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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 AUG 1, 2012 , and ending JUL 31, 2013

Name of foundation
STEVEN DUNCKER FOUNDATION
C/O RAICH ENDE MALTER & CO. LLP

A Employer identification number
13-3932635

Number and street (or P O box number if mail is not delivered to street address) | Room/suite
475 PARK AVENUE SOUTH, 31ST FL

B Telephone number
212-695-7003

City or town, state, and ZIP code
NEW YORK, NY 10016

C If exemption application is pending, check here ▶ ☐

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

D 1 Foreign organizations, check here ▶ ☐
2 Foreign organizations meeting the 85% test, check here and attach computation ▶ ☐

H Check type of organization: [X] Section 501(c)(3) exempt private foundation ☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation

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

I Fair market value of all assets at end of year (from Part II, col (c), line 16) ▶$ 2,868,267.

J Accounting method: [X] Cash ☐ Accrual ☐ 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 ▶ ☐

**Part I** **Analysis of Revenue and Expenses** (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a).)

| | | (a) Revenue and expenses per books | (b) Net investment income | (c) Adjusted net income | (d) Disbursements for charitable purposes (cash basis only) |
|---|---|---|---|---|---|
| Revenue | 1 Contributions, gifts, grants, etc., received | | | N/A | |
| | 2 Check ▶ [X] if the foundation is not required to attach Sch B | | | | |
| | 3 Interest on savings and temporary cash investments | 66. | 66. | | STATEMENT 1 |
| | 4 Dividends and interest from securities | 40,163. | 40,163. | | STATEMENT 2 |
| | 5a Gross rents | | | | |
| | b Net rental income or (loss) | | | | |
| | 6a Net gain or (loss) from sale of assets not on line 10 | 185,192. | | | |
| | b Gross sales price for all assets on line 6a 454,077. | | | | |
| | 7 Capital gain net income (from Part IV, line 2) | | 185,192. | | |
| | 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 | 1,206. | 1,206. | | STATEMENT 3 |
| | 12 **Total** Add lines 1 through 11 | 226,627. | 226,627. | | |
| Operating and Administrative Expenses | 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 | | | | |
| | c Other professional fees | | | | |
| | 17 Interest | | | | |
| | 18 Taxes STMT 4 | 181. | 181. | | 0. |
| | 19 Depreciation and depletion | | | | |
| | 20 Occupancy | | | | |
| | 21 Travel, conferences, and meetings | | | | |
| | 22 Printing and publications | | | | |
| | 23 Other expenses STMT 5 | 13,826. | 13,576. | | 250. |
| | 24 **Total operating and administrative expenses** Add lines 13 through 23 | 14,007. | 13,757. | | 250. |
| | 25 Contributions, gifts, grants paid | 262,950. | | | 262,950. |
| | 26 **Total expenses and disbursements** Add lines 24 and 25 | 276,957. | 13,757. | | 263,200. |
| | 27 Subtract line 26 from line 12: | | | | |
| | a Excess of revenue over expenses and disbursements | <50,330.> | | | |
| | b **Net investment income** (if negative, enter -0-) | | 212,870. | | |
| | c **Adjusted net income** (if negative, enter -0-) | | | N/A | |

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C. STEVEN DUNCKER FOUNDATION

Form 990-PF (2012) C/O RAICH ENDE MALTER & CO. LLP 13-3932635 Page 2

**Part II Balance Sheets** Attached schedules and amounts in the description column should be for end-of-year amounts only

| | | | Beginning of year | End of year | |
|---|---|---|---|---|---|
| | | | (a) Book Value | (b) Book Value | (c) Fair Market Value |
| Assets | 1 | Cash - non-interest-bearing | | | |
| | 2 | Savings and temporary cash investments | 25,911. | 122,066. | 122,066. |
| | 3 | Accounts receivable ▶ 23. | | | |
| | | Less: allowance for doubtful accounts ▶ | | 23. | 23. |
| | 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 | | | |
| | b | Investments - corporate stock STMT 7 | 1,653,221. | 1,504,179. | 2,746,178. |
| | c | Investments - corporate bonds | | | |
| | 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) | 1,679,132. | 1,626,268. | 2,868,267. |
| 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 ▶ BANK ERROR ) | 2,534. | 0. | |
| | 23 | **Total liabilities** (add lines 17 through 22) | 2,534. | 0. | |
| Net Assets or Fund Balances | | **Foundations that follow SFAS 117, check here ▶ ☐ 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 ▶ [X] and complete lines 27 through 31.** | | | |
| | 27 | Capital stock, trust principal, or current funds | 1,676,598. | 1,626,268. | |
| | 28 | Paid-in or capital surplus, or land, bldg., and equipment fund | 0. | 0. | |
| | 29 | Retained earnings, accumulated income, endowment, or other funds | 0. | 0. | |
| | 30 | **Total net assets or fund balances** | 1,676,598. | 1,626,268. | |
| | 31 | **Total liabilities and net assets/fund balances** | 1,679,132. | 1,626,268. | |

**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 | 1,676,598. |
| 2 | Enter amount from Part I, line 27a | 2 | <50,330.> |
| 3 | Other increases not included in line 2 (itemize) ▶ | 3 | 0. |
| 4 | Add lines 1, 2, and 3 | 4 | 1,626,268. |
| 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 | 1,626,268. |

**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 | | | | |
| b | SEE ATTACHED STATEMENT | | | |
| 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 | 454,077. | | 268,885. | 185,192. |

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 | | | | |
| b | | | | |
| c | | | | |
| d | | | | |
| e | | | | 185,192. |

| | | | |
|---|---|---|---|
| 2 Capital gain net income or (net capital loss) | If gain, also enter in Part I, line 7<br>If (loss), enter -0- in Part I, line 7 | 2 | 185,192. |
| 3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6):<br>If gain, also enter in Part I, line 8, column (c)<br>If (loss), enter -0- in Part I, line 8 | | 3 | N/A |

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

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

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

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

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

1 Enter the appropriate amount in each column for each year; see 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 | 318,377. | 2,584,722. | .123176 |
| 2010 | 127,773. | 2,641,405. | .048373 |
| 2009 | 107,754. | 2,305,169. | .046745 |
| 2008 | 91,150. | 1,994,182. | .045708 |
| 2007 | 93,050. | 2,871,431. | .032405 |

| | | |
|---|---|---|
| 2 **Total** of line 1, column (d) | 2 | .296407 |
| 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 | .059281 |
| 4 Enter the net value of noncharitable-use assets for 2012 from Part X, line 5 | 4 | 2,672,310. |
| 5 Multiply line 4 by line 3 | 5 | 158,417. |
| 6 Enter 1% of net investment income (1% of Part I, line 27b) | 6 | 2,129. |
| 7 Add lines 5 and 6 | 7 | 160,546. |
| 8 Enter qualifying distributions from Part XII, line 4 | 8 | 263,200. |

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 ▶ ☐ 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 ▶ [X] and enter 1% of Part I, line 27b | | | 1 | 2,129. |
| 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 | 2,129. |
| 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 | 2,129. |
| 6 | Credits/Payments: | | | | |
| a | 2012 estimated tax payments and 2011 overpayment credited to 2012 | 6a | 1,055. | | |
| b | Exempt foreign organizations - tax withheld at source | 6b | | | |
| c | Tax paid with application for extension of time to file (Form 8868) | 6c | 3,225. | | |
| d | Backup withholding erroneously withheld | 6d | | | |
| 7 | Total credits and payments Add lines 6a through 6d | | | 7 | 4,280. |
| 8 | Enter any **penalty** for underpayment of estimated tax. Check here ☐ 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 | 2,151. |
| 11 | Enter the amount of line 10 to be: **Credited to 2013 estimated tax** ▶ 2,151. **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? | 1a | | X |
| b | Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see instructions for definition)? | 1b | | X |
| | *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 | | 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? *If "Yes," attach a detailed description of the activities* | 2 | | X |
| 3 | Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? *If "Yes," attach a conformed copy of the changes* | 3 | | X |
| 4a | Did the foundation have unrelated business gross income of $1,000 or more during the year? | 4a | | X |
| b | If "Yes," has it filed a tax return on **Form 990-T** for this year? N/A | 4b | | |
| 5 | Was there a liquidation, termination, dissolution, or substantial contraction during the year? *If "Yes," attach the statement required by General Instruction T* | 5 | | X |
| 6 | Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument? | 6 | X | |
| 7 | Did the foundation have at least $5,000 in assets at any time during the year? *If "Yes," complete Part II, col (c), and Part XV* | 7 | X | |
| 8a | Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ 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 *General Instruction G? If "No," attach explanation* | 8b | X | |
| 9 | Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2012 or the taxable year beginning in 2012 (see instructions for Part XIV)? *If "Yes," complete Part XIV* | 9 | | X |
| 10 | Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses | 10 | | X |

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

| | | | Yes | No |
|---|---|---|---|---|
| 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? | 13 | X | |

Website address ▶ N/A

14 The books are in care of ▶ RAICH ENDE MALTER & CO. LLP Telephone no. ▶ 212-695-7003
Located at ▶ 475 PARK AVE SOUTH, 31ST FL, NEW YORK, NY ZIP+4 ▶ 10016

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

| | | | Yes | No |
|---|---|---|---|---|
| 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 | | X |
| | See the instructions for exceptions and filing requirements for Form TD F 90-22.1. If "Yes," enter the name of the foreign country ▶ | | | |

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

**File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.** — Yes / No

1a During the year did the foundation (either directly or indirectly):
(1) Engage in the sale or exchange, or leasing of property with a disqualified person? ☐ Yes ☒ No
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☒ No
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☐ Yes ☒ No
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☐ Yes ☒ 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)? ☐ Yes ☒ 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.) ☐ Yes ☒ No

| | | | Yes | 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)? N/A | 1b | | |
| | Organizations relying on a current notice regarding disaster assistance check here ▶ ☐ | | | |
| 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? ☐ Yes ☒ No
If "Yes," list the years ▶ ____, ____, ____, ____

| | | | Yes | No |
|---|---|---|---|---|
| b | Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to **all** years listed, answer "No" and attach statement - see instructions.) N/A | 2b | | |

c If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here.
▶ ____, ____, ____, ____

3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☐ Yes ☒ No

| | | | Yes | 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 |

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

| | | | |
|---|---|---|---|
| **5a** During the year did the foundation pay or incur any amount to: | | | |
| (1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? | ☐ Yes ☒ No | | |
| (2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive? | ☐ Yes ☒ No | | |
| (3) Provide a grant to an individual for travel, study, or other similar purposes? | ☐ Yes ☒ No | | |
| (4) Provide a grant to an organization other than a charitable, etc., organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? | ☐ Yes ☒ No | | |
| (5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? | ☐ Yes ☒ No | | |
| **b** If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53 4945 or in a current notice regarding disaster assistance (see instructions)? | N/A | 5b | |
| Organizations relying on a current notice regarding disaster assistance check here | ▶ ☐ | | |
| **c** If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? N/A | ☐ Yes ☐ No | | |
| *If "Yes," attach the statement required by Regulations section 53 4945-5(d)* | | | |
| **6a** Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? | ☐ Yes ☒ No | | |
| **b** Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? | | 6b | X |
| *If "Yes" to 6b, file Form 8870* | | | |
| **7a** At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? | ☐ Yes ☒ No | | |
| **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 |
|---|---|---|---|---|
| C. STEVEN DUNCKER<br>201 VIA LINDA<br>PALM BEACH, FL 33480 | TRUSTEE<br>10.00 | 0. | 0. | 0. |
| CHRISTY HELEN BLUMENHORST<br>27 EMFIELD RD<br>ST LOUIS, MO 63132 | TRUSTEE<br>10.00 | 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



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

**3 Five highest-paid independent contractors for professional services. If none, enter "NONE."**

| (a) Name and address of each person paid more than $50,000 | (b) Type of service | (c) Compensation |
|---|---|---|
| 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 PLEASE NOTE, THE FOUNDATION IS NOT INVOLVED IN ANY DIRECT CHARITABLE ACTIVITIES. ITS PRIMARY PURPOSE IS TO SUPPORT, BY CONTRIBUTIONS, OTHER ORGANIZATIONS EXEMPT UNDER INTERNAL | 0. |
| 2 REVENUE CODE SECTION 501 (C)(3). | 0. |
| 3 | |
| 4 | |

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

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

**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 | 2,620,137. |
| b | Average of monthly cash balances | 1b | 92,868. |
| c | Fair market value of all other assets | 1c | |
| d | **Total** (add lines 1a, b, and c) | 1d | 2,713,005. |
| 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 | 2,713,005. |
| 4 | Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions) | 4 | 40,695. |
| 5 | **Net value of noncharitable-use assets.** Subtract line 4 from line 3. Enter here and on Part V, line 4 | 5 | 2,672,310. |
| 6 | **Minimum investment return** Enter 5% of line 5 | 6 | 133,616. |

**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 | 133,616. |
| 2a | Tax on investment income for 2012 from Part VI, line 5 2a 2,129. | | |
| b | Income tax for 2012 (This does not include the tax from Part VI.) 2b | | |
| c | Add lines 2a and 2b | 2c | 2,129. |
| 3 | Distributable amount before adjustments. Subtract line 2c from line 1 | 3 | 131,487. |
| 4 | Recoveries of amounts treated as qualifying distributions | 4 | 0. |
| 5 | Add lines 3 and 4 | 5 | 131,487. |
| 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 | 131,487. |

**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 | 263,200. |
| 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 | 263,200. |
| 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 | 2,129. |
| 6 | **Adjusted qualifying distributions** Subtract line 5 from line 4 | 6 | 261,071. |

**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 | | | | 131,487. |
| 2 Undistributed income, if any, as of the end of 2012 | | | | |
| a Enter amount for 2011 only | | | 0. | |
| 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 182,649. | | | | |
| f **Total** of lines 3a through e | 182,649. | | | |
| 4 Qualifying distributions for 2012 from Part XII, line 4: ▶ $ 263,200. | | | | |
| 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 | | | | 131,487. |
| e Remaining amount distributed out of corpus | 131,713. | | | |
| 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 | 314,362. | | | |
| 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 | | | | 0. |
| 7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) | 0. | | | |
| 8 Excess distributions carryover from 2007 not applied on line 5 or line 7 | 0. | | | |
| 9 **Excess distributions carryover to 2013** Subtract lines 7 and 8 from line 6a | 314,362. | | | |
| 10 Analysis of line 9: | | | | |
| a Excess from 2008 | | | | |
| b Excess from 2009 | | | | |
| c Excess from 2010 | | | | |
| d Excess from 2011 182,649. | | | | |
| e Excess from 2012 131,713. | | | | |

**Part XIV Private Operating Foundations** (see instructions and Part VII-A, question 9) N/A

1 a 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 foundation is a private operating foundation described in section ☐ 4942(j)(3) or ☐ 4942(j)(5)

| | Tax year | Prior 3 years | | | |
|---|---|---|---|---|---|
| | (a) 2012 | (b) 2011 | (c) 2010 | (d) 2009 | (e) Total |
| 2 a 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<br>a "Assets" alternative test - enter:<br>(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:<br>(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 ▶ [X] 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:

SEE STATEMENT 8

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<br>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* | | | | |
| ADOPT A FAMILY<br>1712 SECOND AVE NORTH<br>LAKE WORTH, FL 33460 | N/A | EXEMPT | SEE STATEMENT 6<br>ATTACHED | 1,500. |
| ALLIANCE FOR EATING DISORDERS<br>PO BOX 13155<br>NORTH PALM BEACH, FL 33408 | N/A | EXEMPT | SEE STATEMENT 6<br>ATTACHED | 500. |
| BOYS & GIRLS CLUB OF PALM BEACH<br>800 NORTHPOINT PARKWAY, SUITE 204<br>WEST PALM BEACH, FL 33407 | N/A | EXEMPT | SEE STATEMENT 6<br>ATTACHED | 2,500. |
| CITY ACADEMY<br>4175 NORTH KINGSHIGHWAY BLVD<br>ST. LOUIS, MO 63115 | N/A | EXEMPT | SEE STATEMENT 6<br>ATTACHED | 1,500. |
| DUKE UNIVERSITY<br>PO BOX 90581<br>DURHAM, NC 27708 | N/A | EXEMPT | SEE STATEMENT 6<br>ATTACHED | 224,000. |
| Total SEE CONTINUATION SHEET(S) | | | ▶ 3a | 262,950. |
| *b Approved for future payment* | | | | |
| NONE | | | | |
| Total | | | ▶ 3b | 0. |

## Part XVI-A Analysis of Income-Producing Activities

| Enter gross amounts unless otherwise indicated. | Unrelated business income | | Excluded by section 512, 513, or 514 | | (e) Related or exempt function income |
|---|---|---|---|---|---|
| | (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 | 66. | |
| 4 Dividends and interest from securities | | | 14 | 40,163. | |
| 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 | | | 18 | 1,206. | |
| 8 Gain or (loss) from sales of assets other than inventory | | | 18 | 185,192. | |
| 9 Net income or (loss) from special events | | | | | |
| 10 Gross profit or (loss) from sales of inventory | | | | | |
| 11 Other revenue: | | | | | |
| a | | | | | |
| b | | | | | |
| c | | | | | |
| d | | | | | |
| e | | | | | |
| 12 Subtotal. Add columns (b), (d), and (e) | | 0. | | 226,627. | 0. |

13 **Total** Add line 12, columns (b), (d), and (e) 13 226,627.

(See worksheet in line 13 instructions to verify calculations.)

## Part XVI-B Relationship of Activities to the Accomplishment of Exempt Purposes

| Line No ▼ | Explain below how each activity for which income is reported in column (e) of Part XVI-A contributed importantly to the accomplishment of the foundation's exempt purposes (other than by providing funds for such purposes). |
|---|---|
| | SEE STATEMENT ATTACHED 6 |

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

| | | | Yes | No |
|---|---|---|---|---|
| 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? | | | |
| a | Transfers from the reporting foundation to a noncharitable exempt organization of: | | | |
| | (1) Cash | 1a(1) | | X |
| | (2) Other assets | 1a(2) | | X |
| b | Other transactions: | | | |
| | (1) Sales of assets to a noncharitable exempt organization | 1b(1) | | X |
| | (2) Purchases of assets from a noncharitable exempt organization | 1b(2) | | X |
| | (3) Rental of facilities, equipment, or other assets | 1b(3) | | X |
| | (4) Reimbursement arrangements | 1b(4) | | X |
| | (5) Loans or loan guarantees | 1b(5) | | X |
| | (6) Performance of services or membership or fundraising solicitations | 1b(6) | | X |
| c | Sharing of facilities, equipment, mailing lists, other assets, or paid employees | 1c | | X |

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

| (a) Line no | (b) Amount involved | (c) Name of noncharitable exempt organization | (d) Description of transfers, transactions, and sharing arrangements |
|---|---|---|---|
| | | N/A | |

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

b If "Yes," complete the following schedule.

| (a) Name of organization | (b) Type of organization | (c) Description of relationship |
|---|---|---|
| N/A | | |

**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) is based on all information of which preparer has any knowledge

Signature of officer or trustee | Date 2/12/14 | Title TRUSTEE

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 |
|---|---|---|---|---|
| MICHAEL J. ROMEO | | 02/07/14 | | P00482624 |
| Firm's name ▶ RAICH ENDE MALTER & CO., LLP | | | Firm's EIN ▶ 11-2336434 | |
| Firm's address ▶ 475 PARK AVENUE SOUTH 31ST FL NEW YORK, NY 10016 | | | Phone no. 212-695-7003 | |

C. STEVEN DUNCKER FOUNDATION — CONTINUATION FOR 990-PF, PART IV
C/O RAICH ENDE MALTER & CO. LLP — 13-3932635 — PAGE 1 OF 1

**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 | 500 SHS - DIRECTV | P | 09/29/09 | 03/26/13 |
| b | 600 SHS - DEVON ENERGY CORP | P | 12/01/05 | 03/26/13 |
| c | 66 SHS - ENGILITY HOLDINGS INC | P | 02/04/03 | 01/30/13 |
| d | 1,300 SHS - FUEL TECH INC | P | 07/30/07 | 01/30/13 |
| e | 1,100 SHS - HARRIS CORP | P | 09/15/06 | 03/26/13 |
| f | 400 SHS - L-3 COMMUNICATIONS HOLDINGS INC | P | 02/04/03 | 03/26/13 |
| g | 150 SHS - MASTERCARD INC | P | 05/31/06 | 01/30/13 |
| h | 150 SHS - MASTERCARD INC | P | 05/31/06 | 03/26/13 |
| i | 0.5 SHS - MALLINCKRODT PUBLIC LTD CO | P | 06/24/08 | 07/01/13 |
| j | 600 SHS - SIGMA-ALDRICH CORP | P | 11/02/05 | 03/26/13 |
| k | 600 SHS - SIGMA-ALDRICH CORP | P | 11/02/05 | 04/11/13 |
| l | 375 SHS - ST JUDE MEDICAL INC | P | 04/28/10 | 10/18/12 |
| m | 375 SHS - ST JUDE MEDICAL INC | P | 12/09/11 | 10/18/12 |
| n | 3,000 SHS - WINDSTREAM CORP | P | 07/18/06 | 02/20/13 |
| o | | | | |

| | (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 | 28,053. | | 13,711. | 14,342. |
| b | 34,212. | | 36,548. | <2,336.> |
| c | 1,269. | | 684. | 585. |
| d | 5,616. | | 36,114. | <30,498.> |
| e | 49,291. | | 48,775. | 516. |
| f | 31,972. | | 16,492. | 15,480. |
| g | 77,248. | | 6,762. | 70,486. |
| h | 79,408. | | 6,762. | 72,646. |
| i | 23. | | | 23. |
| j | 45,821. | | 19,523. | 26,298. |
| k | 45,701. | | 19,523. | 26,178. |
| l | 14,959. | | 15,302. | <343.> |
| m | 14,959. | | 13,143. | 1,816. |
| n | 25,545. | | 35,546. | <10,001.> |
| o | | | | |

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) Losses (from col (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|---|---|---|---|
| a | | | | 14,342. |
| b | | | | <2,336.> |
| c | | | | 585. |
| d | | | | <30,498.> |
| e | | | | 516. |
| f | | | | 15,480. |
| g | | | | 70,486. |
| h | | | | 72,646. |
| i | | | | 23. |
| j | | | | 26,298. |
| k | | | | 26,178. |
| l | | | | <343.> |
| m | | | | 1,816. |
| n | | | | <10,001.> |
| o | | | | |

| | | | |
|---|---|---|---|
| 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 | 185,192. |
| 3 | Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter "-0-" in Part I, line 8 | 3 | N/A |

223591
05-01-12

C. STEVEN DUNCKER FOUNDATION
C/O RAICH ENDE MALTER & CO. LLP 13-3932635

**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 |
|---|---|---|---|---|
| EMILY KRZYZEWSKI LIFE CENTER 904 WEST CHAPEL HILL STREET DURHAM, NC 27701 | N/A | EXEMPT | SEE STATEMENT 6 ATTACHED | 7,700. |
| GRAYSON JOCKEY CLUB FOUNDATION 40 EAST 52ND STREET NEW YORK, NY 10022 | N/A | EXEMPT | SEE STATEMENT 6 ATTACHED | 3,000. |
| JOHN BURROUGHS SCHOOL 755 SOUTH PRICE ROAD ST. LOUIS, MO 63124 | N/A | EXEMPT | SEE STATEMENT 6 ATTACHED | 5,000. |
| SOUTH FLORIDA SCIENCE MUSEUM 4801 DREHER TRAIL NORTH WEST PALM BEACH, FL 33405 | N/A | EXEMPT | SEE STATEMENT 6 ATTACHED | 5,500. |
| BABY HEALTH SERVICES 1590 HARRODSBURG ROAD LEXINGTON, KY 40504 | N/A | EXEMPT | SEE STATEMENT 6 ATTACHED | 250. |
| PALM BEACH PUBLIC PTA PO BOX 881157 BOCA RATON, FL 33488-1157 | N/A | EXEMPT | SEE STATEMENT 6 ATTACHED | 500. |
| PALM BEACH PUBLIC SCHOOL 239 COCOANUT ROW PALM BEACH, FL 33480 | N/A | EXEMPT | SEE STATEMENT 6 ATTACHED | 5,000. |
| ROSARIAN ACADEMY 807 N FLAGLER DRIVE WEST PALM BEACH, FL 33401 | N/A | EXEMPT | SEE STATEMENT 6 ATTACHED | 6,000. |
| | | | | |
| | | | | |
| **Total from continuation sheets** | | | | 32,950. |

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

| SOURCE | AMOUNT |
|---|---|
| GOLDMAN SACHS | 66. |
| TOTAL TO FORM 990-PF, PART I, LINE 3, COLUMN A | 66. |

## FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 2

| SOURCE | GROSS AMOUNT | CAPITAL GAINS DIVIDENDS | COLUMN (A) AMOUNT |
|---|---|---|---|
| GOLDMAN SACHS | 40,163. | 0. | 40,163. |
| TOTAL TO FM 990-PF, PART I, LN 4 | 40,163. | 0. | 40,163. |

## FORM 990-PF OTHER INCOME STATEMENT 3

| DESCRIPTION | (A) REVENUE PER BOOKS | (B) NET INVEST-MENT INCOME | (C) ADJUSTED NET INCOME |
|---|---|---|---|
| GOLDMAN SACHS CASH IN LIEU | 825. | 825. | |
| SECURITIES LITIGATION SETTLEMENT | 381. | 381. | |
| TOTAL TO FORM 990-PF, PART I, LINE 11 | 1,206. | 1,206. | |

## FORM 990-PF TAXES STATEMENT 4

| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST-MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|---|---|---|---|---|
| FOREIGN TAXES THRU GOLDMAN SACHS | 181. | 181. | | 0. |
| TO FORM 990-PF, PG 1, LN 18 | 181. | 181. | | 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 ADVISORY FEES | 13,576. | 13,576. | | 0. |
| FILING FEE | 250. | 0. | | 250. |
| TO FORM 990-PF, PG 1, LN 23 | 13,826. | 13,576. | | 250. |

FOOTNOTES STATEMENT 6

SUPPLEMENTARY STATEMENT

PART: XV LINE: 2 SUPPLEMENTARY INFORMATION

THE ORGANIZATION'S PRIMARY ACTIVITY IS TO SUPPORT BY CONTRIBUTIONS, OTHER ORGANIZATIONS QUALIFING FOR EXEMPTION UNDER SECTION 501(C)(3) OF THE INTERNAL REVENUE CODE TRUSTEES CHOOSE THESE ORGANIZATIONS BASED UPON THEIR KNOWLEDGE OF THE ORGANIZATIONS' ACTIVITIES. NO CONTRIBUTIONS, GRANTS, GIFTS, LOANS ETC. ARE MADE TO INDIVIDUALS. THE ORGANIZATION DOES NOT PRESENTLY RECEIVE APPLICATIONS OR CONDUCT PROGRAMS FOR DONATIONS IN ITS ACTIVITIES.

SUPPLEMENTARY STATEMENT

FORM CHAR 003: SUPPLEMENTARY INFORMATION

PUBLIC INSPECTION

DATE THE NOTICE OF AVAILABILITY OF THE ANNUAL RETURN
APPEARED IN A NEWSPAPER: OCTOBER 24, 2013
NAME OF NEWSPAPER: NEW YORK LAW JOURNAL
A COPY OF THE NEWSPAPER NOTICE IS ATTACHED.

**STATE OF NEW YORK**
***County of New York,*** *s:*

THE ANNUAL RETURN OF THE C. STEVEN DUNCKER FOUNDATION for the fiscal year ended July 31, 2013 is available at its principal office located at Raich Ende Malter & Co. LLP, 475 Park Avenue South, 31st Floor, New York, NY 10016 (212) 695-7003 for inspection during business hours by any citizen who requests it within 180 days hereof. Principal Manager of the Foundation is C. STEVEN DUNCKER.
2174181 o24

Mary Pawlina, being duly sworn, says that she is the PRINCIPAL CLERK of the Publisher of the **NEW YORK LAW JOURNAL**, a Daily Newspaper; that the Advertisement hereto annexed has been published in the said **NEW YORK LAW JOURNAL** *one time* on the 24th day of October, *2013.*

TO WIT : OCTOBER 24, 2013

SWORN BEFORE ME, this *24th* day
Of October, 2013.

Cynthia Byrd

**Cynthia Byrd**
**Notary Public, State of New York**
**No. 01BY6056945**
**Qualified in Kings County**
**Commission Expires April 09, 2015**

FORM 990-PF CORPORATE STOCK STATEMENT 7

| DESCRIPTION | BOOK VALUE | FAIR MARKET VALUE |
|---|---|---|
| SEE STATEMENT A ATTACHED | 1,504,179. | 2,746,178. |
| TOTAL TO FORM 990-PF, PART II, LINE 10B | 1,504,179. | 2,746,178. |

FORM 990-PF GRANT APPLICATION SUBMISSION INFORMATION STATEMENT 8
PART XV, LINES 2A THROUGH 2D

NAME AND ADDRESS OF PERSON TO WHOM APPLICATIONS SHOULD BE SUBMITTED

SEE STATEMENT ATTACHED 6

FORM AND CONTENT OF APPLICATIONS

SEE STATEMENT ATTACHED 6

ANY SUBMISSION DEADLINES

SEE STATEMENT ATTACHED 6
SEE STATEMENT ATTACHED 6

RESTRICTIONS AND LIMITATIONS ON AWARDS

SEE STATEMENT ATTACHED 6

**STATE OF NEW YORK**
***County of New York,*** *s:*

THE ANNUAL RETURN OF THE C STEVEN DUNCKER FOUNDATION for the fiscal year ended July 31, 2013 is available at its principal office, located at Raich Ende Malter & Co LLP, 475 Park Avenue South, 31st Floor, New York, NY 10016 (212) 695-7003 for inspection during business hours by any citizen who requests it within 180 days hereof. Principal Manager of the Foundation is C STEVEN DUNCKER.
2174181 024

Mary Pawlina, being duly sworn, says that she is the PRINCIPAL CLERK of the Publisher of the **NEW YORK LAW JOURNAL**, a Daily Newspaper; that the Advertisement hereto annexed has been published in the said **NEW YORK LAW JOURNAL** *one time* on the 24th day of October, *2013*.

TO WIT : OCTOBER 24, 2013

SWORN BEFORE ME, this *24th* day
Of October, 2013.

Cynthia Byrd

**Cynthia Byrd**
**Notary Public, State of New York**
**No. 01BY6056945**
**Qualified in Kings County**
**Commission Expires April 09, 2015**

Form **8868**
(Rev. January 2013)
Department of the Treasury
Internal Revenue Service

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

▶ File a separate application for each return.

OMB No. 1545-1709

- If you are filing for an Automatic 3-Month Extension, complete only Part I and check this box ▶ [X]
- 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<br>File by the due date for filing your return. See instructions. | Name of exempt organization or other filer, see instructions.<br>C. STEVEN DUNCKER FOUNDATION<br>C/O RAICH ENDE MALTER & CO. LLP | Employer identification number (EIN) or<br>13-3932635 |
| | Number, street, and room or suite no. If a P.O. box, see instructions.<br>475 PARK AVENUE SOUTH, 31ST FL | Social security number (SSN) |
| | City, town or post office, state, and ZIP code. For a foreign address, see instructions.<br>NEW YORK, NY 10016 | |

Enter the Return code for the return that this application is for (file a separate application for each return) 0 4

| 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 |

- The books are in the care of ▶ RAICH ENDE MALTER & CO. LLP
475 PARK AVE SOUTH, 31ST FL - NEW YORK, NY 10016
Telephone No. ▶ 212-695-7003 FAX No. ▶ 212-695-3031
- 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 MARCH 15, 2014 , to file the exempt organization return for the organization named above. The extension is for the organization's return for:
▶ [ ] calendar year ______ or
▶ [X] tax year beginning AUG 1, 2012 , and ending JUL 31, 2013 .

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 | $ 4,280. |
| 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 | $ 1,055. |
| 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 | $ 3,225. |

**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)

223841
01-21-13

Form **8868** (Rev January 2013) Department of the Treasury Internal Revenue Service

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OMB No 1545-1709

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| | | |
|---|---|---|
| **Type or print** | Name of exempt organization or other filer, see instructions<br>C. STEVEN DUNCKER FOUNDATION<br>C/O RAICH ENDE MALTER & CO. LLP | Employer identification number (EIN) or<br>13-3932635 |
| File by the due date for filing your return See instructions | Number, street, and room or suite no If a P O box, see instructions<br>475 PARK AVENUE SOUTH, 31ST FL | Social security number (SSN) |
| | City, town or post office, state, and ZIP code For a foreign address, see instructions<br>NEW YORK, NY 10016 | |

Enter the Return code for the return that this application is for (file a separate application for each return) 0 4

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|---|---|---|---|
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  Telephone No ▶ 212-695-7003 FAX No ▶ 212-695-3031
- 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

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▶ [ ] calendar year ____ or

▶ [X] tax year beginning AUG 1, 2012 , and ending JUL 31, 2013

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| | | | |
|---|---|---|---|
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223841 01-21-13

## CASH, DEPOSITS & MONEY MARKET FUNDS

| | Quantity | Market Price | Market Value / Accrued Income | Unit Cost | Adjusted Cost / Original Cost | Unrealized Gain (Loss) | Yield to Maturity / Current Yield | Estimated Annual Income |
|---|---|---|---|---|---|---|---|---|
| **CASH** | | | | | | | | |
| U S DOLLAR | 331 50 | 1 0000 | 331 50 | | 331 50 | | | |
| **DEPOSITS & MONEY MARKET FUNDS** | | | | | | | | |
| DEPOSITS | | | | | | | | |
| GOLDMAN SACHS BANK DEPOSIT (BDA)[14] | 121,734 69 | 1.0000 | 121,734 69 | 1 0000 | 121,734 69 | 0 00 | 0 0615 | 74 89 |
| **TOTAL CASH, DEPOSITS & MONEY MARKET FUNDS** | | | **122,066.19** | | **122,066.19** | | | **74.89** |

## FIXED INCOME

| | Quantity / Current Face | Market Price | Market Value / Accrued Income | Unit Cost | Adjusted Cost / Original Cost | Unrealized Gain (Loss) | Yield to Maturity in Percentage | Estimated Annual Income |
|---|---|---|---|---|---|---|---|---|
| **OTHER FIXED INCOME** | | | | | | | | |
| PREFERRED FIXED INCOME SECURITIES | | | | | | | | |
| (GS) GOLDMAN SACHS GROUP, INC PFD USD1 5500(6 20%) SERIES B DEP SHS REPR 1/1000 PFD SER B S&P BB+ /Moody's Ba2 | 2,000 00 | 24 9800 | 49,960 00<br>775 00 | 24 9900 | 49,980 00 | (20 00) | | 3,100 00 |

## PUBLIC EQUITY

| | Quantity | Market Price | Market Value / Accrued Income | Unit Cost | Cost Basis | Unrealized Gain (Loss) | Dividend Yield | Estimated Annual Income |
|---|---|---|---|---|---|---|---|---|
| **US EQUITY** | | | | | | | | |
| US STOCKS | | | | | | | | |
| ALLERGAN INC CMN (AGN) | 1,000 00 | 91 1200 | 91,120 00 | 54 3868 | 54,386 80 | 36,733 20 | 0.2195 | 200 00 |
| AMETEK INC (NEW) CMN (AME) | 2,400 00 | 46 2800 | 111,072 00 | 17 7435 | 42,584 43 | 68,487 57 | 0 5186 | 576 00 |
| AMPHENOL CORP CL-A (NEW) CMN CLASS A (APH) | 700 00 | 78 5600 | 54,992 00 | 33 2921 | 23,304 47 | 31,687 53 | 1 0183 | 560 00 |
| APOLLO INVESTMENT CORPORATION MUTUAL FUND (AINV) | 3,400.000 | 8 1300 | 27,642.00 | 22 1482 | 75,303 88 | (47,661 88) | 9 8401 | 2,720 00 |
| BARD C R INC N J CMN (BCR) | 500 00 | 114 6000 | 57,300 00<br>105 00 | 79 2291 | 39,614 55 | 17,685 45 | 0 7330 | 420 00 |
| CISCO SYSTEMS, INC CMN (CSCO) | 1,200 00 | 25 5900 | 30,708 00 | 20 6900 | 24,828 00 | 5,880 00 | 2 6573 | 816.00 |

[14] This represents a bank deposit of an affiliated bank reflected here for your convenience and is not cash held in your brokerage or custody account Please see the enclosed Bank Statement page(s) for specific information related to your bank deposit

Not a Deposit Not FDIC Insured May Lose Value (Excluding Goldman Sachs Bank Deposit Account and Certificates of Deposit)
Brokerage and securities services provided by Goldman, Sachs & Co Bank Deposit Account and Certificate of Deposit Account offered by Goldman Sachs Bank USA, Member FDIC



STATEMENT A

# DUNCKER C STEVEN FOUNDATION

Holdings (Continued)

Period Ended July 31, 2013

## PUBLIC EQUITY (Continued)

| | Quantity | Market Price | Market Value / Accrued Income | Unit Cost | Cost Basis | Unrealized Gain (Loss) | Dividend Yield | Estimated Annual Income |
|---|---|---|---|---|---|---|---|---|
| **US EQUITY** | | | | | | | | |
| US STOCKS | | | | | | | | |
| CME GROUP INC CMN CLASS A (CME) | 500 00 | 74 0620 | 37,031 00 | 15 2480 | 7,624 02 | 29,406.98 | 2 4304 | 900 00 |
| DANAHER CORPORATION CMN (DHR) | 2,000.00 | 67 3400 | 134,680.00 | 17 4075 | 34,815.00 | 99,865.00 | 0.1485 | 200.00 |
| DARDEN RESTAURANTS INC CMN (DRI) | 500 00 | 49 0500 | 24,525 00<br>275 00 | 43 6040 | 21,802.00 | 2,723.00 | 4 4852 | 1,100 00 |
| DIRECTV CMN (DTV) | 1,000 00 | 63 2800 | 63,280 00 | 27 4227 | 27,422 70 | 35,857 30 | | |
| ECOLAB INC CMN (ECL) | 700 00 | 92 1400 | 64,498 00 | 43 5643 | 30,495 01 | 34,002 99 | 0.9985 | 644 00 |
| EXXON MOBIL CORPORATION CMN (XOM) | 1,064 00 | 93.7500 | 99,750 00 | 28.4986 | 30,322 53 | 69,427 47 | 2 6880 | 2,681 28 |
| FASTENAL CO CMN (FAST) | 1,200 00 | 49 0300 | 58,836 00<br>300 00 | 21 6802 | 26,016 18 | 32,819 82 | 2 0396 | 1,200 00 |
| FISERV INC CMN (FISV) | 800 00 | 96 2400 | 76,992 00 | 51 5150 | 41,212 00 | 35,780 00 | | |
| FMC CORPORATION CMN (FMC) | 1,200 00 | 66 1600 | 79,392 00 | 16 9500 | 20,340 00 | 59,052 00 | 0 8162 | 648 00 |
| GOLDMAN SACHS GROUP, INC.(THE) CMN (GS) | 840 00 | 164 0300 | 137,785 20 | 10 3870 | 8,725 10 | 129,060 10 | 1.2193 | 1,680 00 |
| HENRY SCHEIN INC COMMON STOCK (HSIC) | 900 00 | 103 8300 | 93,447 00 | 29 1900 | 26,271 00 | 67,176 00 | | |
| IDEX CORPORATION COMMON STOCK (IEX) | 750 00 | 59 6500 | 44,737 50 | 33 9160 | 25,437 00 | 19,300 50 | 1 5423 | 690 00 |
| ILLINOIS TOOL WORKS CMN (ITW) | 1,000 00 | 72 0400 | 72,040 00 | 40 7300 | 40,730 00 | 31,310.00 | 2 3320 | 1,680 00 |
| KINDER MORGAN INC CMN CLASS P (KMI) | 1,000 00 | 37 7600 | 37,760 00<br>400 00 | 37 6300 | 37,630 00 | 130 00 | 4 2373 | 1,600 00 |
| MASTERCARD INCORPORATED CMN CLASS A (MA) | 300 00 | 610 6100 | 183,183 00<br>180 00 | 45 0800 | 13,524 00 | 169,659 00 | 0 3930 | 720 00 |
| NATIONAL OILWELL VARCO, INC COMMON STOCK CMN (NOV) | 800 00 | 70 1700 | 56,136 00 | 71 7313 | 57,385 00 | (1,249 00) | 1 4821 | 832 00 |
| NUCOR CORPORATION CMN (NUE) | 500 00 | 46 7800 | 23,390 00<br>183 75 | 43 5164 | 21,758 19 | 1,631 81 | 3 1424 | 735 00 |
| ORACLE CORPORATION CMN (ORCL) | 1,900 00 | 32 3500 | 61,465 00<br>228 00 | 22 7200 | 43,168 00 | 18,297 00 | 1 4838 | 912 00 |
| PARKER-HANNIFIN CORP CMN (PH) | 600 00 | 103 2800 | 61,968 00 | 47 9917 | 28,795 00 | 33,173 00 | 1 7428 | 1,080 00 |
| PEABODY ENERGY CORPORATION CMN (BTU) | 1,000 00 | 16 5600 | 16,560 00 | 36 9922 | 36,992 22 | (20,432 22) | 2 0531 | 340 00 |
| PEPSICO INC CMN (PEP) | 800 00 | 83 5400 | 66,832 00 | 33 6250 | 26,900.00 | 39,932 00 | 2.7173 | 1,816 00 |
| PIONEER NATURAL RESOURCES CO CMN (PXD) | 1,100 00 | 154 7600 | 170,236 00 | 41 4600 | 45,606 00 | 124,630 00 | 0 0517 | 88 00 |
| PROGENICS PHARMACEUTICALS INC CMN (PGNX) | 6,500 00 | 5 9900 | 38,935 00 | 30 1481 | 195,962 50 | (157,027 50) | | |

STATEMENT A

# DUNCKER C STEVEN FOUNDATION

## Holdings (Continued)

Period Ended July 31, 2013

### PUBLIC EQUITY (Continued)

| | Quantity | Market Price | Market Value / Accrued Income | Unit Cost | Cost Basis | Unrealized Gain (Loss) | Dividend Yield | Estimated Annual Income |
|---|---|---|---|---|---|---|---|---|
| **US EQUITY** | | | | | | | | |
| US STOCKS | | | | | | | | |
| QUALCOMM INC CMN (QCOM) | 400 00 | 64 5620 | 25,824 80 | 38 6450 | 15,458 00 | 10,366.80 | 2 1685 | 560 00 |
| STRYKER CORP CMN (SYK) | 600 00 | 70 4600 | 42,276 00 | 47.6900 | 28,614 00 | 13,662 00 | 1 5044 | 636 00 |
| THERMO FISHER SCIENTIFIC INC CMN (TMO) | 2,000 00 | 91 1100 | 182,220.00 | 30 3855 | 60,771 00 | 121,449 00 | 0 6585 | 1,200 00 |
| VF CORP CMN (VFC) | 400.00 | 197 0000 | 78,800 00 | 59 7175 | 23,887.00 | 54,913 00 | 1 7665 | 1,392 00 |
| WESCO INTERNATIONAL INC. CMN (WCC) | 1,000 00 | 75 7800 | 75,780 00 | 45 1994 | 45,199 42 | 30,580 58 | | |
| WESTERN UNION COMPANY (THE) CMN (WU) | 2,300 00 | 17 9600 | 41,308 00 | 19 8670 | 45,694 10 | (4,386 10) | 2 7840 | 1,150 00 |
| TOTAL US STOCKS | | | $\boxed{2,522,501 50}$ | | 1,328,579.10 | 1,193,922 40 | 1 3696 | 29,776 28 |
| | | | 1,671 75 | | | | | |
| **NON-US EQUITY** | | | | | | | | |
| NON-US STOCKS | | | | | | | | |
| BHP BILLITON LIMITED SPONSORED ADR CMN (BHP) | 1,000 00 | 62 7300 | 62,730 00 | 33.1500 | 33,150 00 | 29,580 00 | 3 6346 | 2,280 00 |
| COVIDIEN PUBLIC LIMITED COMPAN CMN (COV) | 900 00 | 61 6300 | 55,467 00 | 42 3607 | 38,124 61 | 17,342 39 | | |
| | | | 187 20 | | | | | |
| MALLINCKRODT PUBLIC LIMITED CO CMN (MNK) | 112 00 | 45 8900 | 5,139 68 | 32 6107 | 3,652 40 | 1,487 28 | | |
| TOTAL NON-US STOCKS | | | $\boxed{123,336 68}$ | | 74,927 01 | 48,409 67 | 3 6346 | 2,280 00 |
| | | | 187 20 | | | | | |
| **OTHER EQUITY** | | | | | | | | |
| PREFERRED SECURITIES | | | | | | | | |
| METLIFE, INC PERPETUAL PFD 6.5000 SERIES B CALLABLE 9/15/10 @ 100 (METPRB) | 2,000 00 | 25 1900 | $\boxed{50,380 00}$ | 25 3500 | 50,700 00 | (320 00) | 6 4510 | 3,250 00 |
| **TOTAL PUBLIC EQUITY** | | | **2,696,218.18** | | **1,454,206.11** | **1,242,012.07** | **1.5437** | **35,306.28** |
| | | | **1,858.95** | | | | | |

| | Market Value | Adjusted Cost / [6] Original Cost | Unrealized Gain (Loss) | Estimated Annual Income |
|---|---|---|---|---|
| **TOTAL PORTFOLIO** | **2,870,878.32** | **1,626,252.30** | **1,241,992.07** | **38,481.17** |

49,960.00 +
2,522,501.50 +
123,336.68 +
50,380.00 =
2,746,178.18 *

[6] Original Cost is price paid by purchaser adjusted for annual original issue disc[illegible] if applicable Adjusted Cost reflects adjustments to Original Cost for market discount accretion and/or premium amortization Adjusted cost for GMS Portfolios and Alternative Investments ar[illegible] [illegible]us inception to date distributions



STATEMENT A