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Form 990-PF

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

OMB No 1545-0052

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.

Open to public inspection

For calendar year 2012 or tax year beginning

, and ending

Name of foundation KLINGENSTEIN CHARITABLE FOUNDATION TRUST		A Employer identification number 65-6266949
Number and street (or P.O. box number if mail is not delivered to street address) 32 WAUWINET ROAD		B Telephone number 585-248-2768
City or town, state, and ZIP code NEWTON, MA 02465		C If exemption application is pending, check here <input type="checkbox"/>
G Check all that apply: <input type="checkbox"/> Initial return <input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Final return <input type="checkbox"/> Amended return <input type="checkbox"/> Address change <input type="checkbox"/> Name change		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) \$ 1,637,910. (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"/>
J Accounting method <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____		

Part I Analysis of Revenue and Expenses		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
1 Contributions, gifts, grants, etc., received				N/A	
2 Check <input checked="" type="checkbox"/> if the foundation is not required to attach Sch. B					
3 Interest on savings and temporary cash investments		14,622.	14,622.		STATEMENT 1
4 Dividends and interest from securities		35,683.	35,683.		STATEMENT 2
5a Gross rents					
b Net rental income or (loss)					
6a Net gain or (loss) from sale of assets not on line 10		<1,381.>			
b Gross sales price for all assets on line 6a 125,000.					
7 Capital gain net income (from Part IV, line 2)			0.		
8 Net short-term capital gain					
9 Income modifications					
10a Gross sales less returns and allowances					
b Less Cost of goods sold					
c Gross profit or (loss)					
11 Other income					
12 Total. Add lines 1 through 11		48,924.	50,305.		
13 Compensation of officers, directors, trustees, etc		0.	0.		0.
14 Other employee salaries and wages					
15 Pension plans, employee benefits					
16a Legal fees					
b Accounting fees STMT 3		3,100.	1,550.		1,550.
c Other professional fees STMT 4		9,919.	9,919.		0.
17 Interest					
18 Taxes					
19 Depreciation and depletion					
20 Occupancy					
21 Travel, conferences, and meetings					
22 Printing and publications					
23 Other expenses STMT 5		144.	144.		0.
24 Total operating and administrative expenses. Add lines 16 through 23		13,163.	11,613.		1,550.
25 Contributions, gifts, grants paid		173,318.			173,318.
26 Total expenses and disbursements. Add lines 24 and 25		186,481.	11,613.		174,868.
27 Subtract line 26 from line 12		<137,557.>			
a Excess of revenue over expenses and disbursements			38,692.		
b Net investment income (if negative, enter -0-)					
c Adjusted net income (if negative, enter -0-)				N/A	

Part II Balance Sheets

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

		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1 Cash - non-interest-bearing	72,460.	37,597.	37,597.
	2 Savings and temporary cash investments			
	3 Accounts receivable ▶			
	Less: allowance for doubtful accounts ▶			
	4 Pledges receivable ▶			
	Less: allowance for doubtful accounts ▶			
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons			
	7 Other notes and loans receivable ▶			
	Less: allowance for doubtful accounts ▶			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10a Investments - U S and state government obligations STMT 7	99,345.	50,793.	54,650.
	b Investments - corporate stock STMT 8	1,293,327.	646,678.	1,338,958.
	c Investments - corporate bonds STMT 9	640,984.	193,968.	206,705.
11 Investments - land, buildings, and equipment basis ▶				
Less: accumulated depreciation ▶				
12 Investments - mortgage loans				
13 Investments - other				
14 Land, buildings, and equipment basis ▶				
Less: accumulated depreciation ▶				
15 Other assets (describe ▶)				
16 Total assets (to be completed by all filers)	2,106,116.	929,036.	1,637,910.	
Liabilities	17 Accounts payable and accrued expenses			
	18 Grants payable			
	19 Deferred revenue			
	20 Loans from officers, directors, trustees, and other disqualified persons			
	21 Mortgages and other notes payable			
	22 Other liabilities (describe ▶)			
23 Total liabilities (add lines 17 through 22)	0.	0.		
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ <input type="checkbox"/>			
	24 Unrestricted			
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ <input checked="" type="checkbox"/>			
	27 Capital stock, trust principal, or current funds	0.	0.	
	28 Paid-in or capital surplus, or land, bldg, and equipment fund	0.	0.	
	29 Retained earnings, accumulated income, endowment, or other funds	2,106,116.	929,036.	
30 Total net assets or fund balances	2,106,116.	929,036.		
31 Total liabilities and net assets/fund balances	2,106,116.	929,036.		

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	2,106,116.
2 Enter amount from Part I, line 27a	2	<137,557.>
3 Other increases not included in line 2 (itemize) ▶	3	0.
4 Add lines 1, 2, and 3	4	1,968,559.
5 Decreases not included in line 2 (itemize) ▶ SEE STATEMENT 6	5	1,039,523.
6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	929,036.

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co.)	(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo, day, yr)	(d) Date sold (mo, day, yr)
1a GOLDMAN SACHS 5.7%	P	05/01/09	09/01/12
b MORGAN STANLEY FLT 2012	P	04/23/09	03/13/12
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 25,000.		25,616.	<616.>
b 100,000.		100,765.	<765.>
c			
d			
e			

(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			<616.>
b			<765.>
c			
d			
e			

2 Capital gain net income or (net capital loss)	<div style="display: flex; align-items: center;"> <div style="border-left: 1px solid black; border-right: 1px solid black; padding: 0 5px;"> If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 </div> <div style="margin-left: 10px;"> 2 <div style="border-bottom: 1px solid black; width: 100px; text-align: right;"><1,381.></div> </div> </div>
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) If (loss), enter -0- in Part I, line 8	<div style="display: flex; align-items: center;"> <div style="border-left: 1px solid black; border-right: 1px solid black; padding: 0 5px;"> If gain, also enter in Part I, line 8, column (c) If (loss), enter -0- in Part I, line 8 </div> <div style="margin-left: 10px;"> 3 <div style="border-bottom: 1px solid black; width: 100px; text-align: right;">N/A</div> </div> </div>

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

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

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

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

☐ Yes ☒ No

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2011	76,665.	1,773,758.	.043222
2010	51,809.	1,556,505.	.033285
2009	98,825.	1,419,325.	.069628
2008	114,349.	1,959,951.	.058343
2007	9,525.	2,022,951.	.004708

2 Total of line 1, column (d)	2	.209186
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	.041837
4 Enter the net value of noncharitable-use assets for 2012 from Part X, line 5	4	1,840,661.
5 Multiply line 4 by line 3	5	77,008.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	387.
7 Add lines 5 and 6	7	77,395.
8 Enter qualifying distributions from Part XII, line 4	8	174,868.

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

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

1a Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1. Date of ruling or determination letter: _____ (attach copy of letter if necessary-see instructions)		1	387.
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		2	0.
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b).		3	387.
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		4	0.
3 Add lines 1 and 2		5	387.
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)			
5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-			
6 Credits/Payments			
a 2012 estimated tax payments and 2011 overpayment credited to 2012	6a 2,920.		
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	2,920.
8 Enter any penalty for underpayment of estimated tax. Check here <input type="checkbox"/> if Form 2220 is attached		8	
9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed		9	
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid		10	2,533.
11 Enter the amount of line 10 to be Credited to 2013 estimated tax	2,533. Refunded	11	0.

Part VII-A Statements Regarding Activities

	Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		X
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for definition)? If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.		X
c Did the foundation file Form 1120-POL for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year (1) On the foundation <input 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.		X
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes		X
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		X
b If "Yes," has it filed a tax return on Form 990-T for this year?		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by General Instruction T.		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? If "Yes," complete Part II, col. (c), and Part XV.	X	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) <input type="checkbox"/> NONE		
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation	X	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2012 or the taxable year beginning in 2012 (see instructions for Part XIV)? If "Yes," complete Part XIV		X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses		X

N/A

Part VII-A Statements Regarding Activities (continued)

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)	11		X
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► N/A	13	X	
14	The books are in care of ► DR R JAMES KLINGENSTEIN Telephone no ► 585-248-2768 Located at ► 2000 WASHINGTON STREET SUITE 543, NEWTON, MA ZIP+4 ► 02162			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here and enter the amount of tax-exempt interest received or accrued during the year ► 15 N/A			
16	At any time during calendar year 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? See the instructions for exceptions and filing requirements for Form TD F 90-22.1. If "Yes," enter the name of the foreign country ►	16	Yes	No X

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

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

	Yes	No
1a During the year did the foundation (either directly or indirectly)		
(1) Engage in the sale or exchange, or leasing of property with a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input 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 N/A	1b	
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	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? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If "Yes," list the years ►		
b Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see instructions) N/A	2b	
c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here ►		
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b If "Yes," did it have excess business holdings in 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.) N/A	3b	
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a	X
b Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2012?	4b	X

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

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No**b** If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)?

N/A

Organizations relying on a current notice regarding disaster assistance check here

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

N/A

☐ Yes ☐ No

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

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

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

6b

X

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

N/A

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.

(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
DR R JAMES KLINGENSTEIN 2000 WASHINGTON STREET SUITE 543 NEWTON, MA 02162	TRUSTEE 2.00	0.	0.	0.

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

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

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

0

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	1,721,814.
b	Average of monthly cash balances	1b	146,877.
c	Fair market value of all other assets	1c	
d	Total (add lines 1a, b, and c)	1d	1,868,691.
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	1,868,691.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	28,030.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	1,840,661.
6	Minimum investment return. Enter 5% of line 5	6	92,033.

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	92,033.
2a	Tax on investment income for 2012 from Part VI, line 5	2a	387.
b	Income tax for 2012 (This does not include the tax from Part VI)	2b	
c	Add lines 2a and 2b	2c	387.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	91,646.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	91,646.
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	91,646.

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	174,868.
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	174,868.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b	5	387.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	174,481.

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				91,646.
2 Undistributed income, if any, as of the end of 2012				
a Enter amount for 2011 only			86,659.	
b Total for prior years		0.		
3 Excess distributions carryover, if any, to 2012				
a From 2007				
b From 2008				
c From 2009				
d From 2010				
e From 2011	968.			
f Total of lines 3a through e	968.			
4 Qualifying distributions for 2012 from Part XII, line 4 ▶ \$ 174,868.				
a Applied to 2011, but not more than line 2a			86,659.	
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				88,209.
e Remaining amount distributed out of corpus	0.			
5 Excess distributions carryover applied to 2012 (If an amount appears in column (d), the same amount must be shown in column (a).)	968.			968.
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	0.			
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 instr			0.	
f Undistributed income for 2012 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2013				2,469.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3)	0.			
8 Excess distributions carryover from 2007 not applied on line 5 or line 7	0.			
9 Excess distributions carryover to 2013. Subtract lines 7 and 8 from line 6a	0.			
10 Analysis of line 9				
a Excess from 2008				
b Excess from 2009				
c Excess from 2010				
d Excess from 2011				
e Excess from 2012				

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a Paid during the year				
BUCKINGHAM BROWNE & NICHOLS SCHOOL 80 GERRY'S LANDING ROAD CAMBRIDGE, MA 02138	NONE	EXEMPT SCHOOL	GENERAL GIFTS	10,000.
BRIMMER & MAY SCHOOL 69 MIDDLESEX ROAD CHESTNUT HILL, MA 02467	NONE	EXEMPT SCHOOL	GENERAL FUND	10,000.
BRANDEIS UNIVERSITY 415 SOUTH STREET WALTHAM, MA 02453	NONE	EXEMPT UNIVERSITY	GENERAL FUND	140,000.
SOLOMON SCHECHTER DAY SCHOOL OF GREATER BOSTON 60 STEIN CIRCLE NEWTON, MA 02459	NONE	EXEMPT SCHOOL	GENERAL FUND	2,500.
TEMPLE EMMANUEL 385 WARD STREET NEWTON, MA 02459	NONE	EXEMPT RELIGIOUS	CANTORS FUND, GENERAL GIFT	10,000.
Total	SEE CONTINUATION SHEET(S)			173,318.
b Approved for future payment				
NONE				
Total				0.

KLINGENSTEIN CHARITABLE FOUNDATION TRUST 65-6266949

Part XV Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
ELLIE AND BESSIE COHEN CAMPS 888 WORCHESTER ST SUITE 350 WELLESLEY, MA 02482	NONE	EXEMPT FOUNDATION	PEMBROKE CAMPS	500.
HARVARD HILLEL 52 MOUNT ABUBURN STREET CAMBRIDGE, MA 02138	NONE	EXEMPT ORGANIZATION	SCHOOL	318.
Total from continuation sheets				818.

FORM 990-PF INTEREST ON SAVINGS AND TEMPORARY CASH INVESTMENTS STATEMENT 1

<u>SOURCE</u>	<u>AMOUNT</u>
CORPORATE BONDS	13,165.
US SAVINGS BONDS	337.
US SAVINGS BONDS	1,120.
TOTAL TO FORM 990-PF, PART I, LINE 3, COLUMN A	14,622.

FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 2

<u>SOURCE</u>	<u>GROSS AMOUNT</u>	<u>CAPITAL GAINS DIVIDENDS</u>	<u>COLUMN (A) AMOUNT</u>
CHARLES SCHWAB- 4318-3459	35,683.	0.	35,683.
TOTAL TO FM 990-PF, PART I, LN 4	35,683.	0.	35,683.

FORM 990-PF ACCOUNTING FEES STATEMENT 3

<u>DESCRIPTION</u>	<u>(A) EXPENSES PER BOOKS</u>	<u>(B) NET INVEST- MENT INCOME</u>	<u>(C) ADJUSTED NET INCOME</u>	<u>(D) CHARITABLE PURPOSES</u>
ACCOUNTING FEES	3,100.	1,550.		1,550.
TO FORM 990-PF, PG 1, LN 16B	3,100.	1,550.		1,550.

FORM 990-PF OTHER PROFESSIONAL FEES STATEMENT 4

<u>DESCRIPTION</u>	<u>(A) EXPENSES PER BOOKS</u>	<u>(B) NET INVEST- MENT INCOME</u>	<u>(C) ADJUSTED NET INCOME</u>	<u>(D) CHARITABLE PURPOSES</u>
OTHER PROFESSIONAL FEES	9,919.	9,919.		0.
TO FORM 990-PF, PG 1, LN 16C	9,919.	9,919.		0.

FORM 990-PF	OTHER EXPENSES			STATEMENT	5
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES	
INVESTMENT EXPENSES	144.	144.			0.
TO FORM 990-PF, PG 1, LN 23	144.	144.			0.

FORM 990-PF	OTHER DECREASES IN NET ASSETS OR FUND BALANCES			STATEMENT	6
DESCRIPTION					AMOUNT
TRANSFER OF ASSETS TO TRUST - SEE STATEMENT					1,039,523.
TOTAL TO FORM 990-PF, PART III, LINE 5					1,039,523.

FORM 990-PF	U.S. AND STATE/CITY GOVERNMENT OBLIGATIONS			STATEMENT	7
DESCRIPTION	U.S. GOV'T	OTHER GOV'T	BOOK VALUE	FAIR MARKET VALUE	
US INFL .625%-04/15/2013	X		50,793.	54,650.	
TOTAL U.S. GOVERNMENT OBLIGATIONS			50,793.	54,650.	
TOTAL STATE AND MUNICIPAL GOVERNMENT OBLIGATIONS					
TOTAL TO FORM 990-PF, PART II, LINE 10A			50,793.	54,650.	

FORM 990-PF	CORPORATE STOCK		STATEMENT	8
DESCRIPTION			BOOK VALUE	FAIR MARKET VALUE
AVON PROD INC			20,003.	10,626.
BRISTOL-MYERS SQUIBB CO			45,684.	26,072.
CHEVRON CORP			20,617.	37,849.
EXXON MOBIL CORP			19,676.	28,129.
EDWARDS LIFESCIENCES			5,130.	36,068.
EQUIFAX INC			47,585.	108,240.
FREERT-MCMRAN CPR & GLD			35,070.	136,800.

KLINGENSTEIN CHARITABLE FOUNDATION TRUST

65-6266949

FIDELITY NATL INFO SVCS	14,201.	34,810.
HONEYWELL INTL	18,821.	47,603.
HERSHEY CO	18,972.	21,666.
INTL BUSINESS MACHINES	164,831.	383,100.
JOHNSON & JOHNSON	19,182.	21,030.
MOSAIC CO	6,510.	34,261.
OCCIDEDNTAL PETE CORP CAL	22,058.	115,834.
PEPSICO INC	64,778.	102,645.
PROCTOR & GAMBLE	19,401.	23,762.
3M CO	29,322.	37,140.
TRANSOCEAN LTD	6,436.	12,103.
ZIMMER HOLDING INC	40,608.	66,660.
VANGUARD HIGH YIELD FUND	20,000.	26,706.
FIRST ENERGY	7,788.	27,854.
ROUNDING	5.	0.
TOTAL TO FORM 990-PF, PART II, LINE 10B	646,678.	1,338,958.

FORM 990-PF	CORPORATE BONDS	STATEMENT	9
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DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
GENERAL ELECTRIC CAP CORP	100,000.	108,505.
BERSHIRE HATHAWAY 5.75%	17,612.	18,202.
GANNETT CO INC. 9.375%	16,965.	16,631.
GOLDMAN SACHS 5.35%	31,703.	33,106.
KRAFT FOOD 5.375%	27,688.	30,261.
TOTAL TO FORM 990-PF, PART II, LINE 10C	193,968.	206,705.

KLINGENSTEIN CHARITABLE FOUNDATION TRUST
FED ID # 65-6266949
12/31/2012

REVISION OF 2011 CARRYFORWARDS

DUE TO THIS TRANSFER OF 50% OF ALL INVESTMENTS AT JANUARY 27, 2012,
 TO THE PAUL KLINGENSTEIN FAMILY FOUNDATION INC , FED ID #45-4288118,
 THE ORGANIZATION HAS HAD TO PRORATE SEVERAL 2011 CARRYFORWARDS BY 50%
 TO 2012, TO PROPERLY REFLECT THE REDUCTION OF THESE ASSETS

THE SCHEDULES AFFECTED BY THESE REDUCTIONS OF THE 2011 CARRYFORWARDS WERE AS FOLLOWS.

**1. 990PF PART V QUALIFICATION UNDER SECTION 4940(E) FOR REDUCED TAX ON
 NET INVESTMENT INCOME LINES 1B,1C & 1D.**

	100%	100%	100%		50%	50%	50%
	PRE-ALLOCATION	PRE-ALLOCATION	PRE-ALLOCATION		POST-ALLOCATION	POST-ALLOCATION	POST-ALLOCATION
	ADJUSTED	NET VALUE			ADJUSTED	NET VALUE	
	QUALIFYING	OF			QUALIFYING	OF	
	DISTRIBUTIONS	NONCHARITABLE	DISTRIBUTION		DISTRIBUTIONS	NONCHARITABLE	DISTRIBUTION
		USE ASSETS	RATIO			USE ASSETS	RATIO
2011	153,329	3,547,515	0 043222		76,665	1,773,758	0 043222
2010	103,617	3,113,010	0 033285		51,809	1,556,505	0 033285
2009	197,649	2,838,649	0 069628		98,825	1,419,325	0 069628
2008	228,698	3,919,901	0 058343		114,349	1,959,951	0 058343
2007	19,050	4,045,901	0 004708		9,525	2,022,951	0 004708

2	990PF PART XIII UNDISTRIBUTED INCOME LINES 6F UNDISTRIBUTED INCOME - 2011 TAX RETURN	100%	50%
		PRE-ALLOCATION	POST-ALLOCATION
		173,318	86,659
	LINES 3D APPLIED TO 2011 DISTRIBUTABLE AMOUNT - 2011 TAX RETURN	100%	50%
		PRE-ALLOCATION	POST-ALLOCATION
		1,935	968

KLINGENSTEIN CHARITABLE FOUNDATION TRUST			
FED ID # 65-6266949			
12/31/2012			
TRANSFER OF ASSETS TO THE PAUL KLINGENSTEIN FAMILY FOUNDATION, INC.			
FEDERAL ID # 45-4288118			
January 27, 2012			
AS OF JANUARY 27, 2012, THE KLINGENSTEIN CHARITABLE FOUNDATION TRUST			
TRANSFERRED 50% OF ALL INVESTMENTS TOTALING \$1,039,523 TO A			
SUCCESSOR FOUNDATION FOUNDED BY A FORMER TRUSTEE, IRENE K HESS			
THE NAME OF THIS FOUNDATION IS THE PAUL KLINGENSTEIN FAMILY FOUNDATION INC			
	TOTAL	TOTAL	TOTAL
	# OF	BOOK	FAIR MARKET
	SHARES OR	VALUE	VALUE
	FACE	OF ASSETS	OF ASSETS
	VALUE OF	TRANSFERRED	TRANSFERRED
THE ASSETS TRANSFERRED TO THE PAUL KLINGENSEIN FAMILY FOUNDATION INC AT JANUARY 27, 2012 CONSISTED	BOND	01/27/12	01/27/12
OF CASH AND SECURITIES CONSISTING OF	TRANSFERRED		
CASH AND SWEEP MONEY MARKET FUNDS		22,704	22,704
GOVERNMENT BONDS			
UST INFL 625%-04/15/2013 OID year 2012	50,000	49,673	54,813
CORPORATE STOCK			
Avon Prod Inc	740	20,003	13,586
Bristol-Myers Squibb Co	800	45,684	25,832
Chevron Corp	350	20,616	36,386
Exxon Mobil Corp	325	19,675	27,895
Edwards Lifesciences	400	5,129	31,672
Equifax Inc	2,000	47,585	78,640
Freeprt-Mcmran CPR & Gld	4,000	35,069	184,520
Fidelity Natl Info Svcs	1,000	14,201	28,550
Honeywell Intl	750	18,821	43,703
Hershey Co	300	18,972	18,372
Intl Business Machines	2,000	164,831	380,920
Johnson & Johnson	300	19,182	19,668
Mosaic Co	606	6,520	34,275
Occidental Pete Corp Cal	1,512	22,058	151,578
Pepsico Inc	1,500	64,777	98,715
Proctor & Gamble	350	19,401	22,505
3M Co	400	29,322	34,984
Transocean Ltd	270	6,412	12,995
Zimmer Holding Inc	1,000	40,608	60,500
Vanguard High Yield Fund	4,371	20,000	25,395
First Energy (Former Allegheny)	667	7,788	28,187
		646,654	1,358,878
CORPORATE BONDS			
General Electric Cap Corp Ser Z	100,000	100,000	106,142
Goldman Sachs 5 7% due 09/01/2012	25,000	25,873	25,641
Morgan Stanley Flt 2012	100,000	100,651	100,069
Berkshire Hathaway 5 75% due 01/15/2040	15,000	17,612	17,700
Gannett Co Inc 9 375% due 11/15/17	15,000	16,965	16,538
Goldman Sachs 5 35% due 01/15/2016	30,000	31,703	31,495
Kraft Food 5 375% due 02/10/20	25,000	27,688	28,619
		320,492	326,204
TOTAL CASH AND SECURITIES TRANSFERRED TO TRUST		1,039,523	1,762,600

Application for Extension of Time To File an Exempt Organization Return

OMB No. 1545-1709

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

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

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

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

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

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

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

Type or print File by the due date for filing your return. See instructions.	Name of exempt organization or other filer, see instructions. KLINGENSTEIN CHARITABLE FOUNDATION TRUST	Employer identification number (EIN) or 65-6266949
	Number, street, and room or suite no. If a P.O. box, see instructions. 32 WAUWINET ROAD	Social security number (SSN)
	City, town or post office, state, and ZIP code. For a foreign address, see instructions. NEWTON, MA 02465	

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

04

Application Is For	Return Code	Application Is For	Return Code
Form 990 or Form 990-EZ	01	Form 990-T (corporation)	07
Form 990-BL	02	Form 1041-A	08
Form 4720 (individual)	03	Form 4720	09
Form 990-PF	04	Form 5227	10
Form 990-T (sec. 401(a) or 408(a) trust)	05	Form 6069	11
Form 990-T (trust other than above)	06	Form 8870	12

DR R JAMES KLINGENSTEIN

- The books are in the care of ► **2000 WASHINGTON STREET SUITE 543 - NEWTON, MA 02162**
Telephone No. ► **585-248-2768** FAX No. ►

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

- 1 I request an automatic 3-month (6 months for a corporation required to file Form 990-T) extension of time until **AUGUST 15, 2013**, to file the exempt organization return for the organization named above. The extension is for the organization's return for:
► ☒ calendar year **2012** or
► ☐ tax year beginning , and ending .

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

3a If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions.	3a	\$	2,920.
b If this application is for Form 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit.	3b	\$	2,920.
c Balance due. Subtract line 3b from line 3a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions.	3c	\$	0.

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

LHA **For Privacy Act and Paperwork Reduction Act Notice, see instructions.**

Form **8868** (Rev. 1-2013)