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SCANNED

Form **990-PF**

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

OMB No 1545-0052

Department of the Treasury Note The foundation may be able to use a copy of this return to satisfy state reporting requirements. 2013 For calendar year 2012 or tax year beginning 2012 NOV 30, DEC 1. , and ending A Employer identification number Name of foundation 13-7178822 DAVID AND ANDREA BAUM FAMILY FOUNDATION Number and street (or P O box number if mail is not delivered to street address) B Telephone number 60 WOODCREST AVENUE 973-564-5060 City or town, state, and ZIP code C If exemption application is pending, check here SHORT HILLS, NJ 07078 Initial return Initial return of a former public charity D 1 Foreign organizations, check here G Check all that apply: Final return Amended return 2 Foreign organizations meeting the 85% test check here and attach computation Address change Name change X Section 501(c)(3) exempt private foundation Check type of organization; E If private foundation status was terminated Section 4947(a)(1) nonexempt charitable trust _____ Other taxable private foundation under section 507(b)(1)(A), check here I Fair market value of all assets at end of year | J | Accounting method: Accrual F If the foundation is in a 60-month termination Other (specify) under section 507(b)(1)(B), check here (from Part II, col (c), line 16) 2,363,507. (Part I, column (d) must be on cash basis.) ▶\$ Part I | Analysis of Revenue and Expenses (d) Disbursements (a) Revenue and (b) Net investment (c) Adjusted net (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a)) for charitable purposes (cash basis only) expenses per books income ıncome N/A Contributions, gifts, grants, etc., received 2 Check X if the foundation is not required to attach Sch. B Interest on savings and temporary cash investments 46,914 STATEMENT 46,914. Dividends and interest from securities 5a Gross rents b Net rental income or (loss) 96,437. 6a Net gain or (loss) from sale of assets not on line 10 b Gross sales price for all assets on line 6a 518,031. 96,437 7 Capital gain net income (from Part IV, line 2) 8 Net short-term capital gain Income modifications 10a Gross sales less returns and allowances b Less Cost of goods sold c Gross profit or (loss) 358 358 STATEMENT 11 Other income 709 151 709 Total Add lines 1 through 11 0. Ο. Ο. Compensation of officers, directors, trustees, etc. Other employee salaries and wages Pension plans amproved be paids 15 16a Legal fees 3 4,400 4,400. 0. b Accounting fees c Other Bofession diffeed 4 2014 17 Interest 13. 13. 0. OGDEN 19 Depreciation 21 Travel, conferences, and meetings 22 Printing and publications 12,237 12.237. 0. 23 Other expenses STMT 5 24 Total operating and administrative 16,650. 16,650 expenses Add lines 13 through 23 25 Contributions, gifts, grants paid 176,648 176,648, 26 Total expenses and disbursements 16,650 176,648. 193,298 Add lines 24 and 25 27 Subtract line 26 from line 12: -41,589 a Excess of revenue over expenses and disbursements 135,059. b Net investment income (if negative enter -0-) N/A c Adjusted net income (if negative, enter -0-)

| Cash - non-interest-beams | ŀΡ | art | Balance Sheets Addition Schools and amounts in the description column should be for end-of-year amounts only | Degining of year | EIIU OI | | | |
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| 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) 2 Enter amount from Part I, line 27a 3 Other increases not included in line 2 (itemize) ▶ 4 Add lines 1, 2, and 3 5 Decreases not included in line 2 (itemize) ▶ SEE STATEMENT 6 1 2, 356, 685. 2 -41, 589. 3 0. 4 2, 315, 096. 5 181, 462. | | | | | | | | |
| (must agree with end-of-year figure reported on prior year's return) 1 2,356,685. 2 Enter amount from Part I, line 27a 2 -41,589. 3 Other increases not included in line 2 (itemize) 3 0. 4 Add lines 1, 2, and 3 4 2,315,096. 5 Decreases not included in line 2 (itemize) SEE STATEMENT 5 181,462. | Щ | art | Analysis of Changes in Net Assets of Fund B | alances | | | | |
| (must agree with end-of-year figure reported on prior year's return) 1 2,356,685. 2 Enter amount from Part I, line 27a 2 -41,589. 3 Other increases not included in line 2 (itemize) 3 0. 4 Add lines 1, 2, and 3 4 2,315,096. 5 Decreases not included in line 2 (itemize) SEE STATEMENT 5 181,462. | 1 | Total | net assets or fund balances at beginning of year - Part II, column (a), line | 30 | | | | |
| 2 Enter amount from Part I, line 27a 3 Other increases not included in line 2 (itemize) ▶ 4 Add lines 1, 2, and 3 5 Decreases not included in line 2 (itemize) ▶ 5 SEE STATEMENT 6 2 -41,589. 3 0. 4 2,315,096. 5 181,462. | | | | | 1 | 2,356,685. | | |
| 3 Other increases not included in line 2 (itemize) ► 4 Add lines 1, 2, and 3 5 Decreases not included in line 2 (itemize) ► 5 SEE STATEMENT 6 5 181, 462. | 2 | • | | | 2 | | | |
| 4 Add lines 1, 2, and 3 5 Decreases not included in line 2 (itemize) ► SEE STATEMENT 6 4 2,315,096. 5 181,462. | | · · · · · · · · · · · · · · · · · · · | | | | | | |
| 5 Decreases not included in line 2 (itemize) ► SEE STATEMENT 6 5 181,462. | | | | | | | | |
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DAVID AND ANDREA BAUM FAMILY FOUNDATION

13-7178822

Page 2

Form **990-PF** (2012)

Form 990-PF (2012)

| _ | 2010 | 158,874. | 2,366,833. | | .067125 |
|---|---|---|-----------------------------|--------|------------|
| | 2009 | 222,263. | 1,984,692. | | .111989 |
| | 2008 | 120,934. | 1,941,360. | | .062293 |
| _ | 2007 | 182,548. | 2,881,867. | | .063344 |
| 2 | Total of line 1, column (d) | | | 2 | .377295 |
| 3 | Average distribution ratio for the 5-year bathe foundation has been in existence if les | se period - divide the total on line 2 by 5, or by th s than 5 years | e number of years | 3 | .075459 |
| 4 | Enter the net value of noncharitable-use as | sets for 2012 from Part X, line 5 | ; | 4 | 2,318,805. |
| 5 | Multiply line 4 by line 3 | | | 5 | 174,975. |
| 6 | Enter 1% of net investment income (1% o | | 6 | 1,351. | |
| 7 | Add lines 5 and 6 | | | 7 | 176,326. |
| 8 | Enter qualifying distributions from Part Xi | , line 4 | | 8 | 176,648. |
| | If line 8 is equal to or greater than line 7, o | heck the hox in Part VI, line 1b, and complete that | t part using a 1% tax rate. | | |

See the Part VI instructions.

| Part VII Excise Tax Based on Investment Income Section 4940(a), 4940(e), or 4948 - see instructions | | • • | | • | |
|--|----|--|----------|------------|------------|
| 1s Exempt operating foundations described in section 4940(c)(2), check here ▶ and enter ™AC on line 1. Date of ruining or determination letter: (statch operative) if letter if recessary-se instructions) b Diomestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ ☑ and enter 1% of Part I, line 170. 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(e)(1) trusts and saxable foundations only. Others enter -0-) 3 Add lines 1 and investment income. Subtract line 4 from line 3. If zero or less, enter -0-) 5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-) 5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-) 5 Condiding Payments. 2 2012 estimated tax payments and 2011 overpayment cedited to 2012 Exempt foreign or ganizations: a xwithheld at source 7 Tax based on a sex withheld at source 8 Tax based on a sex withheld at source 8 Tax based on a sex withheld at source 1 Tax based on a sex withheld at source 1 Tax based on a sex withheld at source 1 Tax based on a sex withheld at source 1 Tax based on a sex withheld at source 1 Tax based on a sex withheld at source 1 Tax based on a sex withheld at source 1 Tax based on a sex withheld at source 1 Tax based on a sex withheld at source 1 Tax based on a sex withheld at source 1 Tax based on a sex withheld at source 1 Tax based on a sex withheld at source 1 Tax based on a sex withheld at source 1 Tax based on a sex withheld at source 1 Tax based on a sex withheld at source 1 Tax based on a sex withheld at source 1 Tax based on a sex withheld at source 1 Tax based on a sex withheld at sex with on the total of lines 5 and 5 is more time line 3. Check here Informative sex withheld at sex with on Intervent on the sex withheld at sex withheld at sex with on Intervent of the sex withheld at sex withheld at sex withheld at sex wit | | | | | Page (|
| e All other domestic foundations enter 2% of line 27b. Exempt (region organizations enter 4% of Part, Line 12, col. (b). 2 Tax under action 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-) 3 Add lines 1 and 2 4 Subtitle 4 (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-) 5 Tax based on investment income. Subtract line 4 from line 3. If zero relass, enter -0- 5 Tax based on investment income. Subtract line 4 from line 3. If zero relass, enter -0- 5 Tax based on investment income. Subtract line 4 from line 3. If zero relass, enter -0- 6 Credis/Payments: 6 2012 estimated tax payments and 2011 overpayment credited to 2012 Exempt foreign organizations - tax withheld at Source 6 Tax pand with application for extension of time to the (Form 8868) 6 Eachery withholding erroneously withheld 7 Total credits and payments. Add lines 5 at though 6d 8 Enter any peralty for underpayment of estimated tax. Check here If Form 2220 is attached 8 Tax due If the total of lines 5 and 6 is more than line 7, enter amount overpaid 9 Tax due If the total of lines 5 and 6 is more than line 7, enter amount overpaid 10 Enter the amount of line 10 to be: Credited to 2013 estimated tax. Part of the amount overpaid 11 Enter the amount of line 10 to be: Credited to 2013 estimated tax. Part of the amount overpaid 12 Jump the tax year, did the foundation attempt to influence any nationals, state, or local legislation or did it participate or intervene in any political campaign? 12 If the answer is "Yes" to 1e or 1b, attach a detailed description of the activities 13 In the foundation file Form 1120-POL for this year? 14 Did the foundation have unrelated business gross insolition at the activities 15 In the foundation have unrelated business gross income of 51,000 or more during the year? 16 Enter the embrousement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ▶ \$ 0. 2 Has | 1a | Exempt operating foundations described in section 4940(d)(2), check here and enter "N/A" on line 1. Date of ruling or determination letter: (attach copy of letter if necessary-see instructions) | | | |
| 3 Add lines 1 and 2 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter-0-) 5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter-0- 6 Credis/Payments: 5 1,351 6 Credis/Payments 2012 estimated tax payments and 2011 overpayment credited to 2012 Exempt foreign organizations - tax withheld at source 6 Enter any penature of the production for exemption of the term to the (Form 8868) 6 Enter any penature of estimation of the term to the (Form 8868) 6 Enter any penature of estimation of the term to the (Form 8868) 6 Enter any penature of the interest of the second of the term of the form 8868) 7 Total credits and payments. Add lines 5 and 8 is more than line 7, enter amount oved 8 Tax due If the total of lines 5 and 8 is more than line 7, enter amount oved 10 Overpayment. Illine 7's more than 1 line 10 to 1 lines 5 and 8, enter the memourt overpaid 11 Enter the amount of line 10 to 10 | | All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b). | | | ^ |
| 5 Tax based on investment income. Subtract line 4 from line 3. If zero or lass, enter -0-6 Credits/Payments: a 2012 estimated tax payments and 2011 overpayment credited to 2012 b Exempt foreign organizations - tax withhold at source 1 Exp and with application for extension of time to the (Form 8868) 6 Backup withholding erroneously withhold 7 Total credits and payments, Add lines 5a through 6d 8 Enter any penalty for underpayment of estimated tax. Check here ☐ if Form 2220 is attached 9 Tax due If the total of lines 5 and 6 is more than line 7, enter amount owed 9 Tax due If the total of lines 5 and 6 is more than line 7, enter amount owed 9 Tax the If the total of lines 5 and 6 is more than line 7, enter amount owed 9 Tax the If the total of lines 5 and 6 is more than line 7, enter amount owed 9 Tax the If the total of lines 5 and 6 is more than line 7, enter amount owed 10 Tax 659. Refunded 11 Tax 659. Re | 3 | Add lines 1 and 2 | | 1,3 | 51 |
| 6 Credits/Payments: a 2012 estimated tax payments and 2011 overpayment credited to 2012 be Exempt foreign organizations - tax withheld at source c Tax paid with application for extension of time to the (Form 8868) be 1,7500, be 2, Total credits and payments. Add lines 6a through 6d c Total credits and payments. Add lines 6a through 6d c Total credits and payments. Add lines 6a through 6d c Total credits and payments. Add lines 6a through 6d c Total credits and payments. Add lines 6a through 6d c Total credits and payments. Add lines 6a through 6d c Total credits and payments. Add lines 6a through 6d c Total credits and payments. Add lines 6a through 6d c Total credits and payments. Add lines 6a through 6d c Total credits and payments. Add lines 6a through 6d c Total credits and payments. Add lines 6a through 6d c Total credits and payments. Add lines 6a through 6d c Total credits and payments. Add lines 6a through 6d c Total credits and payments. Add lines 6a through 6d c Total credits and payments. Add lines 6a through 6d c Total credits and payments. Add lines 6a through 6d c Total credits and payments. Add lines 6a through 6d c Tax due 11 through 6d c Total credits and payments. Add lines 6a through 6d c Total credits and payments. Add lines 6a through 6d c Total credits and payments. Add lines 6a through 6d c Total credits and payments. Add lines 6a through 6d c Total credits and payments. Add lines 6a through 6d c Total credits and payments. Add lines 6a through 6d c Total credits and payments. Add lines 6a through 6d c Total credits and payments. Add lines 6a through 6d c Total credits and payments. Add lines 6a through 6d c Total credits and payments. Add lines 6a through 6d c Total credits and payments. Add lines 6a through 6d c Total credits and payments. The form 1120-POL for this year? If the form 6a through 6d c Total credits and payments. Add lines 6a through 6d c Total credits and payments. Add lines 6a through 6d c Total credits and payments. Add lines 6a through 6d c Total credits and payments. | | | | 1.3 | <u>.51</u> |
| a 2012 estimated tax payments and 2011 overpayment credited to 2012 b Evempt foreign organizations - tax withheld at source Tax paid with application for extension of time to the (Form 8688) d Backup withholding erroneously withheld Total credits and payments. Add lines 56 through 6d Enter any penalty for underpayment of estimated tax. Check here ☐ if Form 2220 is attached Total credits and payments. Add lines 56 through 6d Enter any penalty for underpayment of estimated tax. Check here ☐ if Form 2220 is attached Total credits in line 7 is more than the total of lines 5 and 8, enter the amount overpaid Toverpayment, lift line 7 is more than the total of lines 5 and 8, enter the amount overpaid Toverpayment, lift line 7 is more than the total of lines 5 and 8, enter the amount overpaid Toverpayment, lift line 7 is more than 10 to be. Credited to 2013 estimated tax ► 10 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 campagn? 11 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 campagn. 12 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 campagn? 12 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 campagn. 13 During the tax year. To fa or 10, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in Form 1120-POL for this year? 14 Enter the amount (if any) or tax on political expenditures (section 4955) imposed during the year. 15 During the tax and the foundation in Form 1120-POL for this year? 16 Enter the rembursement (if any) paid by the foundation description of the activities. 17 Section 11 Section 11 Section 11 Secti | | | | <u> </u> | |
| to Tax paid with application for extension of time to file (Form 8668) d Backup withholding erroneously withheld 8 | а | 2012 estimated tax payments and 2011 overpayment credited to 2012 6a 1,720. | | | |
| d Backup withholding erroneously withheld 7 Total cridits and payments. Add lines 6a through 60 8 19 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 line 10 interest the amount overpaid 10 Tax due If the total of lines 5 and 8 is more than line 10 interest the amount overpaid 11 Enter the amount of line 10 to be. Credited to 2013 estimated tax 1 | b | | | | |
| 7 Total credits and payments. Add lines 6a through 6d 8 Enter the amount of learn of the state that we not previously been reported to the IRS? If 'Yes,' attach the detailed description of the activities 1 His fer outdation have at least \$5,000 in assets at any time during the year? If 'Yes,' attach the statement regioned provided in the state law remain in the governing instrument, or By state legislation share is registed to supplied the state of the year? If 'Yes,' carpicle Part III. col (c), and Part XVI By state legislation have at least \$5,000 in assets at any time during the year? If 'Yes,' complete Part III. col (c), and Part XVI State the sarseur is 'Yes'. To the answer is 'Yes'. To line 7, has the foundation five form in provision with the state law remain in the governing instrument. If the answer is 'Yes', carbon become subject on the instructions? If 'Yes,' carbon the statement required by General Instruction T 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, 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, or By shapuage in the governing instruction or with which it is registered (see instructions) Did the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year of each state as required by General Instruction or w | C | Tax paid with application for extension of time to file (Form 8868) 6c 1,500. | | | |
| 8 Enter any penalty for underpayment of estimated tax. Check here ☐ if Form 2220 is attached | đ | Backup withholding erroneously withheld 6d | | | |
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| 10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid 11 Enter the amount of line 10 to be: Credited to 2013 estimated tax ▶ 1, 869. Refunded ▶ 11 12 During the tax year, did the foundation altermpt to influence any national, state, or local legislation or did it participate or intervene in any political campaign? 1a During the tax year, did the foundation altermpt to influence any national, state, or local legislation or did it participate or intervene in any political campaign? 1b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for delimition)? 1b 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 onnection with the activities 1c Did the foundation flat Form 1120-PDL for this year? 2d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. ► \$ O. (2) On foundation managers. ► \$ O. (2) On foundation have a previously been reported to the IRS? 1a Did the foundation have a least So. Once the activates. On the activates of the foundation managers. ► \$ O. (2) On foundation | 8 | Enter any penalty for underpayment of estimated tax. Check here if Form 2220 is attached 8 | | | |
| 11 Enter the amount of line 10 to be: Credited to 2013 estimated tax 1 | 9 | Tax due If the total of lines 5 and 8 is more than line 7, enter amount owed | | | |
| Part VII-A Statements Regarding Activities 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 pothical campagin? b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for definition)? If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities c Did the foundation file Form 1120-PDL for this year? d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. ▶ S □ O. (2) On foundation managers. ▶ S □ O. Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ▶ S □ O. Has the foundation made any changes, not previously been reported to the IRS? If "Yes," attach a detailed description of the activities 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 Has the foundation have unrelated business gross income of \$1,000 or more during the year? If "Yes," this it filed a tax return on Form 990-T for this year? N/A b Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," this it filed a tax return on Form 990-T for this year? 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? The first of the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part III, col (c), an | 10 | | | <u>1,8</u> | |
| 1a During the lax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign? b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for definition)? If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities c Did the foundation lie Form 1120-PDL for this year? (1) On the foundation. ▶ S O. (2) On foundation managers. ▶ S O. e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ▶ S O. 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 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 4a Did the foundation have unrelated business gross income of \$1,000 or more during the year? If "Yes," attach a lax return on Form 990-T for this year? If "Yes," attach the statement required by General Instruction T A return equirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: By language in the governing instrument? Tyes," attach the equirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: By language in the governing instrument? If "Yes," complete Part II, col. (c), and Part XV 8a Enter the states to which the foundation reports or with which it is registered (see instructions) 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 by state foundation cleaning sta | | | | | 0 |
| any political campaign? b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for definition)? If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities c Did the foundation file Form 1120-POL for this year? d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. ► \$ 0. (2) On foundation managers. ► \$ 0. E Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ► \$ 0. 2 Has the foundation engaged in any activities that have not previously been reported to the IRS? If "Yes," attach a detailed description of the activities 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 4a bid the foundation have unrelated business gross income of \$1,000 or more during the year? b) If "Yes," has it filed a tax return on Form 990-T for this year? If "Yes," attach the statement required by General Instruction T 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, 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? By 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 General Instructions for Part XIV)? If "Yes," co | | | · - · | Yes | No |
| b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for definition)? If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities c Did the foundation file Form 1120-POL for this year? d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. S | 18 | · · · · · · · · · · · · · · · · · · · | 10 | | + |
| 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 © Did the foundation file Form 1120-PDL for this year? (1) On the foundation. ► \$ | | | <u> </u> | | |
| distributed by the foundation in connection with the activities c Did the foundation file Form 1120-POL for this year? d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. ► S O. (2) On foundation managers. ► S O. e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ► S O. 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 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 4a Did the foundation have unrelated business gross income of \$1,000 or more during the year? b If "Yes," attach at a tax return on Form 990-T for this year? If "Yes," attach the statement required by General Instruction T 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? 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 8a Enter the states to which the foundation furnished a copy of Form 990-PF to the Altorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Altorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Altorney General (or designate) of each state as required | D | | 10 | | |
| c Did the foundation file Form 1120-POL for this year? d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. ▶ \$ O. (2) On foundation managers. ▶ \$ O. e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ▶ \$ O. 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 3 Has the foundation made any changes, not previously reported to the IRS? If "Yes," attach a detailed description of the activities 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 4a Did the foundation have unrelated business gross income of \$1,000 or more during the year? 5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? 6 Was there a liquidation, termination, dissolution, or substantial contraction during the year? 7 Yes," attach the statement required by General Instruction T 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? 7 Did the foundation have at least \$5,000 in assets at any time during the year? 8 Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ NJ b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Altorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation 9 Is the foundation claiming status as a private operating foundation within the meani | | | | | |
| d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. ▶ \$ | _ | · | 10 | | Y |
| (1) On the foundation. ▶ \$ | | | 10 | | 1 |
| e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ▶ \$ | u | | | | |
| 2 1 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 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 4a Did the foundation have unrelated business gross income of \$1,000 or more during the year? 4b If "Yes," has it filed a tax return on Form 990-T for this year? 4c If "Yes," has it filed a tax return on Form 990-T for this year? If "Yes," attach the statement required by General Instruction T 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? 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 8a Enter the states to which the foundation reports or with which it is registered (see instructions) NJ 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 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 2 2 2 3 3 3 3 3 3 3 | е | Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation | | | |
| If "Yes," attach a detailed description of the activities 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 4a Did the foundation have unrelated business gross income of \$1,000 or more during the year? 4a Did the foundation have unrelated business gross income of \$1,000 or more during the year? 5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? 6 Was there a liquidation, termination, dissolution, or substantial contraction during the year? 6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: 8 By language in the governing instrument, or 8 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? 7 Did the foundation have at least \$5,000 in assets at any time during the year? 16 If "Yes," complete Part II, col (c), and Part XV 8a Enter the states to which the foundation reports or with which it is registered (see instructions) NJ 8b 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 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 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses | 2 | | 2 | | x |
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| 8a Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ | 7 | Did the foundation have at least \$5,000 in assets at any time during the year? | 7 | X | |
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| year 2012 or the taxable year beginning in 2012 (see instructions for Part XIV)? If "Yes," complete Part XIV 10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses 10 2 | | | 8b | X | <u> </u> |
| 10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses 10 2 | 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 | | | |
| | | | 9 | | X |
| Form 990-PF (20 ⁻ | 10 | Did any persons become substantial contributors during the tax year? if "Yes," attach a schedule listing their names and addresses | | | X |

| | 990-PF (2012) DAVID AND ANDREA BAUM FAMILY FOUNDATION 13-7178 | 822 | | Page 5 |
|----|--|--------------|------------|---------------|
| | rt VII-A Statements Regarding Activities (continued) | | | |
| 11 | At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of | | | |
| | section 512(b)(13)? If "Yes," attach schedule (see instructions) | 11 | | <u>X</u> |
| 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 | | <u>X</u> |
| 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 ▶ DAVID BAUM Telephone no. ▶ 973-56 | <u>4 - 5</u> | <u>060</u> | |
| | Located at ▶ 60 WOODCREST AVENUE SHORT HILLS, NJ ZIP+4 ▶07 | <u> 1078</u> | | |
| 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 | N | /A | |
| 16 | At any time during calendar year 2012, did the foundation have an interest in or a signature or other authority over a bank, | | Yes | No |
| | 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 | | | |
| Pa | rt 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? | | | |
| | (2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) | | | |
| | a disqualified person? | | | |
| | (3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? | | | |
| | (4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? | | | |
| | (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)? | | | |
| | (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 | | | |
| | | | | |
| | | | | |
| 9 | If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? N/A | 1b | | |
| | | 10 | | |
| | 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 | 4. | | v |
| | before the first day of the tax year beginning in 2012? | 1c | | <u>X</u> |
| 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)): | | | |
| а | 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 X No | | | |
| | If "Yes," list the years \blacktriangleright | | | |
| b | Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect | | | |
| | valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach | | | |
| | statement - see instructions.) N/A | <u>2b</u> | | |
| C | of the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. | | | |
| | D | - | | |
| 38 | Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time | 1 | | |
| | during the year? | | | |
| b | of "Yes," did it have excess business holdings in 2012 as a result of (1) any purchase by the foundation or disqualified persons after | | | |
| | May 26, 1969; (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose | | | |
| | of holdings acquired by gift or bequest; or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, | | | |
| | Form 4720, to determine if the foundation had excess business holdings in 2012.) N/A | 3b | | |
| 48 | Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? | 4a | | <u>X</u> |
| t | 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 |

| Form 999PF (2017) DAVID AND ANDREA BAIM PAMILY FOUNDATION 1.3-71.788.22 Page 6 Page 14 | • | • | | | • |
|--|--|----------------------------------|------------------|----------------------|-------------|
| So Dump the year did the foundation pay or under any amount to. | Form 990-PF (2012) DAVID AND ANDREA BAUM FA | MILY FOUNDAT | ION | 13-71788 | 22 Page 6 |
| (1) Carry on propagata, or otherwise attempt to infleence legislation (section 4955); or to carry on, directly or indirectly, any voter registration drive? (2) Influence the outcome of any sporting 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 individual for travel, study, or other similar purposes? (5) Provide 1 and purpose other than religious, charable, scientific, literary, or educational purposes, or for the prevention of cuely to children or animals? 5) If any snews "river 1504(1)-50, dud any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding desaster assistance than state of the prevention of cuely to children or animals? 6) If any snews river for outside of the direction of the snews responsibly for the grant? 7) If any snews religion and current notice regarding desaster assistance than the state assistance that she cause it maintained expenditure responsibility for the grant? 8) If any snews religion and current notice regarding desaster assistance than the state assistance in the substance of the snews religion and specific or grant? 9) If we so that the statement required by regulations section 53.4945-5(q) as of the foundation, during the year, exceive any brinds, directly or indirectly, on a personal benefit contract? 1) If we so the foundation during the year year, we premiums, directly or indirectly, on a personal benefit contract? 1) If year to the foundation during the year year, we premiums, directly or indirectly, on a personal benefit contract? 1) If year to the foundation during the year year, we receive any proceeds or have any religional striple to the state action? 1) If year to the foundation during the year year, we religionate the foundation during the year year, year year year. 1) If year to the foundation during the year ye | Part VII-B Statements Regarding Activities for Which | Form 4720 May Be | Required (contin | ued) | |
| (2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registation drave? (3) Provide a grant to an individual for travel, study, or other similar purposes? (4) Provide a grant to an individual for travel, study, or other similar purposes? (5) Provide for any purpose other than a chantable, etc., organization described in section 505(c) (1,2), or (3), or section 494(c)(2)? (6) Provide for any purpose other than a chantable, etc., organization described in section 505(c) (1,2), or (3), or section 494(c)(2)? (7) Provide for any purpose other than a chantable, etc., organization described in section 505(c) (1,2), organization section 694(c)(2). (8) Provide for any purpose other than a chantable, etc., organization described in Regulations section 535(4) for any answer of section section 614(c) (4) organization section 535(c) (4) organization section 535(c) (4) organization section 614(c) (4) organization claim exemption from the tax because it maintained expanditure esponsibility for the grant? If "Yee," attach the statement regulated by Paulustons section 53.4945-5(c) But the location, during the year, event any funds, directly or indirectly, to pay premiums on a parsonal benefit contract? If "Yee," to 60, the Form 8870 A tax in time funding the six year, as the foundation a party to a prohibited tax sheller transaction? If "Yee," to 60, the Form 8870 A tax in time funding that year, as the foundation and party to a prohibited tax sheller transaction? If "Yee," to 60, the Form 8870 A tax in time funding that year, as the foundation and party to a prohibited tax sheller transaction? If "Yee," to 60, the Form 8870 A tax in time funding the state of the funding transaction of the state of | 5a During the year did the foundation pay or incur any amount to. | | | | |
| 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 \$05(0)(1), (2), or (3), or section 494(c)(2)? (5) Provide for any purpose where than religious, charitable, etc., organization described in section \$50(0)(1), (2), or (3), or section 494(c)(2)? (6) Provide for any purpose where than religious, charitable, etc., organization described in section \$50(0)(1), (2), or (3), or section 494(c)(2)? (7) If any answer is "Yes" to \$4(1) (5) do any of the transactions fall to quality under the exceptions described in Regulations \$50(0)(1), (2), or (3), or section 494(c)(2)? (8) If any answer is "Yes" to \$4(1) (5) do any of the transactions fall to quality under the exceptions described in Regulations \$50(0)(1), (2) or (3) or section 494(c) do any of the transactions fall to quality under the exceptions described in Regulations \$50(0)(1) or (3) | (1) Carry on propaganda, or otherwise attempt to influence legislation (section | n 4945(e))? | Y6 | es X No | |
| (4) Provide a grant to an organization other than a chartable, etc., organization discribed in section SISQL(1), (2), or (3), or section 4940(c)(2)? (5) Provide for any purpose other than a chartable, etc., organization discribed in section SISQL(1), (2), or (3), or section 4940(c)(2)? (6) Provide or any purpose other than reliquous, chartable, scientific, literary, or educational purposes, or for the prevaent on furuely to children or animals? (7) It was answer is "Yes" to SqL(1)-(5), did any of the transactions fall to quality under the exeptions described in Regulations section 53.4945 or in a current notice regarding dissaler assistance like in the second of | (2) Influence the outcome of any specific public election (see section 4955); | or to carry on, directly or indi | rectly, | | |
| (4) Provide a grant to an organization other than a charitable, etc., organization described in section \$509(3)(1), (2), or (3), or section 490(0)(2)? Short of the previation of cuelly to children or animals? If any answer in Yes to \$4(1)(5), od any of the transactions fall to quality under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance dee instructions? Organizations relying on a current notice regarding disaster assistance check here If the answer is Yes' to \$4(1)(5), od any of the transactions fall to quality under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance check here If the answer is Yes' to question 54(4), does the foundation claim examption from the tax because it maintained excenditure responsibility for the grant? If Yes' attach the statement required by Regulations section 53.4945-5(d) 8a but the foundation, during the year, receive any funds, directly or indirectly, on a personal benefit contract? If Yes' 106, life Form 887. If Yes' 106, life Form 887. If Yes' 106, life Form 887. If Yes' 206, life Form 887. If Yes' 306, life Form 887. If | any voter registration drive? | | Y6 | 8 X No | } } |
| Soleal(s), (2), or (3), or section 4440(s)(2)? | (3) Provide a grant to an individual for travel, study, or other similar purposes | s? | Ye | s X No | |
| (e) Provide for any purpose other than eligious, charitable, scientific, literary, or educational purposes, or for the prevention of credity to children or animals? b If any answer is "Yes" to Set(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)? Organizations relying on a current notice regarding disaster assistance check here c If the answer is "Yes" to suestion 54(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? If "Yes," attach the statement required by Regulations section 53.4945-5(d) 6a bit the foundation, during the year, perpreniums, directly or indirectly, to pay premiums on a personal benefit contract? If "Yes To 65, the Form 8870 7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? Pert VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly List all officers, directors, trustees, foundation managers and their compensation. (a) Name and address (b) Title, and average foundation and provided seems of the polysteric difference of the polysteric di | (4) Provide a grant to an organization other than a charitable, etc., organization | on described in section | | | |
| b If any answer is "Yes" to \$a(1)-(5), did any of the trinsactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)? Organizations relying on a current notice regarding disaster assistance (see instructions)? Organizations relying on a current notice regarding disaster assistance of the fire the second of the following of the trinsactions of the following of the trinsactions? Organizations relying on a current notice regarding disaster assistance of the fire the following of | 509(a)(1), (2), or (3), or section 4940(d)(2)? | | Ye | es X No | |
| b if any answer is "Yes" to Sq(1)-(5), did any of the transactions fall to qualify under the exceptions described in Regulations section 53.494 or in a current notice regarding dessets assistance (see instructions)? Organizations relying on a current notice regarding dessets essistance check here of it the answer is "Yes" to question 54(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? If "Yes," attach the statement required by Regulations section 53.4945-5(g) 6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? If "Yes" to 65, the Form 8870 7a At any time during the tax year, was the foundation a party to a prohibited tax sheller transaction? Part VIII Part VIII Part Experiment (Contractors) 1. List all officers, directors, trustees, foundation managers and their compensation. (a) Name and address (b) Title, and average house give week devoted (fined paid, entire "a). TRUSTEE O. 0. 0. 0. 0. 0. 0. 0. 0. 0. 0. 0. 0. 0. | (5) Provide for any purpose other than religious, charitable, scientific, literary | , or educational purposes, or | for | 1 | |
| section \$3.4945 or an acurrent notice regarding disaster assistance (see instructions)? Organizations relying on a current notice regarding disaster assistance check here of if the answer is Yes' to question \$44, does the foundation daim examption from the tax because it maintained expenditure responsibility for the grant? If Yes' tractach the statement recurred by Regulations section \$3.4945-5(d)\$ 5a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? 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? 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? If Yes' to 6b, file Form 8870 1 List all officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors 1 List all officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors 1 List all officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors TRUSTEE 60 WOODCREST AVENUE SHORT HILLS, NJ 07078 0.00 0.00 TRUSTEE 60 WOODCREST AVENUE SHORT HILLS, NJ 07078 0.00 | the prevention of cruelty to children or animals? | | Y6 | s X No | |
| Cryanizations relying on a current notice regarding dissater assistance check here c If the answer is "Yes" to question 54(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? If "Yes," attach the statement required by Pregulations section 53.4945-5(d) 50 Did the foundation, during the year, receive any funds, directly or indirectly, on a personal benefit contract? b Dis the foundation during the year, reave any funds, directly or indirectly, on a personal benefit contract? If "Yes," ob, five Form 8870 7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors 1. List all officers, directors, trustees, foundation managers and their compensation. (a) Name and address (b) Tille, and average hours per week developed (c) Compensation (H) Total paid, enter -0.) DAVID BAUM TRUSTEE 6. WOODCREST AVENUE SHORT HILLS, NJ 07078 0.00 0.00 0.00. Compensation of five highest-paid employees (other than those included on line 1). If none, enter "NONE." (c) Compensation (d) Compensation of five highest-paid employees (other than those included on line 1). If none, enter "NONE." (e) Expense account, other divided on the province of the province of the position of the position of the highest-paid employee paid more than \$50,000 (b) Tille, and average hours per week divided to position of the position of the highest-paid employee paid more than \$50,000 (c) Compensation (a) Name and address of each employee paid more than \$50,000 (b) Tille, and average hours per week divided to position of the position of the position of the highest-paid employee paid more than \$50,000 (c) Compensation (c) Compensation (c) Compensation (d) Compensation (e) Compensation (d) Compensation (e) Compensation (e) Compensation (f) Tille, and average hours per week divided to position of the paid of t | b If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify un | der the exceptions described | ın Regulations | | |
| 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? If "Yes," that the statement required by Regulations section 53.4945-5(d) So Did the foundation, during the year, reserve any funds, directly or indirectly, to pay premiums on a personal benefit contract? Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? A laring time during the tax year, was the foundation a party to a prohibited tax shelter transaction? Yes | section 53.4945 or in a current notice regarding disaster assistance (see instri | uctions)? | | N/A | 5b |
| expenditure responsibility for the grant? If 'Yes," attach the statement required by Regulations section 53.4945-5(d) 8 Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? If 'Yes' to 66, the Form 8870 7a At any time during the lax year, was the foundation a party to a prohibited tax shelter transaction? If 'Yes' to 66, the Form 8870 7a At any time during the lax year, was the foundation a party to a prohibited tax shelter transaction? If 'Yes' to 66, the Form 8870 7a At any time during the lax year, was the foundation aparty to a prohibited tax shelter transaction? If 'Yes' to 66, the Form 8870 7a At any time during the lax year, was the foundation aparty to a prohibited tax shelter transaction? If 'Yes' X No If 'Yes' | Organizations relying on a current notice regarding disaster assistance check | here | | | |
| Ba Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? If "Yes" to 66, file Form 8370 The At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? If "Yes" to 66, file Form 8370 The At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? If "Yes" to 66, file Form 8370 If "Yes" to 66, file Form 8370 If "Yes" to 67, file Form 8370 If "Yes" to 69, file For | c If the answer is "Yes" to question 5a(4), does the foundation claim exemption | from the tax because it mainta | ained | | |
| 6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? # Yes | expenditure responsibility for the grant? | 1 | N/A 🔲 Ye | es 🔲 No | |
| a personal benefit contract? b Dot the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? b Tyes To be fine Form 8870 7a At any time during the tax year, was the foundation a party to a prohibited tax sheller transaction? b If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction? Part VIIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors 1 List all officers, directors, trustees, foundation managers and their compensation. (a) Name and address (b) Title, and average included on the position TRUSTEE 1 Avenue 2 Compensation of five highest-paid employees (other than those included on line 1). If none, enter "NONE." (a) Name and address of each employee paid more than \$50,000 NONE 2 Compensation of five highest-paid employees (other than those included on line 1). If none, enter "NONE." (b) Title, and average hours give week devoted to position (c) Compensation (d) Compensation (e) Expense (e) Expense (f) Title, and average hours give week devoted to position (e) Compensation (f) Compensation (g) Name and address of each employee paid more than \$50,000 (h) Title, and average hours give week devoted to position (h) Title, and average hours give week devoted to position (e) Compensation (f) Compensation (g) Compensat | If "Yes," attach the statement required by Regulations section 53.494 | 15-5(d) | | ļ | |
| b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? If 'Yes' to 6b, the Form 8870 TA At any time during the late year, was the foundation a party to a prohibited tax shelter transaction? If I'Yes' to 6b, the Form 8870 TA At any time during the late year, was the foundation a party to a prohibited tax shelter transaction? If any time during the late year, was the foundation aparty to a prohibited tax shelter transaction? If any time information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors List all officers, directors, trustees, foundation managers and their compensation (I't not paid, enter 0') If the paid in the paid is party to the paid in the paid i | 6a Did the foundation, during the year, receive any funds, directly or indirectly, to | pay premiums on | | | |
| If "Yes" to 6b, file Form 8870 Ta At any time during the tax year, was the foundation a party to a prohibited tax sheller transaction? Yes X No No The tax of the foundation receive any proceeds or have any net income attributable to the transaction? No To | a personal benefit contract? | | Y6 | es X No | |
| 7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? b If Yes," did the foundation receive any proceeds or have any net income attributable to the transaction? Part VIII Part VIII Paid Employees, and Contractors 1 List all officers, directors, trustees, foundation managers and their compensation. (a) Name and address (a) Name and address (b) Title, and average hours per weak devoted (or position of the highest-paid employees (other than those included on line 1). If none, enter "NONE." 1 List all officers, directors, trustees, foundation managers and their compensation. (b) Title, and average hours per weak devoted (or position of the highest-paid employees (other than those included on line 1). If none, enter "NONE." 2 Compensation of five highest-paid employees (other than those included on line 1). If none, enter "NONE." (a) Name and address of each employee paid more than \$50,000 (b) Title, and average hours per weak devoted to position or stream of the property per paid address allowances. NONE | b Did the foundation, during the year, pay premiums, directly or indirectly, on a | personal benefit contract? | | | 6b X |
| b Yes, did the foundation receive any proceeds or have any net income attributable to the transaction? N/A 7b | If "Yes" to 6b, file Form 8870 | | | Γ | |
| DAVID BAUM | 7a At any time during the tax year, was the foundation a party to a prohibited tax | shelter transaction? | Ye | s X No | |
| 1 List all officers, directors, trustees, foundation managers and their compensation. (a) Name and address (a) Name and address (a) Name and address (b) Title, and average hours per week devoted to position (f) not paid, enter -0-) (f) Title, and average hours per week devoted to position (f) Truste Truste Truste 1 Compensation (f) Compensa | b If "Yes," did the foundation receive any proceeds or have any net income attrib | utable to the transaction? | _ | N/A | 7b |
| (a) Name and address (b) Tille, and average hours per week devoted to position (c) Compensation (d) Consulting to per seek devoted to position (d) Consulting to per seek devoted to position (e) (not paid, eight seek to per seek devoted to position (e) (in to paid, eight seek to per seek devoted to position (e) (in to paid, eight seek to per seek devoted to position (e) Compensation (e) Compensa | Part VIII Information About Officers, Directors, Trust Paid Employees, and Contractors | tees, Foundation Ma | anagers, Highly | У | · — · · · · |
| DAVID BAUM 60 WOODCREST AVENUE SHORT HILLS, NJ 07078 0.00 TRUSTEE 60 WOODCREST AVENUE SHORT HILLS, NJ 07078 0.00 | 1 List all officers, directors, trustees, foundation managers and their | compensation. | | | |
| DAVID BAUM 60 WOODCREST AVENUE SHORT HILLS, NJ 07078 0.00 TRUSTEE 60 WOODCREST AVENUE SHORT HILLS, NJ 07078 0.00 | | (b) Title, and average | | (d) Contributions to | (e) Expense |
| DAVID BAUM 60 WOODCREST AVENUE SHORT HILLS, NJ 07078 TRUSTEE 0.00 0.00 0.00 0.00 0.00 0.00 0.00 | (a) Name and address | | | and deferred | |
| 60 WOODCREST AVENUE SHORT HILLS, NJ 07078 TRUSTEE 60 WOODCREST AVENUE SHORT HILLS, NJ 07078 0.00 0.0. 0.0. 0.0. 0.0. 0.0. 0. | DAVID BAUM | | | | |
| SHORT HILLS, NJ 07078 ANDREA TERZI BAUM 60 WOODCREST AVENUE SHORT HILLS, NJ 07078 0.00 | ····· | | | | |
| ANDREA TERZI BAUM 60 WOODCREST AVENUE SHORT HILLS, NJ 07078 2 Compensation of five highest-paid employees (other than those included on line 1). If none, enter "NONE." (a) Name and address of each employee paid more than \$50,000 (b) Title, and average hours per week devoted to position NONE (c) Compensation (d) Contributions to employee breist plans ad cleared devoted to position (e) Expense account, other allowances | | 0.00 | 0. | 0. | 0. |
| SHORT HILLS, NJ 07078 2 Compensation of five highest-paid employees (other than those included on line 1). If none, enter "NONE." (a) Name and address of each employee paid more than \$50,000 NONE (b) Title, and average hours per week devoted to position (c) Compensation (d) Contributions to employee benefit plans account, other allowances. | | | | | |
| 2 Compensation of five highest-paid employees (other than those included on line 1). If none, enter "NONE." (a) Name and address of each employee paid more than \$50,000 NONE (b) Title, and average hours per week devoted to position NONE (c) Compensation (d) Combultions to employee band more than \$50,000 (e) Expense account, other allowances | | 1 | | | |
| 2 Compensation of five highest-paid employees (other than those included on line 1). If none, enter "NONE." (a) Name and address of each employee paid more than \$50,000 (b) Title, and average hours per week devoted to position NONE (c) Compensation (d) Combututes to compensation and detered compensation (e) Expense account, other allowances | | 0.00 | 0. | 0. | 0. |
| (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 addressed compensation (e) Expense account, other allowances | DIGIT HIDDO NO 07070 | | | | |
| (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 addressed compensation (e) Expense account, other allowances | | - | | | |
| (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 addressed compensation (e) Expense account, other allowances | | † | | | |
| (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 addressed compensation (e) Expense account, other allowances | | | - | | |
| (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 addressed compensation (e) Expense account, other allowances | | | | | |
| (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 period deterring and deterring and deterring and deterring allowances NONE | | 1 | | | |
| (a) Name and address of each employee paid more than \$50,000 NONE (b) Hours per week devoted to position (c) Compensation (c) Compensation (c) Compensation (c) Compensation (d) Compensation (e) Compensation (f) Compensation (c) Compensation (d) Compensation (e) Compensation (f) Compensation (f) Compensation (g) Compensation (hours per week devoted to position (g) Compensation (hours per week devoted to position (g) Compensation (hours per week devoted to position (hours per week devoted to position) | 2 Compensation of five highest-paid employees (other than those in | cluded on line 1). If none | , enter "NONE." | L | |
| NONE Compensation and deferred and deferred and deferred compensation and deferred allowances Compensation and deferred allowances Compensation and deferred allowances Compensation Compensation and deferred compensation and deferred compensation Compe | | (b) Title, and average | | (d) Contributions to | (e) Expense |
| NONE | (a) Name and address of each employee paid more than \$50,000 | hours per week | (c) Compensation | and deferred | |
| | NONE | devoted to position | | compensation | anowanoso |
| Total number of other employees paid over \$50,000 | | 1 | | | |
| Total number of other employees paid over \$50,000 | | | | | - |
| Total number of other employees paid over \$50,000 | | † | | | } |
| Total number of other employees paid over \$50,000 | | | | | - |
| Total number of other employees paid over \$50,000 | | † | | | |
| Total number of other employees paid over \$50,000 | | | | | |
| Total number of other employees paid over \$50,000 ▶ 0 | | 1 | | | |
| Total number of other employees paid over \$50,000 ▶ 0 | | | 1 | | |
| Total number of other employees paid over \$50,000 | | 1 | | | |
| | Total number of other employees paid over \$50,000 | -1 | | <u> </u> | 0 |

Form **990-PF** (2012)

| | <u>3 - 7 I 78</u> | 822 Page 7 |
|--|-------------------|------------------|
| Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors (continued) | | |
| 3 Five highest-paid independent contractors for professional services. If none, enter "NONE." | | |
| (a) Name and address of each person paid more than \$50,000 (b) Type of service | | (c) Compensation |
| NONE | | |
| | | <u>_</u> |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |
| Total number of others receiving over \$50,000 for professional services | | 0 |
| Part IX-A Summary of Direct Charitable Activities | | |
| List the foundation's four largest direct charitable activities during the tax year. Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc. | | Expenses |
| 1 PLEASE NOTE, THE FOUNDATION IS NOT INVOLVED IN ANY DIRECT | - | |
| CHARITABLE ACTIVITIES. ITS PRIMARY PURPOSE IS TO SUPPORT, BY | 7 | |
| CONTRIBUTIONS, OTHER ORGANIZATIONS EXEMPT UNDER INTERNAL | | |
| 2 REVENUE CODE SECTION 501(C)(3). | | |
| | | • |
| | - | 0. |
| 3 | - | |
| | | |
| 4 | | |
| | | |
| | | |
| Part IX-B Summary of Program-Related Investments Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2 | | Amount |
| | - | Amount |
| 1 <u>N/A</u> | | |
| | _ | |
| 2 | | |
| | \Box | |
| | | |
| All other program-related investments. See instructions. | | |
| 3 | \dashv | |
| | - | |
| Total. Add lines 1 through 3 | - | 0. |

0 . Form **990-PF** (2012)

Page 8

Minimum Investment Return (All domestic foundations must complete this part. Foreign foundations, see instructions) Part X Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes: 1 2,227,058. a Average monthly fair market value of securities 1a b Average of monthly cash balances 1b 127,059. c Fair market value of all other assets 1c 2,354,117. d Total (add lines 1a, b, and c) 1d e Reduction claimed for blockage or other factors reported on lines 1a and 0. 1c (attach detailed explanation) 1e Acquisition indebtedness applicable to line 1 assets 3 354 Subtract line 2 from line 1d 3 Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions) 35,312. 4 2,318,805. Net value of noncharitable-use assets Subtract line 4 from line 3. Enter here and on Part V, line 4 5 Minimum investment return. Enter 5% of line 5 115.940. 6 Distributable Amount (see instructions) (Section 4942(j)(3) and (j)(5) private operating foundations and certain Part XI foreign organizations check here and do not complete this part.) 115,940. Minimum investment return from Part X, line 6 1 1,351 Tax on investment income for 2012 from Part VI, line 5 Income tax for 2012. (This does not include the tax from Part VI.) 2b 2c c Add lines 2a and 2b Distributable amount before adjustments. Subtract line 2c from line 1 3 3 4 Recoveries of amounts treated as qualifying distributions 5 589. 5 Add lines 3 and 4 Deduction from distributable amount (see instructions) 6 n. 6 589. Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1 Part XII Qualifying Distributions (see instructions) Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes: 176,648. a Expenses, contributions, gifts, etc. - total from Part I, column (d), line 26 1a b Program-related investments - total from Part IX-B 1b Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes 2 2 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 176,648. Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4 4 4 Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment 5 income. Enter 1% of Part I, line 27b 6 Adjusted qualifying distributions. Subtract line 5 from line 4 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

Form **990-PF** (2012)

4940(e) reduction of tax in those years.

Page 9

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 | | | | 114,589. |
| 2 Undistributed income, if any, as of the end of 2012 | | | | |
| a Enter amount for 2011 only | | | 0. | |
| b Total for prior years. | | | | |
| | | 0. | | |
| 3 Excess distributions carryover, if any, to 2012: | | | | |
| a From 2007 38, 455. | | | | |
| b From 2008 24,488. | | | | |
| c From 2009 123, 200. | | | | |
| d From 2010 45,752. | | | | |
| e From 2011 58,092. | 200 007 | | | |
| f Total of lines 3a through e | 289,987. | | | |
| 4 Qualifying distributions for 2012 from | | | | |
| Part XII, line 4: ► \$ 176,648. | | | 0. | |
| a Applied to 2011, but not more than line 2a | | | U • | |
| b Applied to undistributed income of prior | | 0. | | |
| years (Election required - see instructions) | | 0. | | |
| c Treated as distributions out of corpus | 0. | | | |
| (Election required - see instructions) d Applied to 2012 distributable amount | | | | 114,589. |
| e Remaining amount distributed out of corpus | 62,059. | | | 111,300. |
| 5 Excess distributions carryover applied to 2012 | 0. | | | 0. |
| (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: | | | | |
| 8 Corpus Add lines 3f, 4c, and 4e Subtract line 5 | 352,046. | | | |
| b Prior years' undistributed income. Subtract | | _ | | |
| line 4b from line 2b | | 0. | | |
| c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously | | | | |
| assessed | | 0. | | |
| d Subtract line 6c from line 6b. Taxable | | | | |
| amount - see instructions | | 0. | | |
| e Undistributed income for 2011. Subtract line | | | | |
| 4a from line 2a. Taxable amount - see instr. | | | 0. | |
| f Undistributed income for 2012. Subtract | | | | |
| lines 4d and 5 from line 1. This amount must be distributed in 2013 | | | | 0. |
| 7 Amounts treated as distributions out of | · · | | | <u> </u> |
| corpus to satisfy requirements imposed by | | | | |
| section 170(b)(1)(F) or 4942(g)(3) | 0. | | | |
| 8 Excess distributions carryover from 2007 | | | | |
| not applied on line 5 or line 7 | 38,455. | | | |
| 9 Excess distributions carryover to 2013 | 30,1331 | | | |
| Subtract lines 7 and 8 from line 6a | 313,591. | | | |
| 10 Analysis of line 9: | 3 437 2 3 3 | | | |
| a Excess from 2008 24,488. | | | | |
| b Excess from 2009 123, 200. | | | | |
| c Excess from 2010 45,752. | | | | |
| d Excess from 2011 58,092. | | | | |
| e Excess from 2012 62,059. | · | | | |
| | | | | Form 990-PF (2012) |

| | AND ANDREA E | | | | 78822 Page 10 |
|--|-----------------------------|-----------------------------|-----------------------------|-----------------------------|---------------------------------------|
| Part XIV Private Operating I | Foundations (see in | structions and Part VI | I-A, question 9) | N/A | |
| 1 a If the foundation has received a ruling | or determination letter tha | t it is a private operating | | | |
| foundation, and the ruling is effective f | or 2012, enter the date of | the ruling | ▶ | | |
| b Check box to indicate whether the four | | ng foundation described | | 4942(j)(3) or 49 |)42(j)(5) |
| 2 a Enter the lesser of the adjusted net | Tax year | ", 2011 | Prior 3 years | 1 (1) 2000 | |
| income from Part I or the minimum | (a) 2012 | (b) 2011 | (c) 2010 | (d) 2009 | (e) Total |
| investment return from Part X for | | | | | |
| each year listed | | <u> </u> | | | |
| b 85% of line 2a | | ļ <u> </u> | | ļ | |
| 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 | | | | <u> </u> | |
| e Qualifying distributions made directly | | | | | |
| for active conduct of exempt activities. | | | | | |
| Subtract line 2d from line 2c 3 Complete 3a, b, or c for the | | | | | |
| alternative test relied upon. | | | | | |
| a "Assets" alternative test - enter. | | | | | |
| (1) Value of all assets | | | | | |
| (2) Value of assets qualifying under section 4942(j)(3)(B)(i) | | | | | |
| b "Endowment" alternative test - enter | | | , | | |
| 2/3 of minimum investment return shown in Part X, line 6 for each year | | | | | |
| listed | | | | ļ | |
| c "Support" alternative test - enter; | | | | | |
| (1) Total support other than gross | | | | | |
| investment income (interest, dividends, rents, payments on | | | | | |
| securities loans (section | | | | | |
| 512(a)(5)), or royalties) | | | | | |
| (2) Support from general public and 5 or more exempt | | | | | |
| organizations as provided in | | | | | |
| section 4942(j)(3)(B)(III) | | | | | |
| (3) Largest amount of support from | | | | | |
| an exempt organization | | | - | | |
| (4) Gross investment income | ownstion (Comple | to this part only | if the foundation | had \$5 000 or m | ore in essets |
| Part XV Supplementary Inf at any time during | | | ii the foundation | i nau \$5,000 or ini | ore in assets |
| | | i dottoris.; | | | · · · · · · · · · · · · · · · · · · · |
| 1 Information Regarding Foundation | | than 20/ of the total con | tributions recoved by the | foundation before the clo | ca of any tay |
| a List any managers of the foundation w year (but only if they have contributed | | | andulions received by the | rioundation before the clo | Se of any tax |
| DAVID BAUM | | | - | | |
| b List any managers of the foundation w other entity) of which the foundation h | | | (or an equally large porti | on of the ownership of a p | artnership or |
| NONE | | | | | |
| 2 Information Regarding Contribu | ition, Grant, Gift, Loan | , Scholarship, etc., P | rograms: | | |
| Check here 🕨 🗓 if the foundation | | | | | |
| the foundation makes gifts, grants, etc | | | | omplete items 2a, b, c, and | <u> </u> |
| a The name, address, and telephone nu | mber or e-mail of the persi | on to whom applications | should be addressed: | | |
| SEE STATEMENT 8 | | | | | |
| b The form in which applications should | be submitted and informa | ition and materials they s | hould include: | | |
| c Any submission deadlines: | | | · —— | | |
| d Any restrictions or limitations on awar | ds, such as by geographic | al areas, charitable fields | , kınds of institutions, or | other factors: | - |
| | - <u>-</u> - | | <u></u> | | |

Supplementary Information (continued) Part XV 3 Grants and Contributions Paid During the Year or Approved for Future Payment If recipient is an individual, Recipient Foundation Purpose of grant or show any relationship to Amount status of contribution any foundation manager Name and address (home or business) recipient or substantial contributor a Paid during the year public charity social services NONE AMERICAN JEWISH COMMITTEE 1,800. PUBLIC CHARITY MEDICAL BACHMAN STRAUSS DYSTONIA & PARKINSON NONE 250. FOUNDATION PUBLIC CHARITY COMMUNITY SERVICES BOATHOUSE FOUNDATION NONE 600, BRADY CENTER FOR GUN VIOLENCE NONE PUBLIC CHARITY SOCIAL SERVICES 1,000. BROWN RISD HILLEL NONE PUBLIC CHARITY RELIGIOUS 1,000. SEE CONTINUATION SHEET(S) ► <u>3a</u> Total 176 648. **b** Approved for future payment NONE **▶** 3b Total

Form 990-PF (2012) DAVID AND ANDREA BAUM FAMILY FOUNDATION 13-7178822 Page 12

| Enter gross amounts unless otherwise ind | cated. Unrelated b | usiness income | | d by section 512, 513, or 514 | (e) |
|--|--|-----------------|--|---------------------------------------|-----------------------------------|
| Program service revenue: | (a) Business code | (b) Amount | (C) Exclu- sion code | (d) Amount | Related or exempt function income |
| a | | | | | |
| b | | | | | |
| c | | | | | |
| d | | | | | |
| e | | | | | |
| f | | | | | |
| g Fees and contracts from government | nt agencies | | - | | |
| 2 Membership dues and assessments | | | | | |
| 3 Interest on savings and temporary cash investments | h | | | | |
| 4 Dividends and interest from securities | 523000 | 46,914. | | | |
| 5 Net rental income or (loss) from real es | state | | | | |
| a Debt-financed property | | | \perp | | |
| b Not debt-financed property | | | | | <u> </u> |
| 6 Net rental income or (loss) from person | nal | | | | |
| property | | | | | |
| 7 Other investment income | 523000 | 8,358. | | | |
| 8 Gain or (loss) from sales of assets other | | 06.405 | | | |
| than inventory | 523000 | 96,437. | + | | |
| 9 Net income or (loss) from special even | | | | | |
| 10 Gross profit or (loss) from sales of inve | entory | | | | |
| 11 Other revenue: | | | | | |
| a | | | | | |
| b | | | | | |
| c | | | | | |
| de | | . | | | |
| 12 Subtotal Add columns (b), (d), and (e) |) | 151,709. | | 0. | 0 |
| 13 Total Add line 12, columns (b), (d), ar | | | | 13 | 151,709 |
| (See worksheet in line 13 instructions to v | | | | | |
| | of Activities to the Accom | plishment of Ex | xempt | Purposes | |
| | ctivity for which income is reported in courses (other than by providing funds | | A contribut | ed importantly to the accom | plishment of |
| | COME WAS CONTRIBUT | | ЭТТТ | S LISTED WHIC | TH TS THE |
| 4 PURPOSE OF THE | | <u>no cina</u> | <u> </u> | D DIDI DD WIII | |
| 4 PURPOSE OF THE | 3 TOOMDITTON! | | | | |
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DAVID AND ANDREA BAUM FAMILY FOUNDATION Form 990-PF (2012) 13-7178822 Page 13 Information Regarding Transfers To and Transactions and Relationships With Noncharitable Part XVII **Exempt Organizations** Yes No 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 X 1a(1) (1) Cash 1a(2) (2) Other assets **b** Other transactions 1b(1) (1) Sales of assets to a noncharitable exempt organization (2) Purchases of assets from a noncharitable exempt organization 1b(2) 1b(3) (3) Rental of facilities, equipment, or other assets 1b(4) (4) Reimbursement arrangements 1b(5) (5) Loans or loan guarantees (6) Performance of services or membership or fundraising solicitations 1b(6) c Sharing of facilities, equipment, mailing lists, other assets, or paid employees 10 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 (c) Name of noncharitable exempt organization (a) ⊔ne no (b) Amount involved (d) Description of transfers, transactions, and sharing arrangements N/A 2a Is the foundation directly or indirectly affiliated with, or related to, one or more tax-exempt organizations described X No in section 501(c) of the Code (other than section 501(c)(3)) or in section 527? ___ Yes b If "Yes," complete the following schedule (b) Type of organization (c) Description of relationship (a) Name of organization N/A examined this return, including accompanying schedules and statements, and to the best of my knowledge return with the preparer shown below (see instr.)? Sign Here X Yes Signature of officer or trustee Ťitle Date Check PTIN Print/Type preparer's name Preparer's signature Date self- employed

05/06/14

JTINE AND CO

(212) 826-5050 Form 990-PF (2012)

P01072583

Firm's EIN ► 13-3737887

Phone no

Paid

Preparer

Use Only

PERRY TREBATCH

Firm's name ► TREBATCH LICHTENSTEIN

NEW YORK,

Firm's address ▶ 950 THIRD AVENUE 4TH FL

NY 10022

| DAVID | AND | ANDREA | BAUM | FAMILY | FOUNDATION | 13-7178 | 3822 |
|-------|-----|--------|------|---------------|------------|---------|------|
| | | | | | | | |

| Part XV Supplementary Information | ND ANDREA BAUM n | TAMILI FOU | INDATION 13-7 | 178822 |
|--|--|----------------------|----------------------------------|---------|
| 3 Grants and Contributions Paid During the | Year (Continuation) | | | |
| Recipient Name and address (home or business) | If recipient is an individual, show any relationship to any foundation manager or substantial contributor | Foundation status of | Purpose of grant or contribution | Amount |
| | or substantial contributor | recipient | | |
| BROWN UNIVERSITY | NONE | PUBLIC CHARITY | EDUCATION | 100,000 |
| DANA FARBER CANCER INSTITUTE | NONE | PUBLIC CHARITY | MEDICAL | 250 |
| EIES | NONE | PUBLIC CHARITY | MEDICAL | 100 |
| FRIENDSHIP CIRCLE | NONE | PUBLIC CHARITY | MEDICAL | 2,500 |
| GLOBAL LITERACY PROJECT | NONE | PUBLIC CHARITY | SOCIAL SERVICES | 250 |
| HARVARD BUSINESS SCHOOL | NONE | PUBLIC CHARITY | EDUCATION | 10,000 |
| LUSTGARTEN FOUNDATION | NONE | PUBLIC CHARITY | MEDICAL | 100 |
| MARTHA'S VINEYARD SUMMER INSTITUTE | NONE | PUBLIC CHARITY | EDUCATION | 1,000 |
| MILBURN SHORT HILLS VOLUNTEER FIRST AID SQUAD | NONE | PUBLIC CHARITY | MEDICAL | 500 |
| OKOA MTOTO INITIATIVE | NONE | PUBLIC CHARITY | SOCIAL SERVICES | 100 |
| Total from continuation sheets | | | | 171_998 |

| DAVID ANI | ANDREA : | <u>BAUM</u> | FAMILY | FOUNDATION | <u> 13-7178822</u> |
|-----------|----------|-------------|--------|------------|--------------------|
| | | | | | |

| Part XV Supplementary Information | <u>n</u> | | | |
|--|---|----------------------|----------------------------------|---------|
| 3 Grants and Contributions Paid During the | | | , | |
| Recipient | If recipient is an individual, show any relationship to | Foundation status of | Purpose of grant or contribution | Amount |
| Name and address (home or business) | any foundation manager or substantial contributor | recipient | 00//// | |
| | | | | |
| OVERLOOK FOUNDATION | NONE | PUBLIC CHARITY | MEDICAL | 2,500. |
| | | | | |
| PEMBROKE CENTER | NONE | PUBLIC CHARITY | EDUCATION | 150. |
| | | | | |
| PINGRY SCHOOL | NONE | PUBLIC CHARITY | EDUCATION | 7,000. |
| | | | : | |
| SPECIAL OLYMPICS OF NJ | NONE | PUBLIC CHARITY | SOCIAL SERVICES | 100. |
| | | | | |
| TEMPLE BNAI JRSHUAN | NONE | PUBLIC CHARITY | RELIGIOUS | 36, |
| | | | | |
| TEMPLE SHAREY TEFILO-ISRAELI | NONE | PUBLIC CHARITY | RELIGIOUS | 34,804. |
| | | | | |
| THE FARM INSTITUTE | NONE | PUBLIC CHARITY | LAND PRESERVATION | 2,500, |
| | | | | |
| UJC - METROWEST | NONE | PUBLIC CHARITY | SOCIAL SERVICES | 5,108, |
| | | | | |
| YMCA OF MARTA'S VINEYARD | NONE | PUBLIC CHARITY | SOCIAL SERVICES | 5,000. |
| | | | | |
| Total from continuation sheets | | | | |
| | | | | |

| FORM 990-PF DIVIDE | ENDS AND | INTER | EST FROM | SECU | RITIES | STATEMENT | 1 |
|--|---|-------------------------------------|--|-----------------------|-----------------------------------|--|-------------------|
| SOURCE | (| GROSS | AMOUNT | | PITAL GAINS DIVIDENDS | COLUMN (A | ۲) |
| ARGOS AWA SMALL CAP ACCESS FUND | | | 42,871. 4,043. | | 0. | 42 ,8 4 ,0 | 71. |
| TOTAL TO FM 990-PF, PART I | , LN 4 = | | 46,914. | | 0. | 46,9 | 14. |
| FORM 990-PF | OT | HER IN | NCOME | | | STATEMENT | 2 |
| DESCRIPTION | | I | (A) REVENUE PER BOOKS | 5 | (B) NET INVEST- MENT INCOME | (C) ADJUSTE NET INCO | |
| INCOME FROM ERGOS OFFSHORE INCOME FROM COLCHIS P2P INC | COME FUND | | | 240. 118. | 3,240. 5,118. | | |
| | | | | | - | | |
| TOTAL TO FORM 990-PF, PART | I, LINE | 11 | 8,3 | 358. | 8,358. | | |
| TOTAL TO FORM 990-PF, PART FORM 990-PF | | | 8,3 NG FEES | 358. | 8,358. | STATEMENT | 3 |
| FORM 990-PF | | OUNTIN) SES | | EST- | (C) ADJUSTED NET INCOME | STATEMENT (D) CHARITA | BLE |
| FORM 990-PF DESCRIPTION | ACC (A EXPEN PER B | OUNTIN) SES | (B) NET INVE | EST- | (C) ADJUSTED NET INCOME | STATEMENT (D) CHARITA | BLE |
| FORM 990-PF DESCRIPTION | ACC (A EXPEN PER B | OUNTIN) SES OOKS | (B) NET INVENT INC | EST- | (C) ADJUSTED NET INCOME | STATEMENT (D) CHARITA | ABLE SES |
| FORM 990-PF DESCRIPTION ACCOUNTING | ACC (A EXPEN PER B | OUNTIN) SES OOKS ,400. | (B) NET INVENT INCENT A | EST-COME | (C) ADJUSTED NET INCOME | STATEMENT (D) CHARITA | ABLE SES 0. |
| FORM 990-PF DESCRIPTION ACCOUNTING TO FORM 990-PF, PG 1, LN 16 | ACC (A EXPEN PER B 4 6B 4 (A EXPEN | OUNTING SES OOKS ,400. ,400. | (B) NET INVE MENT INCE 4 4 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 | EST- COME ,400. | (C) ADJUSTED NET INCOME | STATEMENT (D) CHARITA FURPOS STATEMENT (D) CHARITA | BLE O. O. 4 |
| FORM 990-PF DESCRIPTION ACCOUNTING TO FORM 990-PF, PG 1, LN 16 FORM 990-PF | ACC (A EXPEN PER B 4 6B 4 (A EXPEN | OUNTING SES OOKS ,400. ,400. TAXE | (B) NET INVE MENT INCE 4 4 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 | EST- COME ,400. | (C) ADJUSTED NET INCOME | STATEMENT (D) CHARITA FURPOS STATEMENT (D) CHARITA | 0. 0. 4 |

| FORM 990-PF | OTHER EXPENSES | | | · | STATEME | | | 5 |
|---|-----------------------------|-----------------|----------------------|--------------|----------------------------|------------|--------------------------|-----|
| DESCRIPTION | (A) EXPENSES PER BOOK | | (B) INVI T INC | EST- COME | (C) ADJUSTE NET INCO | | (D) CHARITA PURPOS | _ |
| MANAGEMENT FEES PORTFOLIO DEDUCTIONS | 11,14 1,09 | | | | | | | 0. |
| TO FORM 990-PF, PG 1, LN 23 | 12,23 | 7. | 12, | ,237. | | | | 0. |
| FORM 990-PF OTHER DECREASES | IN NET | ASSETS | OR I | FUND : | BALANCES | Sī | PATEMENT | 6 |
| DESCRIPTION | | | | | | | AMOUNT | |
| BOOK/TAX DIFFERENCE NOT DEDUCTIBLE PORTFOLIO DEDUC EXCISE TAX | CTIONS | | | | | | 177,6 3,0 | |
| TOTAL TO FORM 990-PF, PART III | , LINE 5 | | | | | | 181,4 | 62. |
| FORM 990-PF | OTHER I | NVESTM | ENTS | | | SI | PATEMENT | 7 |
| DESCRIPTION | | VALUAT METHO | | ВО | OK VALUE | F <i>F</i> | AIR MARKE' VALUE | r |
| MUTUAL FUNDS ALTERNATIVE INVESTMENTS AND HE | ಕರ್ನಡ | COST | COST | | 1,036,159. | | 1,266,0 | 32. |
| FUNDS | DGE COST | | | | 994,873. | 994,87 | | 73. |
| TOTAL TO FORM 990-PF, PART II, | LINE 13 | | | | 2,031,032. | | 2,260,9 | 05. |

FORM 990-PF

GRANT APPLICATION SUBMISSION INFORMATION PART XV, LINES 2A THROUGH 2D

STATEMENT

NAME AND ADDRESS OF PERSON TO WHOM APPLICATIONS SHOULD BE SUBMITTED

DAVID BAUM 60 WOODCREST AVENUE SHORT HILLS, NJ 07078

TELEPHONE NUMBER

973-564-5060

FORM AND CONTENT OF APPLICATIONS

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

ANY SUBMISSION DEADLINES

N/A

RESTRICTIONS AND LIMITATIONS ON AWARDS

N/A

Form **8868** (Rev. January 2013)

Department of the Treasury Internal Revenue Service

Application for Extension of Time To File an Exempt Organization Return

File a separate application for each return.

OMB No 1545-1709

| • If yo | ou are filing for an Automatic 3-Month Extension, comple | ete only Pa | art I and check this box | | | \triangleright \mathbf{X} |
|--|--|--------------|--|---------------|---|-------------------------------|
| • If yo | ou are filing for an Additional (Not Automatic) 3-Month E | xtension, o | complete only Part II (on page 2 of | this form) | | |
| Do no | t complete Part II unless you have already been granted | an automa | atic 3-month extension on a previous | sly filed Fo | rm 8868. | |
| Electr | onic filing (e-file). You can electronically file Form 8868 if | you need a | a 3-month automatic extension of tir | ne to file (6 | months for a c د | orporation |
| require | ed to file Form 990-T), or an additional (not automatic) 3-mo | onth extens | sion of time. You can electronically f | ile Form 88 | 368 to request a | ın extension |
| of time | e to file any of the forms listed in Part I or Part II with the ex | xception of | Form 8870, Information Return for | Transfers / | Associated With | Certain |
| Person | nal Benefit Contracts, which must be sent to the IRS in pa | per format | (see instructions). For more details | on the elec | tronic filing of th | nis form, |
| | ww irs gov/efile and click on e-file for Chanties & Nonprofit | | | | | |
| Par | LI Automatic 3-Month Extension of Tim | e. Only s | submit original (no copies ne | eded). | | |
| A corp | Poration required to file Form 990 T and requesting an auto | matic 6-mo | onth extension - check this box and | complete | | |
| Part I | only | | | | | |
| | er corporations (including 1120-C filers), partnerships, REM Income tax returns | MICs, and t | rusts must use Form 7004 to reques | st an exten | sion of time | |
| Type | - | uctions | | Employe | r identification n | umber (EIN) or |
| print | | | | | | • |
| File by ti | DAVID AND ANDREA BAUM FAMI | | | | <u> 13-7178</u> | |
| due date | e for Number, street, and room or suite no If a P O box, suite no If | see instruc | tions. | Social se | curity number (S | 3SN) |
| return S instructi | 990 | foreign add | dress, see instructions | | | |
| | SHORT HILLS, NJ 07078 | - | | | | |
| Entor | the Datum and for the ratium that this application is for /fi | la a aanara | to application for each return) | | | 0 4 |
| Enter | the Return code for the return that this application is for (fi | ie a separa | tte application for each return) | | | 014 |
| Applic | eation | Return | Application | | | Return |
| Is For | | Code | Is For | | | Code |
| Form 9 | 990 or Form 990-EZ | 01 | Form 990-T (corporation) | | | 07 |
| Form 9 | 990 BL | 02 | Form 1041-A | | | 08 |
| Form 4 | 4720 (individual) | 03 | Form 4720 | | | 09 |
| Form ! | 990-PF | 04 | Form 5227 | | | 10 |
| Form ! | 990-T (sec 401(a) or 408(a) trust) | 05 | Form 6069 | | | 11 |
| Form ! | 990-T (trust other than above) | 06 | Form 8870 | | | 12 |
| | DAVID BAUM | | GUODE UTLI G NT | 070 | 70 | |
| | books are in the care of \triangleright 60 WOODCREST A | VENUE | | 070 | <u> 78 </u> | |
| | ephone No ► <u>973-564-5060</u> | | FAX No | | | |
| | ne organization does not have an office or place of busines | | | | | P |
| | his is for a Group Return, enter the organization's four digit | - | | | r the whole grou | • • |
| box | | | | | ers the extension | in is for |
| 1 | I request an automatic 3-month (6 months for a corporatio | | | | Th | |
| | | pt organiza | ition return for the organization nam | ed above | The extension | |
| | is for the organization's return for | | | | | |
| | □ calendar year or □ X tax year beginning DEC 1, 2012 | | nd ending NOV 30, 2013 | | | |
| | A tax year beginning DEC 1, 2012 | , ar | id ending 140 v 30, 2013 | | | |
| 2 | If the tax year entered in line 1 is for less than 12 months, | check reas | on Initial return | Final retur | 'n | |
| _ | Change in accounting period | 01100111040 | | | | |
| | Change in accounting points | | | | | |
| 3a | If this application is for Form 990 BL, 990-PF, 990-T, 4720, | or 6069, e | enter the tentative tax, less any | | | |
| | nonrefundable credits See instructions | | , | 3a | \$ | 3,220. |
| b If this application is for Form 990-PF, 990-T, 4720, or 6069, enter any refundable credits and | | | | | | |
| | estimated tax payments made. Include any prior year over | • | | 3b | \$ | 1,720. |
| | Balance due. Subtract line 3b from line 3a. Include your p | | | | | |
| | by using EFTPS (Electronic Federal Tax Payment System) | | | 3c | \$ | 1,500. |
| Cautio | on. If you are going to make an electronic fund withdrawal | with this F | orm 8868, see Form 8453-EO and F | orm 8879- | EO for payment | instructions |