIONAL	684.			684.
ANNUAL & FRANCHISE REPORTS	534.			534.
BANK SERVICE CHARGES	133.			133.
DUES & SUBSCRIPTIONS	1,416.			1,416.
HONORARIUMS	2,000.			2,000.
HOSPITALITY	162.			162.
INSURANCE	7,901.			7,901.
MEALS & ENTERTAINMENT	2,535.			2,535.
MISCELLANEOUS	299.			299.
OFFICE EXPENSE	946.			946.
POSTAGE, SHIPPING & DELIVERY	29.			29.
SUPPLIES	55.			55.
TELEPHONE & INTERNET	4,348.			4,348.
WORKERS COMPENSATION INSURANCE	698.			698.
<b>TOTAL</b>	<b>\$ 23,950.</b>	<b>\$ 0.</b>		<b>\$ 23,950.</b>

**STATEMENT 6**  
**FORM 990-PF, PART II, LINE 13**  
**INVESTMENTS - OTHER**

	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
<b>OTHER INVESTMENTS</b>			
SFC PARK KNOLLS INVESTORS, LP	COST	\$ 9,071.	\$ 9,071.
SFC PHEASANT RUN INVESTORS, LP	COST	5,209.	5,209.
JPM BRAZIL REAL ZERO NOTE 07/01/13	MKT VAL	6,826,253.	7,125,826.
JPM HIGH YIELD FD	MKT VAL	1,063,657.	1,105,791.
GS BREN SPX 02/21/13	MKT VAL	1,000,000.	1,091,940.
<b>TOTAL</b>		<b>\$ 8,904,190.</b>	<b>\$ 9,337,837.</b>

**STATEMENT 7**  
**FORM 990-PF, PART II, LINE 14**  
**LAND, BUILDINGS, AND EQUIPMENT**

CATEGORY	BASIS	ACCUM. DEPREC.	BOOK VALUE	FAIR MARKET VALUE
MACHINERY AND EQUIPMENT	\$ 10,842.	\$ 9,899.	\$ 943.	\$ 943.
<b>TOTAL</b>	<b>\$ 10,842.</b>	<b>\$ 9,899.</b>	<b>\$ 943.</b>	<b>\$ 943.</b>

## THE PETER AND PATRICIA GRUBER FOUNDATION

65-1230485

**STATEMENT 8**  
**FORM 990-PF, PART II, LINE 15**  
**OTHER ASSETS**

	BOOK VALUE	FAIR MARKET VALUE
DIVIDENDS RECEIVABLE	\$ 7,064.	\$ 7,064.
DUE FROM PMG	577.	577.
SECURITY DEPOSITS	15,963.	15,963.
<b>TOTAL</b>	<b>\$ 23,604.</b>	<b>\$ 23,604.</b>

**STATEMENT 9**  
**FORM 990-PF, PART III, LINE 3**  
**OTHER INCREASES**

NET UNREALIZED GAINS ON CONTRIBUTIONS PAID, SEE STMT 11	<b>\$ 1,327,565.</b>
<b>TOTAL</b>	<b>\$ 1,327,565.</b>

**STATEMENT 10**  
**FORM 990-PF, PART XV, LINE 3A**  
**RECIPIENT PAID DURING THE YEAR**

NAME AND ADDRESS	DONEE RELATIONSHIP	FOUND- ATION STATUS	PURPOSE OF GRANT	AMOUNT
TIBETAN BUDDHIST RESOURCE CENTER 115 FIFTH AVENUE, 7TH FLOOR NEW YORK, NY 10003	N/A	PUBLIC	SUPPORT FOR PRESERVATION OF TIBETAN CULTURE	\$ 200,000.
COMMUNITY FOUNDATION OF THE VI P.O. BOX 11790 ST. THOMAS, VI 00801	N/A	PUBLIC	LAWS OF LIFE CHARACTER BUILDING ESSAY CONTEST FOR HIGH SCHOOL STUDENTS	36,200.
ASSOCIATION FOR ASIAN STUDIES 825 VICTORS WAY, SUITE 310 ANN HARBOR, MI 48108	N/A	PUBLIC	E. GENE SMITH INNER ASIA BOOK PRIZE	10,000.
NATIONAL COUNCIL FOR RESEARCH ON WOMEN 11 HANOVER SQUARE, 24TH FLOOR NEW YORK, NY 10005	N/A	PUBLIC	FUNDRAISER FOR MAKING A DIFFERENCE FOR WOMEN GALA	5,000.
TIBETAN BUDDHIST RESOURCE CENTER 115 FIFTH AVENUE, 7TH FLOOR NEW YORK, NY 10003	N/A	PUBLIC	ROBERT HO MATCHING GRANT	50,000.

## THE PETER AND PATRICIA GRUBER FOUNDATION

65-1230485

STATEMENT 10 (CONTINUED)  
 FORM 990-PF, PART XV, LINE 3A  
 RECIPIENT PAID DURING THE YEAR

NAME AND ADDRESS	DONEE RELATIONSHIP	FOUND- ATION STATUS	PURPOSE OF GRANT	AMOUNT
RUBIN MUSEUM OF ART 150 WEST 17TH STREET NEW YORK, NY 10011	N/A	PUBLIC	NINE RIVERS GALA FUNDRAISING EVENT	\$ 13,000.
WNET.ORG 825 EIGHTH AVENUE NEW YORK, NY 10019	N/A	PUBLIC	DONATION FOR WOMEN, WAR AND PEACE OUTREACH	50,000.
BRANDEIS UNIVERSITY DEVELOPMENT SERVICES 415 SOUTH ST WALTHAM, MA 02453	N/A	PUBLIC	PETER GRUBER ENDOWED CHAIR IN NEUROSCIENCE, 1ST OF THREE ANNUAL	1,000,000.
CREATING HOPE INTERNATIONAL PO BOX 1058 DEARBORN, MI 48121	N/A	PUBLIC	TO SUPPORT AFGHAN INSTITUTE OF LEARNING	25,000.
PHILANTHROPY NEW YORK 79 FIFTH AVENUE, FOURTH FLOOR NEW YORK, NY 10003	N/A	PUBLIC	GBOWEE PEACE FOUNDATION USA DONATION FOR GLOBAL PEACE INITIATIVE	5,000.
MY BROTHER'S WORKSHOP PO BOX 503205 ST. THOMAS, VI 00805	N/A	PUBLIC	TO SUPPORT ST. THOMAS REFORM CHURCH OUTREACH PROGRAM	5,000.
NATIONAL COUNCIL FOR RESEARCH ON WOMEN 11 HANOVER SQUARE, 24TH FLOOR NEW YORK, NY 10005	N/A	PUBLIC	ADDITIONAL DINNER TICKET	1,000.
FOUNDATIONAL QUESTIONS INSTITUTE PO BOX 3655 DECATUR, GA 30031	N/A	PUBLIC	FOXI DONATION ESSAY AND VIDEO CONTEST	125,000.
THE GRUBER FOUNDATION 2 WHITNEY AVENUE, 6TH FLOOR NEW HAVEN, CT 06510	N/A	PUBLIC	TO ENSURE THE CONTINUITY OF THE GRUBER INTERNATIONAL PRIZE PROGRAM	14,000,000.
GENETICS SOCIETY OF AMERICA 9650 ROCKVILLE PIKE BETHESDA, MD 20814	N/A	PUBLIC	THE ROSALIND FRANKLIN AWARD	50,000.

TOTAL \$ 15,575,200.

## THE PETER AND PATRICIA GRUBER FOUNDATION

65-1230485

## STATEMENT 11

## FORM 990-PF, PART III, LINE 3

## NET UNREALIZED GAINS ON CONTRIBUTIONS PAID TO THE GRUBER FOUNDATION

<b>PARTNERSHIPS</b>	<b>Book Value Tax Basis</b>	<b>JPM Valuation</b>	<b>Unrealized Gain/(Loss)</b>	<b>Date of Gift</b>
Apollo VII Private Investors LLC	2,835,677	3,667,788	832,111	4/4/2012
Caduceus Asia Private Investors LP	630,130	534,591	(95,539)	4/5/2012
J.P. Morgan Secondary Private Equity Investors LP	515,807	634,421	118,614	4/4/2012
Highbridge Mezzanine Partners LP	1,869,956	1,920,453	50,497	4/5/2012
Blackstone Capital Partners VI LP	149,377	133,716	(15,661)	4/4/2012
Altima One World Agriculture Fund Ltd.	1,751,437	1,638,529	(112,908)	4/25/2012
J.P. Morgan Greater China Property Fund LLC	4,168,268	4,718,719	550,451	4/4/2012
<b>TOTALS</b>	<b>11,920,652</b>	<b>13,248,217</b>	<b>1,327,565</b>	

12/31/12

## 2012 FEDERAL BOOK DEPRECIATION SCHEDULE

PAGE 1

THE PETER AND PATRICIA GRUBER FOUNDATION

65-1230485

NO.	DESCRIPTION	DATE ACQUIRED	DATE SOLD	COST/ BASIS	BUS. PCT.	CUR 179 BONUS	SPECIAL DEPR. ALLOW.	PRIOR 179/ BONUS/ SP. DEPR.	PRIOR DEC. BAL DEPR.	SALVAGE /BASIS REDUCT.	DEPR. BASIS	PRIOR DEPR.	METHOD	LIFE	RATE	CURRENT DEPR.	
FORM 990/990-PF																	
FURNITURE AND FIXTURES																	
1	FILE CABINET	11/08/01	3/31/12	520							520	520	200DB HY	7		0	
2	CABINETS	12/15/02	3/31/12	460							460	460	200DB MQ	7		0	
3	LATERAL FILE CABINETS	9/08/03	3/31/12	550							550	550	200DB MQ	7		0	
4	FILE CABINETS	12/31/03	3/31/12	1,480							1,480	1,480	200DB MQ	7		0	
5	DESK, TABLE, BOOKSHELVES	2/10/04	3/31/12	4,009							4,009	4,009	200DB HY	7		0	
22	STT OFFICE PHONE INSTALL	1/13/10	3/31/12	1,000							1,000	388	200DB HY	7	.17490	88	
TOTAL FURNITURE AND FIXTURE				8,019	0	0	0	0	0	0	8,019	7,407					88
MACHINERY AND EQUIPMENT																	
6	HP OFFICEJET	2/08/01	3/31/12	700							700	700	200DB HY	5		0	
7	COMPUTER	5/22/01	3/31/12	2,139							2,139	2,139	200DB HY	5		0	
8	LCD MONITOR	12/31/03	3/31/12	450							450	450	200DB MQ	5		0	
9	3 COMPUTERS-SCHLESINGER	4/22/04	3/31/12	4,959							4,959	4,959	200DB HY	5		0	
10	DELL COMPUTER	9/29/05	3/31/12	1,855							1,855	1,855	200DB HY	5		0	
11	HP OFFICEJET 7310 COLOR	3/17/07		400							400	394	200DB MQ	5	.01380	6	
12	HP LASERJET P2015DN PRINT	3/17/07		500							500	493	200DB MQ	5	.01380	7	
13	WESTERN DIGITAL MY BOOK	3/17/07		420							420	414	200DB MQ	5	.01380	6	
14	DELL OPTIPLEX 740 MINITOW	6/06/07		1,664							1,664	1,593	200DB MQ	5	.04260	71	
15	DELL E520 INTEL CELERON	7/03/07		1,437							1,437	1,336	200DB MQ	5	.07060	101	
16	BLACKBERRY - DH	12/19/07		325							325	294	200DB MQ	5	.09580	31	
18	DESKTOP - TOYIA	12/21/07		1,111							1,111	1,031	200DB MQ	5	.09580	80	
19	PAT'S COMPUTER	10/31/07		1,468							1,468	1,328	200DB MQ	5	.09580	140	
20	VIDEOCAMERA TRIPOD	11/13/08		332							332	264	200DB MQ	5	.10940	36	



## THE PETER AND PATRICIA GRUBER FOUNDATION

NO.	DESCRIPTION	DATE ACQUIRED	DATE SOLD	COST/ BASIS	BUS. PCT.	CUR 179 BONUS	SPECIAL DEPR. ALLOW.	PRIOR 179/ BONUS/ SP. DEPR.	PRIOR DEC BAL DEPR.	SALVAGE /BASIS REDUCT.	DEPR. BASIS	PRIOR DEPR.	METHOD	LIFE	RATE	CURRENT DEPR.
21	MICROPHONE	5/05/09		48							48	34	200DB HY	5	11520	6
23	PHONE AND NEW PLAN FOR PF	4/26/10		322							322	167	200DB HY	5	19200	62
24	BLACKBERRY-SH	5/07/10		243							243	127	200DB HY	5	19200	47
25	COMPUTERS	6/17/10		2,572							2,572	1,337	200DB HY	5	19200	494
TOTAL MACHINERY AND EQUIPME																
MISCELLANEOUS																
17	WEBSITE DEVELOPMENT	8/20/07	3/31/12	43,124							43,124	43,124	S/L	3		0
TOTAL MISCELLANEOUS																
TOTAL DEPRECIATION																
GRAND TOTAL DEPRECIATION																
DEPRECIATION ASSETS SOLD																
DEPR REMAINING ASSETS																