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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 10/1/2012, and ending 9/30/2013

Name of foundation The Wasserstrom Foundation		A Employer identification number 31-6041116
Number and street (or P.O. box number if mail is not delivered to street address)	Room/suite	B Telephone number (see instructions) 614-228-6525
City or town, state, and ZIP code COLUMBUS OH 43215		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. ☒ 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) \$ 4,437,126	J Accounting method ☒ Cash ☐ Accrual ☐ Other (specify) _____	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) (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)	398,539			
	2 Check ☐ if the foundation is not required to attach Sch. B				
	3 Interest on savings and temporary cash investments	50	50	50	
	4 Dividends and interest from securities	148,794	148,794	148,794	
	5 a Gross rents				
	b Net rental income or (loss)				
	6 a Net gain or (loss) from sale of assets not on line 10				
	b Gross sales price for all assets on line 6a				
	7 Capital gain net income (from Part IV, line 2)				
	8 Net short-term capital gain				
	9 Income modifications				
	10 a Gross sales less returns and allowances				
b Less Cost of goods sold					
c Gross profit or (loss) (attach schedule)					
11 Other income (attach schedule)	134				
12 Total. Add lines 1 through 11	547,517	148,844	148,844		
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc.				
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16 a Legal fees (attach schedule)				
	b Accounting fees (attach schedule)				2,093
	c Other professional fees (attach schedule)				
	17 Interest				
	18 Taxes (attach schedule) (see instructions)				
	19 Depreciation (attach schedule) and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses (attach schedule)	996	996		
	24 Total operating and administrative expenses. Add lines 13 through 23	21,779	1,403	0	2,093
	25 Contributions, gifts, grants paid	402,750			402,750
26 Total expenses and disbursements. Add lines 24 and 25	424,529	1,403	0	404,843	
27 Subtract line 26 from line 12					
a Excess of revenue over expenses and disbursements	122,988				
b Net investment income (if negative, enter -0-)		147,441			
c Adjusted net income (if negative, enter -0-)			148,844		

For Paperwork Reduction Act Notice, see instructions.

Form **990-PF** (2012)

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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	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value		
Assets	1 Cash—non-interest-bearing			14,004	5,898	5,898
	2 Savings and temporary cash investments			1,599,916	1,808,940	2,134,979
	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)			994,256	1,007,657	1,451,217
	c Investments—corporate bonds (attach schedule)			919,928	822,934	845,032
	11 Investments—land, buildings, and equipment basis					
Liabilities	Less accumulated depreciation (attach schedule)					
	12 Investments—mortgage loans					
	13 Investments—other (attach schedule)					
	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)			3,528,104	3,645,429	4,437,126
	17 Accounts payable and accrued expenses					
	18 Grants payable					
	19 Deferred revenue					
Net Assets or Fund Balances	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	
	Foundations that follow SFAS 117, check here and complete lines 24 through 26 and lines 30 and 31. ☒					
	24 Unrestricted			3,528,104	3,645,429	
	25 Temporarily restricted					
	26 Permanently restricted					
	Foundations that do not follow SFAS 117, check here and complete lines 27 through 31. ☐					
	27 Capital stock, trust principal, or current funds					
	28 Paid-in or capital surplus, or land, bldg, and equipment fund					
	29 Retained earnings, accumulated income, endowment, or other funds					
	30 Total net assets or fund balances (see instructions)			3,528,104	3,645,429	
	31 Total liabilities and net assets/fund balances (see instructions)			3,528,104	3,645,429	

Part III Analysis of Changes in Net Assets or Fund Balances

1	Total net assets or fund balances at beginning of year—Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return)	1	3,528,104
2	Enter amount from Part I, line 27a	2	122,988
3	Other increases not included in line 2 (itemize)	3	
4	Add lines 1, 2, and 3	4	3,651,092
5	Decreases not included in line 2 (itemize) <u>Loss on Securities</u>	5	5,663
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	3,645,429

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 Attached Statements #6				
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 536,047		541,711	-5,664	
b				
c				
d				
e				
Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(i) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))	
(i) FMV as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any		
a			-5,664	
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 -5,664
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.

(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	267,988	3,446,962	0.077746
2010	232,383	3,646,160	0.063734
2009	137,641	3,275,354	0.042023
2008	151,966	2,787,627	0.054514
2007	184,548	3,056,215	0.060384
2 Total of line 1, column (d)			2 0.298401
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 0.059680
4 Enter the net value of noncharitable-use assets for 2012 from Part X, line 5			4 3,599,911
5 Multiply line 4 by line 3			5 214,843
6 Enter 1% of net investment income (1% of Part I, line 27b)			6 1,474
7 Add lines 5 and 6			7 216,317
8 Enter qualifying distributions from Part XII, line 4			8 404,843

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)

1 a 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 ☒ and enter 1% of Part I, line 27b		1	1,474
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	1,474
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)		4	
5 Tax based on investment income. Subtract line 4 from line 3 If zero or less, enter -0-		5	1,474
6 Credits/Payments.			
a 2012 estimated tax payments and 2011 overpayment credited to 2012	6a		
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		0
8 Enter any penalty for underpayment of estimated tax Check here ☐ if Form 2220 is attached	8		1
9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9		1,475
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10		0
11 Enter the amount of line 10 to be Credited to 2013 estimated tax Refunded	11		0

Part VII-A Statements Regarding Activities

	Yes	No
1 a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		X
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see Instructions for the definition)? If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities		X
c Did the foundation file Form 1120-POL for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year (1) On the foundation \$ (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? If "Yes," attach a detailed description of the activities		X
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes		X
4 a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		X
b If "Yes," has it filed a tax return on Form 990-T for this year?	N/A	
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by General Instruction T		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	X	
7 Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col (c), and Part XV	X	
8 a Enter the states to which the foundation reports or with which it is registered (see instructions) OH		
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation	X	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2012 or the taxable year beginning in 2012 (see instructions for Part XIV)? If "Yes," complete Part XIV		X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses		X

Part VII-A Statements Regarding Activities (continued)

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entry within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)	11		X
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address www.wasserstrom.com	13	X	
14	The books are in care of The Wasserstrom Company Telephone no 614-228-6525 Located at 477 South Front Street Columbus OH ZIP+4 43215			
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		
16	At any time during calendar year 2012, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? See the instructions for exceptions and filing requirements for Form TD F 90-22.1 If "Yes," enter the name of the foreign country	16	Yes	No
				X

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

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

	Yes	No
1a During the year did the foundation (either directly or indirectly)		
(1) Engage in the sale or exchange, or leasing of property with a disqualified person?	☐ 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)? Organizations relying on a current notice regarding disaster assistance check here	1b N/A	
c Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2012?	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? If "Yes," list the years 20 , 20 , 20 , 20	☐ 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)	2b N/A	
c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here 20 , 20 , 20 , 20		
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?	☐ 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 N/A	
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))?
- (2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive?
- (3) Provide a grant to an individual for travel, study, or other similar purposes?
- (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)
- (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

☐ Yes ☒ No

☐ Yes ☒ No

☐ Yes ☒ No

☐ 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** N/A

Organizations relying on a current notice regarding disaster assistance check here

☒**c** If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?☐ Yes ☐ No

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
Rodney Wasserstrom 477 South Front Street Columbus, OH 43215	Trustee 00			
Alan Wasserstrom 477 South Front Street Columbus, OH 43215	Trustee .00			

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	00	0		
NONE	.00	0		
	00	0		
	00	0		
	00	0		

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
NONE		

Total number of others receiving over \$50,000 for professional services

Part IX-A Summary of Direct Charitable Activities

List the foundation's four largest direct charitable activities during the tax year. Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc.

	Expenses
1 NONE	
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	
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	3,640,905
b	Average of monthly cash balances	1b	13,827
c	Fair market value of all other assets (see instructions)	1c	
d	Total (add lines 1a, b, and c)	1d	3,654,732
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	3,654,732
4	Cash deemed held for charitable activities. Enter 1 1/2 % of line 3 (for greater amount, see instructions)	4	54,821
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	3,599,911
6	Minimum investment return. Enter 5% of line 5	6	179,996

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	179,996
2a	Tax on investment income for 2012 from Part VI, line 5	2a	1,474
b	Income tax for 2012 (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	1,474
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	178,522
4	Recoveries of amounts treated as qualifying distributions	4	
5	Add lines 3 and 4	5	178,522
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	178,522

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	404,843
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	404,843
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	1,474
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	403,369

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				178,522
2 Undistributed income, if any, as of the end of 2012				
a Enter amount for 2011 only			0	
b Total for prior years. 20____, 20____, 20____				
3 Excess distributions carryover, if any, to 2012.				
a From 2007	34,345			
b From 2008	14,506			
c From 2009				
d From 2010	52,545			
e From 2011	98,700			
f Total of lines 3a through e	200,096			
4 Qualifying distributions for 2012 from Part XII, line 4: ► \$ 404,843				
a Applied to 2011, but not more than line 2a				
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				178,522
e Remaining amount distributed out of corpus	226,321			
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	426,417			
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				
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			0	
f Undistributed income for 2012 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2013				0
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions)				
8 Excess distributions carryover from 2007 not applied on line 5 or line 7 (see instructions)	34,345			
9 Excess distributions carryover to 2013. Subtract lines 7 and 8 from line 6a	392,072			
10 Analysis of line 9				
a Excess from 2008	14,506			
b Excess from 2009				
c Excess from 2010	52,545			
d Excess from 2011	98,700			
e Excess from 2012	226,321			

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)

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

[illegible]

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

1 Information Regarding Foundation Managers:

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

NONE

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

NONE

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

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

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

Rodney Wasserstrom 477 South Front Street Columbus, OH 43215 614-228-6525

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

REQUEST LETTER ON LETTERHEAD PAPER

c Any submission deadlines.

NONE

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

NONE

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a <i>Paid during the year</i> See attached statement #4				402,750
Total			▶ 3a	402,750
b <i>Approved for future payment</i> See attached Statement #5				193,500
Total			▶ 3b	193,500

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated

Enter gross amounts unless otherwise indicated		Unrelated business income		Excluded by section 512, 513, or 514		(e)
		(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	Related or exempt function income (See instructions)
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	50	
4	Dividends and interest from securities			14	148,794	
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					
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		148,844	0
13	Total. Add line 12, columns (b), (d), and (e).				13	148,844

(See worksheet in line 13 instructions to verify calculations)

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

[illegible]

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

Department of the Treasury
Internal Revenue Service

Schedule of Contributors

OMB No 1545-0047

2012

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

Name of the organization

Employer identification number

The Wasserstrom Foundation

31-6041116

Organization type (check one)

Filers of:

Section:

Form 990 or 990-EZ

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

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

☐ 527 political organization

Form 990-PF

☒ 501(c)(3) exempt private foundation

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

☐ 501(c)(3) taxable private foundation

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

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

General Rule

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

Special Rules

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

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

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

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

Name of organization The Wasserstrom Foundation	Employer identification number 31-6041116
---	---

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

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
-----	----- ----- Foreign State or Province. ----- Foreign Country. -----	\$ -----	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution)
-----	----- ----- Foreign State or Province ----- Foreign Country -----	\$ -----	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution)
-----	----- ----- Foreign State or Province. ----- Foreign Country -----	\$ -----	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution)
-----	----- ----- Foreign State or Province ----- Foreign Country -----	\$ -----	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution)
-----	----- ----- Foreign State or Province ----- Foreign Country -----	\$ -----	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution)
-----	----- ----- Foreign State or Province ----- Foreign Country -----	\$ -----	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution)
-----	----- ----- Foreign State or Province ----- Foreign Country -----	\$ -----	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution)

Name of organization
The Wasserstrom Foundation

Employer identification number
31-6041116

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

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
-----	----- ----- ----- -----	\$ -----	-----
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
-----	----- ----- ----- -----	\$ -----	-----
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
-----	----- ----- ----- -----	\$ -----	-----
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
-----	----- ----- ----- -----	\$ -----	-----
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
-----	----- ----- ----- -----	\$ -----	-----
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
-----	----- ----- ----- -----	\$ -----	-----
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
-----	----- ----- ----- -----	\$ -----	-----

Name of organization The Wasserstrom Foundation	Employer identification number 31-6041116
--	--

Part III Exclusively religious, charitable, etc., individual contributions to section 501(c)(7), (8), or (10) organizations total more than \$1,000 for the year. Complete columns (a) through (e) and the following line entry for organizations completing Part III, enter the total of exclusively religious, charitable, etc., contributions of \$1,000 or less for the year (Enter this information once See instructions) ▶ \$ 0

Use duplicate copies of Part III if additional space is needed

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

Part I, Line 11 (990-PF) - Other Income

		134	0	0
Description		Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income
1	Class action settlement Laudus Rosenberg	134	0	

Part I, Line 16b (990-PF) - Accounting Fees

		2,203	110	0	2,093
Description		Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes (Cash Basis Only)
1	The Wasserstrom Company	2,203	110		2,093

Part I, Line 16c (990-PF) - Other Professional Fees

		18,283	0	0	0
Description		Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes (Cash Basis Only)
1	Fort Washington Investment Advisors	18,283			

Part I, Line 18 (990-PF) - Taxes

		297	297	0	0
Description		Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
1	Real estate tax not included in line 20				
2	Tax on investment income				
3	Income tax	297	297		

Part I, Line 23 (990-PF) - Other Expenses

		996	996	0	0
Description		Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
1	Fund Raising				
2	Trade Association membership				
3	Bank Fees	467	467		
4	Tax Software	521	521		
5	Filing Fee				
6	Checks				
7	Repairs & Maintenance				
8	Postage	8	8		
9	Interest				

Part II, Line 10a (990-PF) - Investments - U.S. and State Government Obligations

		Federal		State/Local		0		0		0		0	
		State/Local		0		0		0		0		0	
	Description	Num Shares/ Face Value	Book Value Beg of Year	Book Value End of Year	FMV Beg of Year	FMV End of Year	State/Local Obligation						
1	FNMA 5 25%												
2	FHLMC 5 125%												
3			0										

Part II, Line 10b (990-PF) - Investments - Corporate Stock

Description		Num Shares/ Face Value	Book Value Beg of Year	Book Value End of Year	FMV Beg of Year	FMV End of Year
1	SEE ATTACHED SCHEDULE		994,256	1,007,657	1,275,515	1,451,217

Part II, Line 10c (990-PF) - Investments - Corporate Bonds

		919,928	822,934	980,165	845,032
		Book Value	Book Value	FMV	FMV
		Beg of Year	End of Year	Beg of Year	End of Year
1	AMERITECH CAP FDG CORP				
2	SHERWIN WILLIAMS				
3	STATE OF ISRAEL BONDS	165,000	165,000	165,000	165,000
4	See Attached Statement	754,928	657,934	815,165	680,032

Part VIII, Line 1 (990-PF) - Compensation of Officers, Directors, Trustees and Foundation Managers

	Name	Check "X" if Business	Street	City	State	Zip Code	Foreign Country	Title	Avg Hrs Per Week	Compensation	Benefits	Expense Account
1	Rodney Wasserstrom		477 South Front Street	Columbus	OH	43215		Trustee	0.00			
2	Alan Wasserstrom		477 South Front Street	Columbus	OH	43215		Trustee	0.00			

PART XV Line 3A
EIN#31-604116

STATEMENT #4

THE WASSERSTROM FOUNDATION
CONTRIBUTIONS

FYE 9-30-2013

<u>DATE</u>	<u>CHECK#</u>	<u>PAID TO</u>	<u>AMOUNT</u>
10/09/12	3485	Jewish Community Center	\$5,000.00 Education
10/11/12	3487	Wexner Heritage Village	\$3,250.00 Endowment
12/06/12	3489	Bexley Education Foundation	\$1,000.00 Bravo Sponership
12/06/12	3490	United Way	\$200.00 Quadra Tech
12/06/12	3491	United Way	\$800.00 Amtekco
12/06/12	3492	United Way	\$1,500.00 NWS
12/06/12	3493	United Way	\$1,500.00 TWC
01/30/13	3498	Bexley Community Foundation	\$5,000.00 Community
02/26/13	3501	St Jude's Research Hospital	\$2,500.00 Research
03/21/13	3502	Ohio Chautauqua	\$1,000.00 Sponership
03/28/13	3504	Columbus Jewish Federation	\$94,000.00 Support jewish organization
04/09/13	3506	Lifetown & Friendship circle	\$5,000.00 Education
05/02/13	3507	Jewish Community Center	\$18,000.00 Education
05/08/13	3508	Congregation Tifereth Israel	\$5,000.00 Education
06/13/13	3511	Ohio foundation Independ College	\$500.00 Education
08/08/13	3513	United Way	\$6,000.00 Rodney's pledge
09/04/13	3514	United Way	\$2,500.00 Alan's Pledge
09/19/13	3515	Columbus Jewish Federation	\$95,000.00 Support jewish organization
09/19/13	3516	Columbus Jewish Foundation	\$5,000.00 Mentonng Programs
09/19/13	3517	Nationwide Children's Hospital	\$50,000.00 Expansion
09/19/13	3518	Ohio State Medical Center	\$100,000.00 Expansion
			<u>\$402,750.00</u>

PART XV - LINE 3B
EI #31-6041116

STATEMENT 5
WASSERSTROM FOUNDATION
FUTURE FINANCIAL COMMITMENTS
09/30/13

2014 Commitment

Jewish Community Center	\$5,000	10/01/13 Pd 12/19/13
Nationwide Children's Hospital	\$75,000	09/27/14 Pmt #4
Ohio State Medical Center	\$100,000	09/27/14 Pmt #4
Bexley Community Foundation	\$5,000	12/01/13 Pd 12/19/13
United Way Alan	\$2,500	06/15/14
United Way Rodney	\$6,000	06/15/14

\$193,500

2015 Commitment

Nationwide Children's Hospital	\$75,000	09/27/15 Pmt #5
Ohio State Medical Center	\$100,000	09/27/15 Pmt #5
Bexley Community Foundation	\$5,000	12/01/14

\$180,000

2016 Commitment

Nationwide Children's Hospital	\$100,000	09/27/16 Pmt #6
Ohio State Medical Center	\$100,000	09/27/16 Pmt #6

\$200,000

2017 Commitment

Nationwide Children's Hospital	\$100,000	09/27/17 Pmt #7 Last payment 500K
Ohio State Medical Center	\$100,000	09/27/17 Pmt #7

\$200,000

2018 Commitment

Ohio State Medical Center	\$100,000	09/27/18 Pmt #8
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\$100,000

2019 Commitment

Ohio State Medical Center	\$150,000	09/27/19 Pmt #9
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\$150,000

2020 Commitment

Ohio State Medical Center	\$150,000	09/27/20 Pmt #10 Last pmt 1M pledge
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\$150,000

PART IV - LINE 1
E. I. #31-6041116

STATEMENT #6

THE WASSERSTROM FOUNDATION
FORM 990-PF 09-30-13

FORT WASHINGTON INVESTMENTS

DATE	SECURITY	QUANTITY	COST	PROCEEDS	GAIN/(LOSS)
10/12/12	Gain on Kraft	0	10.69	15.50	4.81
12/10/12	Loss Nuveen Tradewinds	1,500	48,995.00	32,242.09	(16,752.91)
12/10/12	Loss Nuveen Tradewinds	1,620	50,020.00	34,814.90	(15,205.10)
12/10/12	Loss Nuveen Tradewinds	42	1,094.65	900.80	(193.85)
12/10/12	Loss Nuveen Tradewinds	18	429.46	395.16	(34.30)
12/10/12	Gain Nuveen Tradewinds	48	922.56	1,028.54	105.98
12/10/12	Gain Nuveen Tradewinds	205	3,833.48	4,415.83	582.35
12/10/12	Gain Nuveen Tradewinds	276	5,146.25	5,928.03	781.78
12/10/12	Gain on P&G	100	5,742.67	6,986.24	1,243.57
01/16/13	Gain Goldman Sachs	35,000	38,691.53	44,130.85	5,439.32
03/07/13	Gain on Celgene	100	5,277.38	10,994.03	5,716.65
03/20/13	Gain on Home Depot	100	3,472.00	6,887.24	3,415.24
03/20/13	Gain on Vanguard	72	848.71	849.84	1.13
03/20/13	Gain on Vanguard	70	832.92	834.73	1.81
03/20/13	Gain on Vanguard	73	863.66	865.54	1.88
03/20/13	Gain on Vanguard	72	845.41	851.57	6.16
03/20/13	Gain on Vanguard	70	817.07	825.82	8.75
03/20/13	Gain on Vanguard	264	3,097.23	3,135.77	38.54
03/20/13	Gain on Vanguard	23	268.26	271.60	3.34
03/20/13	Gain on Vanguard	75	871.71	889.39	17.68
03/20/13	Gain on Vanguard	74	844.84	882.48	37.64
03/20/13	Gain on Vanguard	5,084	50,791.59	60,269.48	9,477.89
04/01/13	Sale Enterrpise	35,000	37,844.75	35,000.00	(2,844.75)
04/02/13	Gain on comcast	35,000	36,722.30	42,539.40	5,817.10
04/29/13	Gain on GE	35,000	39,612.25	42,094.55	2,482.30
05/02/13	Sale Amex	35,000	37,925.95	35,000.00	(2,925.95)
05/08/13	Gain JP Morgan Chase	2,000	49,660.00	50,000.00	340.00
09/06/13	Gain Verizon Wireless	35,000	36,833.60	38,509.15	1,675.55
09/11/13	Gain on US Treas	35,000	34,457.59	34,488.59	31.00
09/15/13	Sale Apache	40,000	44,937.00	40,000.00	(4,937.00)
TOTAL GAIN/(LOSS)			541,710.51	536,047.12	(5,663.39)

THE WASSERSTROM FOUNDATION
FORM 990-PF 9-30-2013

STATEMENT #1

Page1-Part1

Line 1: CONTRIBUTIONS, GIFTS, ETC. RECEIVED

A)	AMTEKCO INDUSTRIES 1675 S. HIGH STREET COLUMBUS, OHIO 43207 RECEIVED December 2011	\$ 125,000.00
B)	THE WASSERSTROM COMPANY 477 S. FRONT STREET COLUMBUS, OH 43215 Received December 2011	\$ 93,089.00
C)	BRUCE WASSERSTROM 1675 S. HIGH STREET COLUMBUS, OH 43207 RECEIVED DECEMBER , 2011	\$ 700.00
E)	N WASSERSTROM & SONS 2300 LOCKBOURNE ROAD COLUMBUS, OH 43207 RECEIVED December 2011	\$ 125,000.00
F)	JAMES WASSERSTROM 2300 LOCKBOURNE ROAD COLUMBUS, OH 43207 RECEIVED DECEMBER 2011	\$ 250.00
G)	ERIC WASSERSTROM 2300 LOCKBOURNE ROAD COLUMBUS, OHIO 43207	\$ -
H)	QUADRA-TECH 864 JENKINS AVE. COLUMBUS, OHIO 43207 RECEIVED December 2011	\$ 46,000.00
I)	RODNEY WASSERSTROM 386 N DREXEL AVE COLUMBUS, OHIO 43207 RECEIVED, December 2011	\$ 6,000 00
J)	ALAN WASSERSTROM 2300 LOCKBOURNE ROAD COLUMBUS, OH 43207 RECEIVED March 2012	\$ 2,500 00

TOTAL

\$ 398,539.00