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** 09/01 **, 2012, and ending** 08/31 **, 20**13

Name of foundation: OPPENHEIM FAMILY FUND, INC.
C/O JAMES FERRARA, ANCHIN, BLOCK & ANCHIN LLP

Number and street (or P O box number if mail is not delivered to street address): 1375 BROADWAY
Room/suite:

City or town, state, and ZIP code: NEW YORK, NY 10018

**A** Employer identification number: 13-6158857

**B** Telephone number (see instructions): (212) 536-6825

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

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

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

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

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

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

**I** Fair market value of all assets at end of year *(from Part II, col (c), line 16)* ▶ $ 13,375,897.

**J** Accounting method: [X] Cash ☐ Accrual ☐ Other (specify) ________
*(Part I, column (d) must be on cash basis.)*

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

| | | (a) Revenue and expenses per books | (b) Net investment income | (c) Adjusted net income | (d) Disbursements for charitable purposes (cash basis only) |
|---|---|---|---|---|---|
| Revenue | 1 Contributions, gifts, grants, etc , received (attach schedule) | | | | |
| | 2 Check ▶ ☐ if the foundation is not required to attach Sch B | | | | |
| | 3 Interest on savings and temporary cash investments | 52. | 52. | | ATCH 1 |
| | 4 Dividends and interest from securities | 155,030. | 155,030. | | ATCH 2 |
| | 5a Gross rents | | | | |
| | b Net rental income or (loss) | | | | |
| | 6a Net gain or (loss) from sale of assets not on line 10 | 917,868. | | | |
| | b Gross sales price for all assets on line 6a 2,335,016. | | | | |
| | 7 Capital gain net income (from Part IV, line 2) | | 917,868. | | |
| | 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) (attach schedule) | | | | |
| | 11 Other income (attach schedule) | | | | |
| | 12 **Total.** Add lines 1 through 11 | 1,072,950. | 1,072,950. | | |
| Operating and Administrative Expenses | 13 Compensation of officers, directors, trustees, etc | 0 | | | |
| | 14 Other employee salaries and wages | | | | |
| | 15 Pension plans, employee benefits | | | | |
| | 16a Legal fees (attach schedule) | | | | |
| | b Accounting fees (attach schedule) ATCH 3 | 7,500. | 3,750. | | 3,750. |
| | c Other professional fees (attach schedule) * | 66,719. | 66,719. | | |
| | 17 Interest | | | | |
| | 18 Taxes (attach schedule) (see instructions) ATCH 5 | 37,048. | 4,763. | | |
| | 19 Depreciation (attach schedule) and depletion | | | | |
| | 20 Occupancy | | | | |
| | 21 Travel, conferences, and meetings | | | | |
| | 22 Printing and publications | | | | |
| | 23 Other expenses (attach schedule) ATCH 6 | 27,156. | 26,406. | | 750. |
| | 24 **Total operating and administrative expenses.** Add lines 13 through 23 | 138,423. | 101,638. | | 4,500. |
| | 25 Contributions, gifts, grants paid | 547,018. | | | 547,018. |
| | 26 Total expenses and disbursements Add lines 24 and 25 | 685,441. | 101,638. | 0 | 551,518. |
| | 27 Subtract line 26 from line 12 | | | | |
| | a Excess of revenue over expenses and disbursements | 387,509. | | | |
| | b **Net investment income** (if negative, enter -0-) | | 971,312. | | |
| | c **Adjusted net income** (if negative, enter -0-) | | | | |

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## Part II Balance Sheets

| | Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions ) | Beginning of year (a) Book Value | End of year (b) Book Value | (c) Fair Market Value |
|---|---|---|---|---|
| Assets | 1 Cash - non-interest-bearing | | | |
| | 2 Savings and temporary cash investments | 188,314. | 240,594. | 240,594. |
| | 3 Accounts receivable ▶ | | | |
| | Less allowance for doubtful accounts ▶ | | | |
| | 4 Pledges receivable ▶ | | | |
| | Less allowance for doubtful accounts ▶ | | | |
| | 5 Grants receivable | | | |
| | 6 Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions) | | | |
| | 7 Other notes and loans receivable (attach schedule) ▶ | | | |
| | Less allowance for doubtful accounts ▶ | | | |
| | 8 Inventories for sale or use | | | |
| | 9 Prepaid expenses and deferred charges | | | |
| | 10 a Investments - U S and state government obligations (attach schedule) | | | |
| | b Investments - corporate stock (attach schedule) ATCH 7 | 7,035,764. | 7,059,176. | 9,708,940. |
| | c Investments - corporate bonds (attach schedule) | | | |
| | 11 Investments - land, buildings, and equipment basis ▶ | | | |
| | Less accumulated depreciation (attach schedule) ▶ | | | |
| | 12 Investments - mortgage loans | | | |
| | 13 Investments - other (attach schedule) ATCH 8 | 2,880,411. | 3,441,319. | 3,426,363. |
| | 14 Land, buildings, and equipment basis ▶ | | | |
| | Less accumulated depreciation (attach schedule) ▶ | | | |
| | 15 Other assets (describe ▶ ) | | | |
| | 16 Total assets (to be completed by all filers - see the instructions Also, see page 1, item I) | 10,104,489. | 10,741,089. | 13,375,897. |
| Liabilities | 17 Accounts payable and accrued expenses | | | |
| | 18 Grants payable | | | |
| | 19 Deferred revenue | | | |
| | 20 Loans from officers, directors, trustees, and other disqualified persons | | | |
| | 21 Mortgages and other notes payable (attach schedule) | | | |
| | 22 Other liabilities (describe ▶ ) | | | |
| | 23 Total liabilities (add lines 17 through 22) | 0 | 0 | |
| Net Assets or Fund Balances | Foundations that follow SFAS 117, check here ▶ ☐ 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 and complete lines 27 through 31. ▶ X | | | |
| | 27 Capital stock, trust principal, or current funds | | | |
| | 28 Paid-in or capital surplus, or land, bldg , and equipment fund | 238,487. | 238,487. | |
| | 29 Retained earnings, accumulated income, endowment, or other funds | 9,866,002. | 10,502,602. | |
| | 30 Total net assets or fund balances (see instructions) | 10,104,489. | 10,741,089. | |
| | 31 Total liabilities and net assets/fund balances (see instructions) | 10,104,489. | 10,741,089. | |

## 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 | 10,104,489. |
| 2 | Enter amount from Part I, line 27a | 2 | 387,509. |
| 3 | Other increases not included in line 2 (itemize) ▶ ATCH 9 | 3 | 249,091. |
| 4 | Add lines 1, 2, and 3 | 4 | 10,741,089. |
| 5 | Decreases not included in line 2 (itemize) ▶ | 5 | |
| 6 | Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30 | 6 | 10,741,089. |

## 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 | SEE PART IV SCHEDULE | | | |
| b | | | | |
| c | | | | |
| d | | | | |
| e | | | | |

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

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

| | (i) 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 | | | | |

| | | | |
|---|---|---|---|
| 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 | 917,868. |
| 3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c) (see instructions). If (loss), enter -0- in Part I, line 8 | | 3 | 0 |

## 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 | 579,380. | 11,685,117. | 0.049583 |
| 2010 | 486,440. | 11,816,506. | 0.041166 |
| 2009 | 468,708. | 10,033,486. | 0.046714 |
| 2008 | 709,876. | 9,030,192. | 0.078611 |
| 2007 | 642,539. | 14,308,627. | 0.044906 |

| | | |
|---|---|---|
| 2 **Total** of line 1, column (d) | 2 | 0.260980 |
| 3 Average distribution ratio for the 5-year base period - divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years | 3 | 0.052196 |
| 4 Enter the net value of noncharitable-use assets for 2012 from Part X, line 5 | 4 | 12,980,094. |
| 5 Multiply line 4 by line 3 | 5 | 677,509. |
| 6 Enter 1% of net investment income (1% of Part I, line 27b) | 6 | 9,713. |
| 7 Add lines 5 and 6 | 7 | 687,222. |
| 8 Enter qualifying distributions from Part XII, line 4 | 8 | 551,518. |

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<br>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 ▶ ☐ and enter 1% of Part I, line 27b | 1 | 19,426. |
| 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 | |
| 3 | Add lines 1 and 2 | 3 | 19,426. |
| 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 | 19,426. |
| 6 | Credits/Payments | | |
| a | 2012 estimated tax payments and 2011 overpayment credited to 2012 — 6a: 22,408. | | |
| 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 | 22,408. |
| 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 | 2,982. |
| 11 | Enter the amount of line 10 to be **Credited to 2013 estimated tax** ▶ 2,982. **Refunded** ▶ | 11 | |

## 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 the 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<br>**(1)** On the foundation ▶ $ ________ **(2)** On foundation managers ▶ $ ________ | | | |
| e | Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ▶ $ ________ | | | |
| 2 | Has the foundation engaged in any activities that have not previously been reported to the IRS?<br>*If "Yes," attach a detailed description of the activities* | 2 | | X |
| 3 | Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? *If "Yes," attach a conformed copy of the changes* | 3 | | X |
| 4a | Did the foundation have unrelated business gross income of $1,000 or more during the year? | 4a | | X |
| b | If "Yes," has it filed a tax return on **Form 990-T** for this year? | 4b | X | |
| 5 | Was there a liquidation, termination, dissolution, or substantial contraction during the year?<br>*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<br>• By language in the governing instrument, or<br>• 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) ▶<br>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 ▶ ANCHIN, BLOCK & ANCHIN LLP Telephone no ▶ 212-840-3456

Located at ▶ 1375 BROADWAY, NEW YORK, NY ZIP+4 ▶ 10018

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

| | | | 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 | | | |
| 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)? | 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 ▶ ____, ____, ____, ____ | | | |
| b | Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to **all** years listed, answer "No" and attach statement - see instructions ) | 2b | | |
| c | If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here ▶ ____, ____, ____, ____ | | | |
| 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 | | | |
| 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 )* | 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)*

| | | | Yes | No |
|---|---|---|---|---|
| **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)? (see instructions) ☐ Yes ☒ No | | | |
| | **(5)** Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? ☐ Yes ☒ No | | | |
| **b** | If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53 4945 or in a current notice regarding disaster assistance (see instructions)? | 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? ☐ 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? | 7b | | |

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

**1 List all officers, directors, trustees, foundation managers and their compensation (see instructions).**

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

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

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

**Total** number of other employees paid over $50,000 ▶

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

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

| (a) Name and address of each person paid more than $50,000 | (b) Type of service | (c) Compensation |
|---|---|---|
| ATCH 11 | | 66,719. |
| | | |
| | | |
| | | |
| | | |
| **Total** number of others receiving over $50,000 for professional services ▶ | | |

**Part IX-A** **Summary of Direct Charitable Activities**

| List the foundation's four largest direct charitable activities during the tax year Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc | Expenses |
|---|---|
| 1 NOT APPLICABLE | |
| 2 | |
| 3 | |
| 4 | |

**Part IX-B** **Summary of Program-Related Investments** (see instructions)

| Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2 | Amount |
|---|---|
| 1 NONE | |
| 2 | |
| All other program-related investments See instructions<br>3 NONE | |
| **Total.** Add lines 1 through 3 ▶ | |

**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 | 563,290. |
| b | Average of monthly cash balances | 1b | 9,494,586. |
| c | Fair market value of all other assets (see instructions) | 1c | 3,119,884. |
| d | **Total** (add lines 1a, b, and c) | 1d | 13,177,760. |
| e | Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) 1e | | |
| 2 | Acquisition indebtedness applicable to line 1 assets | 2 | |
| 3 | Subtract line 2 from line 1d | 3 | 13,177,760. |
| 4 | Cash deemed held for charitable activities. Enter 1 1/2 % of line 3 (for greater amount, see instructions) | 4 | 197,666. |
| 5 | **Net value of noncharitable-use assets.** Subtract line 4 from line 3. Enter here and on Part V, line 4 | 5 | 12,980,094. |
| 6 | **Minimum investment return.** Enter 5% of line 5 | 6 | 649,005. |

**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 | 649,005. |
| 2a | Tax on investment income for 2012 from Part VI, line 5 | 2a | 19,426. | | |
| b | Income tax for 2012. (This does not include the tax from Part VI ) | 2b | | | |
| c | Add lines 2a and 2b | | | 2c | 19,426. |
| 3 | Distributable amount before adjustments. Subtract line 2c from line 1 | | | 3 | 629,579. |
| 4 | Recoveries of amounts treated as qualifying distributions | | | 4 | |
| 5 | Add lines 3 and 4 | | | 5 | 629,579. |
| 6 | Deduction from distributable amount (see instructions) | | | 6 | |
| 7 | **Distributable amount** as adjusted Subtract line 6 from line 5. Enter here and on Part XIII, line 1 | | | 7 | 629,579. |

**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 | 551,518. |
| b | Program-related investments - total from Part IX-B | 1b | |
| 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 | 551,518. |
| 5 | Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b (see instructions) | 5 | 0 |
| 6 | **Adjusted qualifying distributions.** Subtract line 5 from line 4 | 6 | 551,518. |

**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 | | | | | 629,579. |
| 2 Undistributed income, if any, as of the end of 2012 | | | | | |
| a Enter amount for 2011 only | | | | 546,595. | |
| b Total for prior years 20 10 ,20 09 ,20 08 | | | | | |
| 3 Excess distributions carryover, if any, to 2012 | | | | | |
| a From 2007 | | | | | |
| b From 2008 | | | | | |
| c From 2009 | | | | | |
| d From 2010 | | | | | |
| e From 2011 | | | | | |
| f Total of lines 3a through e | | | | | |
| 4 Qualifying distributions for 2012 from Part XII, line 4 ▶ $ 551,518. | | | | | |
| a Applied to 2011, but not more than line 2a | | | | 546,595. | |
| b Applied to undistributed income of prior years (Election required - see instructions) | | | | | |
| c Treated as distributions out of corpus (Election required - see instructions) | | | | | |
| d Applied to 2012 distributable amount | | | | | 4,923. |
| e Remaining amount distributed out of corpus | | | | | |
| 5 Excess distributions carryover applied to 2012 (If an amount appears in column (d), the same amount must be shown in column (a).) | | | | | |
| 6 **Enter the net total of each column as indicated below:** | | | | | |
| a Corpus Add lines 3f, 4c, and 4e Subtract line 5 | | | | | |
| b Prior years' undistributed income Subtract line 4b from line 2b | | | | | |
| 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 | | | | | |
| d Subtract line 6c from line 6b Taxable amount - see instructions | | | | | |
| e Undistributed income for 2011 Subtract line 4a from line 2a Taxable amount - see instructions | | | | | |
| f Undistributed income for 2012 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2013 | | | | | 624,656. |
| 7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions) | | | | | |
| 8 Excess distributions carryover from 2007 not applied on line 5 or line 7 (see instructions) | | | | | |
| 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 XIV Private Operating Foundations** (see instructions and Part VII-A, question 9) NOT APPLICABLE

1a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2012, enter the date of the ruling . . . . . . . . . . . . . ▶

b Check box to indicate whether the 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 |
| 2a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed | | | | | |
| b 85% of line 2a | | | | | |
| c Qualifying distributions from Part XII, line 4 for each year listed | | | | | |
| d Amounts included in line 2c not used directly for active conduct of exempt activities | | | | | |
| e Qualifying distributions made directly for active conduct of exempt activities Subtract line 2d from line 2c | | | | | |
| 3 Complete 3a, b, or c for the alternative test relied upon<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) )

N/A

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

N/A

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

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* | | | | |
| SEE SCHEDULE 1 ATTACHED | | | GENERAL PURPOSE | 547,018. |
| **Total** . . . . . . . . . . ▶ **3a** | | | | 547,018. |
| **b** *Approved for future payment* | | | | |
| **Total** . . . . . . . . . . ▶ **3b** | | | | |

## 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 (See instructions.) |
|---|---|---|---|---|---|
| | (a) Business code | (b) Amount | (c) Exclusion code | (d) Amount | |
| 1 Program service revenue | | | | | |
| a | | | | | |
| b | | | | | |
| c | | | | | |
| d | | | | | |
| e | | | | | |
| f | | | | | |
| g Fees and contracts from government agencies | | | | | |
| 2 Membership dues and assessments | | | | | |
| 3 Interest on savings and temporary cash investments | | | 14 | 52. | |
| 4 Dividends and interest from securities | | | 14 | 155,030. | |
| 5 Net rental income or (loss) from real estate | | | | | |
| a Debt-financed property | | | | | |
| b Not debt-financed property | | | | | |
| 6 Net rental income or (loss) from personal property | | | | | |
| 7 Other investment income | | | | | |
| 8 Gain or (loss) from sales of assets other than inventory | | | 18 | 917,868. | |
| 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) | | | | 1,072,950. | |

13 Total. Add line 12, columns (b), (d), and (e) . . . 13 1,072,950.

(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 instructions.) |
|---|---|

## 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 | | 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 |
|---|---|---|
| | | |

**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] 12/11/13 ▶ Director

Signature of officer or trustee Date Title

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

**Paid Preparer Use Only**

| Print/Type preparer's name | Preparer's signature | Date | Check ☐ if self-employed | PTIN |
|---|---|---|---|---|
| JAMES FERRARA | [signature] | 12/10/13 | | P00288604 |
| Firm's name ▶ ANCHIN BLOCK & ANCHIN LLP | | | Firm's EIN ▶ 13-0436940 | |
| Firm's address ▶ 1375 BROADWAY NEW YORK, NY 10018-7001 | | | Phone no 212-840-3456 | |



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# FORM 990-PF - PART IV
# CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

| Kind of Property | | Description | | | | P or D | Date acquired | Date sold |
|---|---|---|---|---|---|---|---|---|
| Gross sale price less expenses of sale | Depreciation allowed/ allowable | Cost or other basis | FMV as of 12/31/69 | Adj basis as of 12/31/69 | Excess of FMV over adj basis | | Gain or (loss) | |
| | | TOTAL SHORT-TERM COMMON TRUST FUND AND PARTNERSHIP, S CORPORATION, AND OTHER ESTATES OR TRUST GAIN OR LOSS | | | | | -58,200. | |
| | | TOTAL LONG-TERM COMMON TRUST FUND AND PARTNERSHIP, S CORPORATION, AND OTHER ESTATES OR TRUST GAIN OR LOSS | | | | | 165,955. | |
| | | TOTAL CAPITAL GAIN DISTRIBUTIONS | | | | | 32,196. | |
| | | PUBLICLY TRADED SECURITIES<br>PROPERTY TYPE: SECURITIES | | | | P | VARIOUS | VARIOUS |
| 2,136,837. | | 1,358,948. | | | | | 777,889. | |
| | | SECURITIES SETTLEMENT PROCEEDS<br>PROPERTY TYPE: SECURITIES | | | | P | VARIOUS | VARIOUS |
| 28. | | | | | | | 28. | |
| TOTAL GAIN(LOSS) | | | | | | | 917,868. | |

FORM 990PF, PART I - INTEREST ON TEMPORARY CASH INVESTMENTS

| DESCRIPTION | | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME |
|---|---|---|---|
| MONEY MARKET | | 52. | 52. |
| | TOTAL | 52. | 52. |

ATTACHMENT 2

FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES

| DESCRIPTION | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME |
|---|---|---|
| OPPENHEIMER ACCOUNT | 141,327. | 141,327. |
| FROM PARTNERSHIP INVESTMENT | 13,703. | 13,703. |
| TOTAL | 155,030. | 155,030. |

ATTACHMENT 3

## FORM 990PF, PART I - ACCOUNTING FEES

| DESCRIPTION | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME | ADJUSTED NET INCOME | CHARITABLE PURPOSES |
|---|---|---|---|---|
| ACCOUNTING FEES | 7,500. | 3,750. | | 3,750. |
| TOTALS | 7,500. | 3,750. | | 3,750. |

ATTACHMENT 4

FORM 990PF, PART I - OTHER PROFESSIONAL FEES

| DESCRIPTION | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME |
|---|---|---|
| INVESTMENT ADVISORY FEES | 66,719. | 66,719. |
| TOTALS | 66,719. | 66,719. |

## FORM 990PF, PART I - TAXES

| DESCRIPTION | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME |
|---|---|---|
| FOREIGN WITHHOLDING TAXES | 4,763. | 4,763. |
| FEDERAL EXCISE TAXES | 32,285. | |
| TOTALS | 37,048. | 4,763. |

ATTACHMENT 6

## FORM 990PF, PART I - OTHER EXPENSES

| DESCRIPTION | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME | CHARITABLE PURPOSES |
|---|---|---|---|
| BANK FEES | 180. | 180. | |
| NYS DEPARTMENT OF LAW | 750. | | 750. |
| FROM PARTNERSHIP INVESTMENT | 25,526. | 25,526. | |
| ACCRUED INTEREST PAID | 700. | 700. | |
| TOTALS | 27,156. | 26,406. | 750. |

ATTACHMENT 7

FORM 990PF, PART II - CORPORATE STOCK

| DESCRIPTION | ENDING BOOK VALUE | ENDING FMV |
|---|---|---|
| SEE SCHEDULE 2 ATTACHED | 7,059,176. | 9,708,940. |
| TOTALS | 7,059,176. | 9,708,940. |

ATTACHMENT 8

## FORM 990PF, PART II - OTHER INVESTMENTS

| DESCRIPTION | ENDING BOOK VALUE | ENDING FMV |
|---|---|---|
| INVESTMENT IN PARTNERSHIP | 3,441,319. | 3,426,363. |
| TOTALS | 3,441,319. | 3,426,363. |

ATTACHMENT 9

FORM 990PF, PART III - OTHER INCREASES IN NET WORTH OR FUND BALANCES

| DESCRIPTION | | AMOUNT |
|---|---|---|
| UNREALIZED GAIN ON PARTNERSHIP INVESTMENT | | 249,091. |
| | TOTAL | 249,091. |

FORM 990PF, PART VIII - LIST OF OFFICERS, DIRECTORS, AND TRUSTEES

ATTACHMENT 10

| NAME AND ADDRESS | TITLE AND AVERAGE HOURS PER WEEK DEVOTED TO POSITION | COMPENSATION | CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS | EXPENSE ACCT AND OTHER ALLOWANCES |
|---|---|---|---|---|
| WILLIAM J. OPPENHEIM JR.<br>C/O ANCHIN, BLOCK & ANCHIN LLP<br>1375 BROADWAY<br>NEW YORK, NY 10018 | TREASURER<br>2.00 | 0 | 0 | 0 |
| PAULA K. OPPENHEIM<br>C/O ANCHIN, BLOCK & ANCHIN LLP<br>1375 BROADWAY<br>NEW YORK, NY 10018 | PRESIDENT<br>2.00 | 0 | 0 | 0 |
| LISA OPPENHEIM SCHULTZ<br>C/O ANCHIN, BLOCK & ANCHIN LLP<br>1375 BROADWAY<br>NEW YORK, NY 10018 | SECRETARY<br>2.00 | 0 | 0 | 0 |
| | GRAND TOTALS | 0 | 0 | 0 |

990PF, PART VIII- COMPENSATION OF THE FIVE HIGHEST PAID PROFESSIONALS

ATTACHMENT 11

| NAME AND ADDRESS | TYPE OF SERVICE | COMPENSATION |
| --- | --- | --- |
| BECK, MACK & OLIVER LLC<br>360 MADISON AVENUE. 18TH FLOOR<br>NEW YORK, NY 10017 | INVESTMENT ADVISORY | 66,719. |
| TOTAL COMPENSATION | | 66,719. |

**Oppenheim Family Fund, Inc**
**EIN # 13-6158857**
**Form 990-PF: Part XV - Grants & Contributions Paid during the year ended 8/31/2013**

| Recipient | Foundation Status | Purpose of Grant or Contribution | $Amount |
|---|---|---|---|
| | | | |
| 92nd Street | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $500 00 |
| Ackerman Institute for the Family | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $35,000 00 |
| Adopt a Dog | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $500 00 |
| ALS Association | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $1,000 00 |
| Alzheimers Disease | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $1,000 00 |
| American Cares Society | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $1,000 00 |
| American Heart Association | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $500 00 |
| American Museum of Natural History | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $3,500 00 |
| Americares | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $5,000 00 |
| At Home in Greenwich Inc | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $1,000 00 |
| Blythedale Children's Hospital | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $1,000 00 |
| Bowdoin College | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $3,000 00 |
| Brotherhood Sister Sol | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $10,000 00 |
| Bruce Museum Inc | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $2,000 00 |
| Brunswick School | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $8,000 00 |
| CARE | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $1,000 00 |
| Child Guidance Center | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $1,000 00 |
| Cincinnati Playhouse | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $250 00 |
| Citizens Committee for Children of New York Inc | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $500 00 |
| City Harvest | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $1,500 00 |
| Coalition for a Secure Drivers License | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $250 00 |
| Colgate University | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $35,000 00 |
| Columbia University Division of General Medicine | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $10,000 00 |
| Compassion & Choices | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $350 00 |
| Congregation Emanuel of Westchester | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $4,095 00 |
| Connecticut Humane Society | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $250 00 |
| Cornell University | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $10,000 00 |
| Creative Connections | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $500 00 |
| Damon Runyon Cancer Research | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $1,553 00 |
| Dartmouth College | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $30,000 00 |
| Doctors Without Boarders | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $1,000 00 |
| Eldridge Street Project | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $500 00 |
| Expedition Learning School | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $1,000 00 |
| Fairfield County Community Foundation | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $25,000 00 |
| Family Center Inc | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $1,000 00 |
| Family ReEntry | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $2,000 00 |
| Frankilin Memorial Hospital | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $1,000 00 |
| Fresh Air Fund | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $10,000 00 |
| Friends of Laurel House | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $500 00 |
| Friends of Norris Cotton Cancer Center | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $250 00 |
| Friends of Sarah Neuman | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $150 00 |
| Glenville Volunteer Fire Company | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $500 00 |
| Grand St Settlement | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $1,000 00 |
| Greenwich EMS | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $500 00 |
| Greenwich Federation of Jewish Philanthropies | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $2,500 00 |
| Greenwich Hospital | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $35,000 00 |
| Greenwich Hospital Hospice Program | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $250 00 |
| Greenwich Library | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $1,000 00 |
| Greenwich Youth Conservation Program | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $500 00 |
| Guiding Eyes for the Blind | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $10,000 00 |
| Hebrew Union College (HUC) - JIR Annual Fund | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $500 00 |
| Horizon Student Enrichment - Tutoring | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $10,000 00 |
| Horizon Student Enrichment Program | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $31,500 00 |
| Human Rights Watch | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $500 00 |
| Hunter College Foundation | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $2,500 00 |
| Jewish Family Service | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $540 00 |
| Jump Start | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $1,000 00 |
| Kids in Crisis | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $1,000 00 |
| Maine Huts & Trails | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $20,000 00 |
| Making Headway | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $250 00 |
| Metropolitan Museum of Art | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $4,500 00 |
| Montefiore Hospital - Dept of Psychiatry | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $10,000 00 |
| Mothers Against Drunk Driving | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $500 00 |
| Mount Sinai Medical Center | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $500 00 |
| MSKCC | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $1,000 00 |
| NAOMI | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $1,000 00 |
| Nature Conservancy of Connecticut | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $5,000 00 |

**Oppenheim Family Fund, Inc.**
**EIN # 13-6158857**
**Form 990-PF: Part XV - Grants & Contributions Paid during the year ended 8/31/2013**

| Recipient | Foundation Status | Purpose of Grant or Contribution | $Amount |
|---|---|---|---|
| | | | |
| New Canaan Country School | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $5,000 00 |
| New York City Ballet | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $225 00 |
| New York Historical Society | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $1,625 00 |
| New York Public Library | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $2,500 00 |
| New York Times One Hundred Neediest Cases | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $5,000 00 |
| OCD Foundation | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $500 00 |
| Omprakash Foundation | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $10,000 00 |
| Pegasus Therapeutic Riding | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $250 00 |
| Planned Parenthood | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $25,000 00 |
| Purchase College Foundation | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $2,000 00 |
| Rangeley Health & Wellness | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $5,000 00 |
| Rangeley Lakes Heritage Trust | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $50,000 00 |
| REACH Prep | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $500 00 |
| Ronald McDonald House | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $500 00 |
| Safe Horizons Victim Services | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $500 00 |
| SCAN | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $500 00 |
| Spring Lake Ranch Inc | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $1,000 00 |
| St Lawrence University | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $1,000 00 |
| Susan Komen for Cure | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $1,000 00 |
| Taft School Annual Fund | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $10,000 00 |
| TAG | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $500 00 |
| The Abraham Fund | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $6,000 00 |
| The Doe Fund | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $5,000 00 |
| The Shul of New York | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $250 00 |
| UJA Federation | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $50,000 00 |
| UNICEF | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $1,000 00 |
| United Way of Greewich | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $5,000 00 |
| Visiting Nurse Service of New York | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $1,000 00 |
| WCC Foundation | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $75 00 |
| Westchester Community College - WCC Foundation | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $405 00 |
| WNET | 501(c)(3) | Unrestricted Grant for Donee's Exempt Purpose | $2,500 00 |
| | | | |
| | | **TOTAL** | **$547,018 00** |

OPPENHEIMER

Oppenheimer & Co. Inc.
85 Broad Street
New York, NY 10004
(212) 668-8000
Transacts Business on All Principal Exchanges

# STATEMENT OF ACCOUNT

SIPC

| JAMES FERRARA CPA<br>ANCHIN, BLOCK & ANCHIN LLP<br>1375 BROADWAY | DUPLICATE FOR:<br>OPPENHEIM FAMILY FUND<br>90 WEST LYON FARM DRIVE | Page | Account Number | Financial Advisor | Period Ending |
|---|---|---|---|---|---|
| | | 3 of 8 | G42-0023546 | OPPENHEIM WILLIAM - E7F | 08/31/13 |

## Equities

Please note the following icon appears to the right of the stock symbol of those securities which Oppenheimer has provided research coverage. If you wish to access such research you may visit the Client Access web site (www.opco.com) or speak with your Financial Advisor.

*Common Stock*

| Description | Trade Date /Acct Type | Quantity | Symbol | Unit Cost /Avg Cost | Current Price | Total Cost Basis | Current Value | Unrealized Gain/(Loss) | EY | EAI | Portfolio Percent |
|---|---|---|---|---|---|---|---|---|---|---|---|
| ENSTAR GROUP LIMITED | 07/16/2007 | 2,600 | ESGR | 113.18000 | | 294,414.64 | 350,402.00 | 55,987 LT | | | |
| | 03/10/2008 | 300 | ESGR | 95.07000 | | 28,537.95 | 40,431.00 | 11,893 LT | | | |
| | 08/26/2008 | 1,000 | ESGR | 87.50000 | | 87,500.00 | 134,770 00 | 47,270 LT | | | |
| | (I) CASH | 3,900 | ESGR | 105 24430 | 134 77000 | 410,452.59 | 525,603 00 | 115,150 | | | 5 17 |
| RENAISSANCERE HOLDINGS LTD | 12/09/2009 | 400 | RNR | 52.50330 | | 21,026 01 | 34,960.00 | 13,933 LT | | | |
| | 12/22/2009 | 1,650 | RNR | 51 90440 | | 85,746.26 | 144,210 00 | 58,463 LT | | | |
| | 01/05/2010 | 2,250 | RNR | 52.23870 | | 117,677 08 | 196,650 00 | 78,972 LT | | | |
| | (I) CASH | 4,300 | RNR | 52 19750 | 87.40000 | 224,449.35 | 375,820 00 | 151,371 | 1.281% | 4,816 | 3.70 |
| NOBLE CORPORATION BAAR NAMEN -AKT | 07/26/2002 | 1,600 | NE | 15 17000 | | 21,453.09 | 59,520 00 | 38,066 LT | | | |
| | 08/17/2003 | 1,200 | NE | 34 66000 | | 18,711.82 | 44,640.00 | 25,928 LT | | | |
| | 10/20/2008 | 2,000 | NE | 67 28000 | | 63,806 36 | 74,400 00 | 10,593 LT | | | |
| | 10/25/2008 | 2,800 | NE | 72.69000 | | 96,902 90 | 104,160 00 | 7,257 LT | | | |
| | 10/31/2008 | 1,200 | NE | 69 62000 | | 39,687.82 | 44,640.00 | 4,952 LT | | | |
| | (G) CASH | 8,800 | NE | 27 33660 | 37 20000 | 240,581 89 | 327,360 00 | 86,798 | 1 720% | 5,632 | 3.22 |
| ABBOTT LABS | 07/25/2002 | 1,400 | ABT | 17.07392 | | 23,903.49 | 46,662 00 | 22,758 LT | | | |
| | 08/28/2003 | 600 | ABT | 17.78477 | | 10,670.87 | 19,998.00 | 9,327 LT | | | |
| | 11/21/2005 | 1,200 | ABT | 19.57743 | | 23,492 93 | 39,996.00 | 16,503 LT | | | |
| | 09/26/2008 | 1,000 | ABT | 23.03764 | | 23,037 64 | 33,330.00 | 10,292 LT | | | |
| | 10/20/2008 | 1,000 | ABT | 23.19596 | | 23,195 96 | 33,330.00 | 10,134 LT | | | |
| | 02/01/2013 | 2,000 | ABT | 33.86990 | | 67,884 80 | 66,660 00 | (1,204) ST | | | |
| | (L) CASH | 7,200 | ABT | 23.91190 | 33 33000 | 172,165.69 | 239,976 00 | 67,810 | 1.680% | 4,032 | 2.35 |
| ANHEUSER BUSCH INBEV SA/NV SPONSORED ADR | 03/01/2011 | 1,200 | BUD | 56.52000 | | 67,899.33 | 112,020.00 | 44,120 LT | | | |
| | 03/08/2011 | 1,800 | BUD | 56.87170 | | 102,482.08 | 168,030 00 | 65,547 LT | | | |
| | (J) CASH | 3,000 | BUD | 56.79380 | 93.35000 | 170,381 39 | 280,050.00 | 109,669 | 1 980% | 5,546 | 2.76 |

OPPENHEIMER

Oppenheimer & Co. Inc.
85 Broad Street
New York NY 10004
(212) 668-8000
Transacts Business on All Principal Exchanges

# STATEMENT OF ACCOUNT

SIPC

| | | Page | Account Number | Financial Advisor | Period Ending |
|---|---|---|---|---|---|
| JAMES FERRARA CPA<br>ANCHIN, BLOCK & ANCHIN LLP<br>1375 BROADWAY | **DUPLICATE FOR:**<br>OPPENHEIM FAMILY FUND<br>90 WEST LYON FARM DRIVE | 4 of 8 | G42-0023546 | OPPENHEIM WILLIAM - E7F | 08/31/13 |

*Common Stock*

| Description | Trade Date /Acct Type | Quantity | Symbol | Unit Cost /Avg Cost | Current Price | Total Cost Basis | Current Value | Unrealized Gain/(Loss) | EY | EAI | Portfolio Percent |
|---|---|---|---|---|---|---|---|---|---|---|---|
| BAXTER INTL INC | 02/03/2003 | 1,000 | BAX | 28 34000 | | 28,340 00 | 69,560 00 | 41,220 | LT | | |
| | 03/18/2003 | 2,600 | BAX | 20 35000 | | 53,040 00 | 180,856 00 | 127,816 | LT | | |
| | 04/02/2003 | 800 | BAX | 19 40000 | | 15,560 00 | 55,648 00 | 40,088 | LT | | |
| | 10/20/2008 | 2,000 | BAX | 44 75000 | | 89,600 00 | 139,120.00 | 49,520 | LT | | |
| | (L) CASH | 6,400 | BAX | 29.14690 | 69 56000 | 186,540 00 | 445,184 00 | 258,644 | 2.817% | 12,544 | 4.38 |
| BROOKFIELD ASSET MGMT INC | 11/21/2007 | 7,100 | BAM | 33 67160 | | 239,068 36 | 245,518 00 | 6,449 | LT | | |
| CL A LTD VT SH | 01/08/2008 | 2,400 | BAM | 33 30500 | | 79,932.00 | 82,992 00 | 3,060 | LT | | |
| | (O) CASH | 9,500 | BAM | 33.57900 | 34 56000 | 319,000 36 | 328,510 00 | 9,510 | 1 735% | 5,700 | 3 23 |
| COACH INC | 01/30/2013 | 2,100 | COH | 51 66000 | | 108,617 00 | 110,901 00 | 2,284 | ST | | |
| | 02/01/2013 | 1,900 | COH | 50 21660 | | 95,530 54 | 100,339.00 | 4,808 | ST | | |
| | (C) CASH | 4,000 | COH | 51 03690 | 52 81000 | 204,147 54 | 211,240 00 | 7,092 | 2 556% | 5,400 | 2.08 |
| CONOCOPHILLIPS | 10/31/2006 | 1,000 | COP | 45 62124 | | 45,621.25 | 66,300 00 | 20,678 | LT | | |
| | 02/15/2007 | 3,800 | COP | 50 21534 | | 190,818 32 | 251,940 00 | 61,121 | LT | | |
| | (G) CASH | 4,800 | COP | 49 25820 | 66 30000 | 236,439 57 | 318,240.00 | 81,800 | 4 162% | 13,248 | 3 13 |
| DEVON ENERGY CORP NEW | 12/10/2012 | 6,100 | DVN | 52.24510 | | 319,066.11 | 348,249.00 | 29,182 | ST | | |
| | (G) CASH | 6,100 | DVN | 52.30590 | 57.09000 | 319 066 11 | 348.249 00 | 29,183 | 1 541% | 5,368 | 3 43 |
| DOVER CORP | 10/31/2008 | 4,000 | DOV | 47 50000 | | 190,220 00 | 340,200 00 | 149,980 | LT | | |
| | (E) CASH | 4,000 | DOV | 47 55500 | 85.05000 | 190.220 00 | 340.200 00 | 149,980 | 1 763% | 6,000 | 3 35 |
| FLUOR CORP NEW | 02/24/2009 | 2,800 | FLR | 33.86280 | | 94,988 84 | 177,604 00 | 82.615 | LT | | |
| | 11/12/2010 | 1,000 | FLR | 55 42570 | | 55,490 70 | 63,430 00 | 7,939 | LT | | |
| | (T) CASH | 3,800 | FLR | 39 59990 | 63.43000 | 150,479 54 | 241,034 00 | 90,554 | 1.008% | 2,432 | 2.37 |
| GLOBALSTAR INC | 04/11/2008 | 33,000 | GSAT | 4.20000 | | 139,722 00 | 21,367 50 | (118,354) | LT | | |
| | 05/04/2009 | 33,000 | GSAT | 1 65680 | | 55,009 40 | 21,367.50 | (33,641) | LT | | |
| | (R) CASH | 66,000 | GSAT | 2 95050 | 0 64750 | 194.731 40 | 42,735 00 | (151,996) | | | 0 42 |
| GOOGLE INC | 04/30/2012 | 155 | GOOG | 608 26000 | | 94,335 30 | 131,269 50 | 36,934 | LT | | |
| CL A | 05/14/2012 | 155 | GOOG | 604.00000 | | 93,675 00 | 131,269 50 | 37,594 | LT | | |
| | 11/09/2012 | 100 | GOOG | 662.75770 | | 68,330 77 | 84,690 00 | 16,359 | ST | | |
| | (Q) CASH | 410 | GOOG | 620 34410 | 846.90000 | 254,341 07 | 347,228 00 | 92,888 | | | 3 42 |
| INTERNATIONAL BUSINESS MACHS | 07/29/2010 | 1,200 | IBM | 128.52500 | | 154,306 62 | 218 724 00 | 64,417 | LT | | |
| | (Q) CASH | 1,200 | IBM | 128 58890 | 182.27000 | 154,306 62 | 218,724 00 | 64,417 | 2 084% | 4,560 | 2 15 |
| JOHNSON & JOHNSON | 08/27/2003 | 400 | JNJ | 49 32000 | | 19,748 00 | 34,564 00 | 14,816 | LT | | |
| | 09/26/2006 | 1,000 | JNJ | 64 59000 | | 64,640 00 | 86,410 00 | 21,770 | LT | | |
| | 10/20/2008 | 1,000 | JNJ | 68 83000 | | 68,889 90 | 86,410 00 | 17,520 | LT | | |
| | (L) CASH | 2,400 | JNJ | 63 86580 | 86 41000 | 153,277 90 | 207,384 00 | 54,106 | 3 055% | 6,336 | 2.04 |
| KRATON PERFORMANCE POLYMERS | 02/04/2013 | 4,000 | KRA | 26 59710 | | 106,633 40 | 74,200 00 | (32,433) | ST | | |
| | (C) CASH | 4,000 | KRA | 26 65840 | 18 55000 | 106,633 40 | 74,200 00 | (32,433) | | | 0 73 |
| LABORATORY CORP AMER HLDGS | 08/20/2003 | 400 | LH | 29 86000 | | 11,964 00 | 38,288 00 | 26,324 | LT | | |
| COM NEW | 10/12/2006 | 2,000 | LH | 66 61000 | | 133,326 40 | 191,440 00 | 58,113 | LT | | |
| | 10/20/2008 | 1,000 | LH | 67.70000 | | 67,750 00 | 95,720 00 | 27,970 | LT | | |
| | (L) CASH | 3 400 | LH | 62 65890 | 95 72000 | 213,040 40 | 325,448 00 | 112,408 | | | 3.20 |

| JAMES FERRARA CPA<br>ANCHIN, BLOCK & ANCHIN LLP<br>1375 BROADWAY | DUPLICATE FOR:<br>OPPENHEIM FAMILY FUND<br>90 WEST LYON FARM DRIVE | Page | Account Number | Financial Advisor | Period Ending |
|---|---|---|---|---|---|
| | | 5 of 8 | G42-0023546 | OPPENHEIM WILLIAM - E7F | 08/31/13 |

*Common Stock*

| Description | Trade Date /Acct Type | Quantity | Symbol | Unit Cost /Avg Cost | Current Price | Total Cost Basis | Current Value | Unrealized Gain/(Loss) | EY | EAI | Portfolio Percent |
|---|---|---|---|---|---|---|---|---|---|---|---|
| LEUCADIA NATL CORP | 07/25/2002 | 5,700 | LUK | 8.72396 | | 55,426.62 | 142,101 00 | 86,674 | LT | | |
| | 01/08/2003 | 900 | LUK | 12 30701 | | 11,076.32 | 22,437.00 | 11,360 | LT | | |
| | 04/02/2003 | 3.000 | LUK | 11 90348 | | 35,710 46 | 74,790 00 | 39,079 | LT | | |
| | 05/28/2003 | 2,700 | LUK | 12 27140 | | 33,132.78 | 67,311 00 | 34,176 | LT | | |
| | 06/17/2003 | 6,000 | LUK | 12 75707 | | 76,542 46 | 149,580 00 | 73,037 | LT | | |
| | 08/05/2003 | 900 | LUK | 12 39767 | | 11,157.91 | 22,437.00 | 11,279 | LT | | |
| | 10/20/2006 | 2,000 | LUK | 25 49407 | | 50,988 16 | 49,860 00 | (1,128) | LT | | |
| | (I) CASH | 21,200 | LUK | 12 92620 | 24 93000 | 274,034.71 | 528,516.00 | 254,481 | 1 002% | 5,300 | 5.20 |
| LOWES COS INC | 11/12/2010 | 7,000 | LOW | 21 99690 | | 154,402 62 | 320,740 00 | 166,337 | LT | | |
| | 01/07/2011 | 2,300 | LOW | 24 00000 | | 55,343 00 | 105,386 00 | 50,043 | LT | | |
| | (E) CASH | 9,300 | LOW | 22.55330 | 45 82000 | 209,745 62 | 426,126 00 | 216,380 | 1 571% | 6,696 | 4 19 |
| MARKEL CORP | 08/05/2011 | 240 | MKL | 383 74710 | | 92,154.30 | 122,568 00 | 30,413 | LT | | |
| | 02/01/2013 | 100 | MKL | 480 00000 | | 48,055 00 | 51,070 00 | 3,015 | ST | | |
| | (I) CASH | 340 | MKL | 412 38030 | 510 70000 | 140,209.30 | 173,638 00 | 33,429 | | | 1 71 |
| MERCK & CO INC NEW | 07/25/2002 | 1,650 | MRK | 42 11150 | | 69,484.03 | 78,028.50 | 8,544 | LT | | |
| | 10/20/2006 | 1,000 | MRK | 45.20000 | | 45,250.00 | 47,290 00 | 2,040 | LT | | |
| | 12/16/2009 | 1,400 | MRK | 37 71300 | | 52,887.20 | 66,208 00 | 13,318 | LT | | |
| | (L) CASH | 4,050 | MRK | 41.38800 | 47 29000 | 167,621.23 | 191,524 50 | 23,903 | 3.637% | 6,966 | 1 88 |
| MOLEX INC CLA | 07/26/2002 | 2,300 | MOLXA | 22 33570 | | 51,372.11 | 56,465 00 | 5,092 | LT | | |
| | 01/08/2003 | 400 | MOLXA | 20 95000 | | 8,380.00 | 9,820 00 | 1,440 | LT | | |
| | 04/02/2003 | 500 | MOLXA | 19 80000 | | 9,902 70 | 12,275 00 | 2,372 | LT | | |
| | 11/23/2004 | 2,000 | MOLXA | 25.22000 | | 50,444 40 | 49,100 00 | (1,344) | LT | | |
| | 10/20/2006 | 2,000 | MOLXA | 30 05000 | | 60,208.00 | 49,100 00 | (11,108) | LT | | |
| | 01/12/2007 | 6,800 | MOLXA | 25.72000 | | 175,248 92 | 166,940 00 | (8,308) | LT | | |
| | (Q) CASH | 14,000 | MOLXA | 25 39670 | 24 55000 | 355,554.13 | 343,700 00 | (11,854) | 3.910% | 13,440 | 3 38 |
| NATIONAL OILWELL VARCO INC | 02/28/2013 | 2,200 | NOV | 68.43300 | | 150,689 60 | 163,460 00 | 12,770 | ST | | |
| | (G) CASH | 2,200 | NOV | 68 48530 | 74 30000 | 150,689.60 | 163,460 00 | 12,770 | 1 399% | 2,288 | 1 61 |
| QUALCOMM INC | 02/19/2010 | 1,600 | QCOM | 39 72980 | | 63,667.01 | 106,048 00 | 42,380 | LT | | |
| | 01/16/2013 | 1,300 | QCOM | 64.83040 | | 84,362.52 | 86,164.00 | 1,801 | ST | | |
| | (Q) CASH | 2,900 | QCOM | 51 04470 | 66 28000 | 148,029.53 | 192,212.00 | 44,182 | 2.112% | 4,060 | 1.89 |
| ROPER INDS INC NEW | 12/11/2006 | 3,700 | ROP | 49 92000 | | 184,925.26 | 457,690.00 | 272,764 | LT | | |
| | (D) CASH | 3,700 | ROP | 49 97980 | 123.70000 | 184,925.26 | 457,690.00 | 272,765 | 0.533% | 2,442 | 4 50 |
| SCHLUMBERGER LTD | 03/26/1999 | 1,100 | SLB | 23.61280 | | 25,974 10 | 89,034 00 | 63,059 | LT | | |
| | 07/13/1999 | 1,000 | SLB | 25 87970 | | 25,879 76 | 80,940 00 | 55,060 | LT | | |
| | 12/22/2008 | 900 | SLB | 38 66660 | | 35,038.94 | 72,846 00 | 37,807 | LT | | |
| | (G) CASH | 3,000 | SLB | 28.98430 | 80 94000 | 86,892.80 | 242,820 00 | 155,927 | 1.544% | 3,750 | 2 39 |
| SUBSEA 7 S A SPONSORED ADR | 03/05/2012 | 6,500 | SUBCY | 23.59840 | | 153,784 60 | 132,795.00 | (20,989) | LT | | |
| | (G) CASH | 6,500 | SUBCY | 23 65920 | 20 43000 | 153,784 60 | 132,795 00 | (20,990) | 2.838% | 3,770 | 1 31 |
| US BANCORP DEL COM NEW | 02/01/2013 | 6,000 | USB | 33 35000 | | 200,465 00 | 216,780 00 | 16,315 | ST | | |
| | (I) CASH | 6,000 | USB | 33 41080 | 38 13000 | 200,465.00 | 216,780.00 | 16,315 | 2.546% | 5,520 | 2 13 |

# OPPENHEIMER

Oppenheimer & Co. Inc.
85 Broad Street
New York, NY 10004
(212) 668-8000
Transacts Business on All Principal Exchanges

## STATEMENT OF ACCOUNT

SIPC

JAMES FERRARA CPA
ANCHIN, BLOCK & ANCHIN LLP
1375 BROADWAY

**DUPLICATE FOR:**
OPPENHEIM FAMILY FUND
90 WEST LYON FARM DRIVE

| Page | Account Number | Financial Advisor | Period Ending |
|---|---|---|---|
| 8 of 8 | G42-0023546 | OPPENHEIM WILLIAM - E7F | 08/31/13 |

*Common Stock*

| Description | Trade Date /Acct Type | Quantity | Symbol | Unit Cost /Avg Cost | Current Price | Total Cost Basis | Current Value | Unrealized Gain/(Loss) | | EY | EAI | Portfolio Percent |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| WATERS CORP | 07/25/2002 | 300 | WAT | 20.25790 | | 6,077 37 | 29,655 00 | 23 577 | LT | | | |
| | 11/19/2002 | 600 | WAT | 26.35000 | | 15,810 00 | 59,310.00 | 43,500 | LT | | | |
| | 01/08/2003 | 500 | WAT | 21 53000 | | 10,765.00 | 49,425 00 | 38,660 | LT | | | |
| | 02/03/2003 | 1,000 | WAT | 23.41000 | | 23,410.00 | 98,850 00 | 75,440 | LT | | | |
| | 10/20/2006 | 1,000 | WAT | 46 13000 | | 46,181 00 | 98 850 00 | 52,669 | LT | | | |
| | (Q) CASH | 3,400 | WAT | 30 07160 | 98 85000 | 102,243.37 | 336,090.00 | 233,847 | | | | 3 31 |
| **SUB-TOTAL COMMON STOCK** | | | | | | **6,074,430.07** | **8,602,537.50** | **2,528,106** | | | **135,846** | **84.64** |

COMMON STOCK HOLDINGS SUMMARY BY INDUSTRY CODE

| | | | | |
|---|---|---|---|---|
| (I) 21% FINANCIAL | (G) 17% ENERGY | (L) 16% HEALTHCARE | (J) 3% FOOD & BEVERAGES | (O) 3% REAL ESTATE |
| (C) 3% BASIC INDUSTRY | (E) 8% CONSTRUCTION & BLDG | (T) 2% UTILITIES | (R) .50% TELECOMMUNICATIONS | (Q) 16% TECHNOLOGY |
| (D) 5% CAPITAL GOODS | | | | |

## Mutual Funds

*Open End Funds*

| Description | Open Tran | Quantity | Average Price | Net Cost | Purchase Cost | Current Price | Market Value | Unrealized Gain/(Loss) | Net Value Increase/Decr | EY | EAI | Est Yield to Net Cost | Portfolio Percent |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| BECK, MACK & OLIVER GLOBAL EQUITY FD OPEN END SYMBOL BMGEX | | 51,800 7030 | 17 03058 | 882,196 13 | 850,000 00 | 19 42000 | 1,005,969 65 | 123,774 | 155,969 | | | | 9 80 |
| | Purchases | 50,177 0960 | 16 93999 | 850,000 00 | 850,000 00 | | 974,439 20 | 124,439 | | | | | |
| | Reinvestment | 1,623 6070 | 19 83000 | 32,196 13 | | | 31,530 44 | (666) | | | | | |
| **SUB-TOTAL OPEN END FUNDS** | | | | **882,196.13** | | | **1,005,969.65** | **123,774** | | | | | **9.80** |
| **TOTAL MUTUAL FUNDS** | | | | **882,196.13** | | | **1,005,969.65** | **123,774** | | | | | **9.80** |



Schedule 2

Oppenheimer & Co. Inc.
85 Broad Street
New York, NY 10004
(212) 668-8000
Transacts Business on All Principal Exchanges

# STATEMENT OF ACCOUNT

| | | | | | |
|---|---|---|---|---|---|
| JAMES FERRARA CPA<br>ANCHIN, BLOCK & ANCHIN LLP<br>1375 BROADWAY | DUPLICATE FOR:<br>OPPENHEIM FAMILY FUND<br>90 WEST LYON FARM DRIVE | Page<br>7 of 8 | Account Number<br>G42-0023548 | Financial Advisor<br>OPPENHEIM WILLIAM - E7F | Period Ending<br>08/31/13 |

## Fixed Income

*Corporate Bonds in Maturity Date Sequence*

| Description | Trade Date /Acct Type | Quantity | CUSIP/ Rating | Unit Cost /Avg Cost | Current Price | Total Cost Basis | Current Value | Unrealized Gain/(Loss) | EY | EAI | Portfolio Percent |
|---|---|---|---|---|---|---|---|---|---|---|---|
| FORD MOTOR CREDIT CO LLC | 05/02/2013 | 100,000 | 345397TZ6 | 102.55000 | | 102,550.00 | 100,433.00 | (2,117) ST | | | |
| B/E 7% DUE 10/01/13 | CASH | 100,000 | BAA3 / BB+ | 102.55000 | 100.43300 | 102,550.00 | 100,433.00 | (2,117) | 7.000% | 7,000 | 0.99 |
| NOTE | | | | | | | | | | | |
| **SUB-TOTAL CORPORATE BONDS** | | 100,000 | | | | 102,550.00 | 100,433.00 | (2,117) | | 7,000 | 1.01 |
| **TOTAL FIXED INCOME** | | 100,000 | | | | 102,550.00 | 100,433.00 | (2,117) | | 7,000 | 1.01 |

**Due to credit market volatility this month, there may be some unreliable pricing of fixed income securities compared to prior months. Call your Financial Advisor if you have any questions.**

| | COST BASIS | MARKET VALUE | UNREALIZED GAIN/(LOSS) |
|---|---|---|---|
| TOTAL PORTFOLIO VALUE | $7,059,176.20 | $9,708,940.15 | $2,649,764 |