EXTENSION ATTACHED

Form **990-PF**

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

or Section 4947(a)(1) Trust Treated as Private Foundation

▶ Do not enter Social Security numbers on this form as it may be made public.

▶ Information about Form 990-PF and its separate instructions is at *www.irs.gov/form990pf.*

OMB No 1545-0052

2013

Open to Public Inspection

For calendar year 2013 or tax year beginning , 2013, and ending , 20

Name of foundation: STELLA AND CHARLES GUTTMAN FOUNDATION, INC.

A Employer identification number: 13-6103039

Number and street (or P.O box number if mail is not delivered to street address): 122 EAST 42ND STREET — Room/suite: 2010

B Telephone number (see instructions): (212) 371-7082

City or town, state or province, country, and ZIP or foreign postal code: NEW YORK, NY 10168-2101

C If exemption application is pending, check here ▶ ☐

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

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

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

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

I Fair market value of all assets at end of year (from Part II, col. (c), line 16) ▶ $ 27,865,017.

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

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

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

		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc., received (attach schedule)				
	2 Check ▶ [X] if the foundation is not required to attach Sch. B				
	3 Interest on savings and temporary cash investments	605.	605.		
	4 Dividends and interest from securities	762,850.	762,807.		
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	1,423,560.			
	b Gross sales price for all assets on line 6a 26,545,877.				
	7 Capital gain net income (from Part IV, line 2)		1,421,465.		
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less returns and allowances				
	b Less Cost of goods sold				
	c Gross profit or (loss) (attach schedule)				
	11 Other income (attach schedule) ATCH 1	-32,310.	-32,164.		
	12 Total. Add lines 1 through 11	2,154,705.	2,152,713.		
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc	183,397.	18,340.		174,057.
	14 Other employee salaries and wages	209,600.	20,960.		198,990.
	15 Pension plans, employee benefits	71,548.	7,155.		64,604.
	16a Legal fees (attach schedule) ATCH 2	16,125.	3,225.		16,740.
	b Accounting fees (attach schedule) ATCH 3	81,962.	40,141.		41,821.
	c Other professional fees (attach schedule) *	236,557.	[illegible]		19,215.
	17 Interest ATCH 5	53,614.	53,614.		
	18 Taxes (attach schedule) (see instructions) ATCH 6	38,504.	20,785.		
	19 Depreciation (attach schedule) and depletion	ATCH 10 18,689.	1,869.		
	20 Occupancy	136,976.	13,698.		135,523.
	21 Travel, conferences, and meetings	558.			558.
	22 Printing and publications	1,065.			1,065.
	23 Other expenses (attach schedule) ATCH 7	197,068.	9,948.		175,917.
	24 Total operating and administrative expenses. Add lines 13 through 23	1,245,663.	407,077.		828,490.
	25 Contributions, gifts, grants paid	25,985,000.			25,485,000.
	26 Total expenses and disbursements Add lines 24 and 25	27,230,663.	407,077.	0	26,313,490.
	27 Subtract line 26 from line 12				
	a Excess of revenue over expenses and disbursements	-25,075,958.			
	b Net investment income (if negative, enter -0-)		1,745,636.		
	c Adjusted net income (if negative, enter -0-)				

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Part II Balance Sheets

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

			Beginning of year	End of year	
			(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash - non-interest-bearing	500.	478.	478.
	2	Savings and temporary cash investments	763,240.	280,518.	280,518.
	3	Accounts receivable ▶			
		Less: allowance for doubtful accounts ▶			
	4	Pledges receivable ▶			
		Less: allowance for doubtful accounts ▶			
	5	Grants receivable			
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
	7	Other notes and loans receivable (attach schedule) ▶			
		Less. allowance for doubtful accounts ▶			
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges ATCH 8	16,190.	34,164.	34,164.
	10 a	Investments - U.S. and state government obligations (attach schedule)			
	b	Investments - corporate stock (attach schedule)	2,048,087.	2,292,821.	2,292,821.
	c	Investments - corporate bonds (attach schedule)			
	11	Investments - land, buildings, and equipment. basis ▶			
		Less accumulated depreciation (attach schedule) ▶			
	12	Investments - mortgage loans			
	13	Investments - other (attach schedule) ATCH 9	42,004,907.	25,236,747.	25,236,747.
	14	Land, buildings, and equipment: basis ▶ 249,521.			ATCH 10
		Less. accumulated depreciation (attach schedule) ▶ 235,634.	32,576.	13,887.	13,887.
	15	Other assets (describe ▶ ATCH 11)	5,424,447.	6,402.	6,402.
	16	Total assets (to be completed by all filers - see the instructions. Also, see page 1, item I)	50,289,947.	27,865,017.	27,865,017.
Liabilities	17	Accounts payable and accrued expenses	95,909.	64,340.	
	18	Grants payable		500,000.	
	19	Deferred revenue			
	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable (attach schedule)			
	22	Other liabilities (describe ▶ ATCH 12)	114,856.	158,508.	
	23	Total liabilities (add lines 17 through 22)	210,765.	722,848.	
Net Assets or Fund Balances		**Foundations that follow SFAS 117, check here ▶ [X] and complete lines 24 through 26 and lines 30 and 31.**			
	24	Unrestricted	50,079,182.	27,142,169.	
	25	Temporarily restricted			
	26	Permanently restricted			
		Foundations that do not follow SFAS 117, check here and complete lines 27 through 31. ▶ [ ]			
	27	Capital stock, trust principal, or current funds			
	28	Paid-in or capital surplus, or land, bldg., and equipment fund			
	29	Retained earnings, accumulated income, endowment, or other funds			
	30	Total net assets or fund balances (see instructions)	50,079,182.	27,142,169.	
	31	Total liabilities and net assets/fund balances (see instructions)	50,289,947.	27,865,017.	

Part III Analysis of Changes in Net Assets or Fund Balances

1	Total net assets or fund balances at beginning of year - Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return)	1	50,079,182.
2	Enter amount from Part I, line 27a	2	-25,075,958.
3	Other increases not included in line 2 (itemize) ▶ ATCH 13	3	2,138,945.
4	Add lines 1, 2, and 3	4	27,142,169.
5	Decreases not included in line 2 (itemize) ▶	5	
6	Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	27,142,169.

Part IV Capital Gains and Losses for Tax on Investment Income

	(a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse; or common stock, 200 shs MLC Co.)	(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo , day, yr.)	(d) Date sold (mo., day, yr.)
1a	SEE PART IV SCHEDULE			
b				
c				
d				
e				

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

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

	(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
a				
b				
c				
d				
e				

2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7; If (loss), enter -0- in Part I, line 7 } 2 ATCH 1A 1,421,465.

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

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

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

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

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

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col (c))
2012	2,876,611.	54,193,026.	0.053081
2011	2,806,962.	53,722,806.	0.052249
2010	2,563,741.	48,524,192.	0.052834
2009	1,797,737.	42,146,200.	0.042655
2008	2,337,575.	48,937,000.	0.047767

2	Total of line 1, column (d)	2	0.248586
3	Average distribution ratio for the 5-year base period - divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years	3	0.049717
4	Enter the net value of noncharitable-use assets for 2013 from Part X, line 5	4	33,367,931.
5	Multiply line 4 by line 3	5	1,658,953.
6	Enter 1% of net investment income (1% of Part I, line 27b)	6	17,456.
7	Add lines 5 and 6	7	1,676,409.
8	Enter qualifying distributions from Part XII, line 4	8	26,313,490.

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

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

1a	Exempt operating foundations described in section 4940(d)(2), check here ▶ [ ] and enter "N/A" on line 1. Date of ruling or determination letter ______________ (attach copy of letter if necessary - see instructions)		
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ [X] and enter 1% of Part I, line 27b	1	17,456.
c	All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b).		
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	2	
3	Add lines 1 and 2	3	17,456.
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	4	0
5	**Tax based on investment income.** Subtract line 4 from line 3. If zero or less, enter -0-	5	17,456.
6	Credits/Payments:		
a	2013 estimated tax payments and 2012 overpayment credited to 2013 — 6a: 37,974.		
b	Exempt foreign organizations - tax withheld at source — 6b		
c	Tax paid with application for extension of time to file (Form 8868) — 6c		
d	Backup withholding erroneously withheld — 6d		
7	Total credits and payments. Add lines 6a through 6d	7	37,974.
8	Enter any **penalty** for underpayment of estimated tax. Check here [X] if Form 2220 is attached	8	
9	**Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ▶	9	
10	**Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶	10	20,518.
11	Enter the amount of line 10 to be: **Credited to 2014 estimated tax** ▶ 20,518. **Refunded** ▶	11	

Part VII-A Statements Regarding Activities

			Yes	No
1a	During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?	1a		X
b	Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see Instructions for the definition)?	1b		X
	If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.			
c	Did the foundation file Form 1120-POL for this year?	1c		X
d	Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation ▶ $ 0 (2) On foundation managers. ▶ $ 0			
e	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ▶ $ 0			
2	Has the foundation engaged in any activities that have not previously been reported to the IRS? *If "Yes," attach a detailed description of the activities.*	2		X
3	Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? *If "Yes," attach a conformed copy of the changes*	3		X
4a	Did the foundation have unrelated business gross income of $1,000 or more during the year?	4a	X	
b	If "Yes," has it filed a tax return on **Form 990-T** for this year?	4b	X	
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year? ATCH 14 *If "Yes," attach the statement required by General Instruction T.*	5	X	
6	Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	6	X	
7	Did the foundation have at least $5,000 in assets at any time during the year? *If "Yes," complete Part II, col (c), and Part XV*	7	X	
8a	Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ NY,			
b	If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by *General Instruction G? If "No," attach explanation*	8b	X	
9	Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2013 or the taxable year beginning in 2013 (see instructions for Part XIV)? *If "Yes," complete Part XIV*	9		X
10	Did any persons become substantial contributors during the tax year? *If "Yes," attach a schedule listing their names and addresses*	10		X

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

			Yes	No
11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)	11		X
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions) ATCH 15	12	X	
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	X	

Website address ▶ WWW.GUTTMANFOUNDATION.ORG

14 The books are in care of ▶ LILA NOBLE C/O THE FOUNDATION Telephone no. ▶ 212-371-7082
Located at ▶ 122 EAST 42ND STREET SUITE 2010 NEW YORK, NY ZIP+4 ▶ 10168-2101

15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here ▶ ☐
and enter the amount of tax-exempt interest received or accrued during the year ▶ 15

			Yes	No
16	At any time during calendar year 2013, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country?	16		X
	See the instructions for exceptions and filing requirements for Form TD F 90-22.1 If "Yes," enter the name of the foreign country ▶			

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

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

			Yes	No
1a	During the year did the foundation (either directly or indirectly).			
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person? ☐ Yes ☒ No			
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☒ No			
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☐ Yes ☒ No			
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☒ Yes ☐ No			
	(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? ☐ Yes ☒ No			
	(6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days) ☐ Yes ☒ No			
b	If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53 4941(d)-3 or in a current notice regarding disaster assistance (see instructions)?	1b		X
	Organizations relying on a current notice regarding disaster assistance check here ▶ ☐			
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2013?	1c		X
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)).			
a	At the end of tax year 2013, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2013? ☐ Yes ☒ No			
	If "Yes," list the years ▶			
b	Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see instructions)	2b		X
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. ▶			
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☐ Yes ☒ No			
b	If "Yes," did it have excess business holdings in 2013 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 2013)*	3b	N	/A
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a		X
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2013?	4b		X

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

5a During the year did the foundation pay or incur any amount to:
(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? ☐ Yes ☒ No
(2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive? ☐ Yes ☒ No
(3) Provide a grant to an individual for travel, study, or other similar purposes? ☐ Yes ☒ No
(4) Provide a grant to an organization other than a charitable, etc., organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? (see instructions) ☐ Yes ☒ No
(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? ☐ Yes ☒ No

b If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)? **5b** N/A

Organizations relying on a current notice regarding disaster assistance check here ▶ ☐

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

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

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

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? **6b** No: X

If "Yes" to 6b, file Form 8870

7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? ☐ Yes ☒ No

b If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction? **7b** N/A

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

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

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
ATCH 16		183,397.	48,715.	0

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

(a) Name and address of each employee paid more than $50,000	(b) Title, and average hours per week devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
ATCH 17		203,873.	57,777.	0

Total number of other employees paid over $50,000 ▶ 0

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

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

(a) Name and address of each person paid more than $50,000	(b) Type of service	(c) Compensation
ATCH 18		57,437.
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 N/A	
2	
3	
4	

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

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

Part X **Minimum Investment Return** (All domestic foundations must complete this part. Foreign foundations, see instructions.)

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
a	Average monthly fair market value of securities	1a	28,819,145.
b	Average of monthly cash balances	1b	4,456,356.
c	Fair market value of all other assets (see instructions)	1c	600,571.
d	**Total** (add lines 1a, b, and c)	1d	33,876,072.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) 1e		
2	Acquisition indebtedness applicable to line 1 assets	2	
3	Subtract line 2 from line 1d	3	33,876,072.
4	Cash deemed held for charitable activities. Enter 1 1/2 % of line 3 (for greater amount, see instructions)	4	508,141.
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3 Enter here and on Part V, line 4	5	33,367,931.
6	**Minimum investment return.** Enter 5% of line 5	6	1,668,397.

Part XI **Distributable Amount** (see instructions) (Section 4942(j)(3) and (j)(5) private operating foundations and certain foreign organizations check here ▶ ☐ and do not complete this part.)

1	Minimum investment return from Part X, line 6			1	1,668,397.
2a	Tax on investment income for 2013 from Part VI, line 5	2a	17,456.		
b	Income tax for 2013. (This does not include the tax from Part VI.)	2b			
c	Add lines 2a and 2b			2c	17,456.
3	Distributable amount before adjustments. Subtract line 2c from line 1			3	1,650,941.
4	Recoveries of amounts treated as qualifying distributions			4	
5	Add lines 3 and 4			5	1,650,941.
6	Deduction from distributable amount (see instructions)			6	
7	**Distributable amount** as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1			7	1,650,941.

Part XII **Qualifying Distributions** (see instructions)

1	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes:		
a	Expenses, contributions, gifts, etc. - total from Part I, column (d), line 26	1a	26,313,490.
b	Program-related investments - total from Part IX-B	1b	
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	**Qualifying distributions.** Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	26,313,490.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b (see instructions)	5	17,456.
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	26,296,034.

Note. The amount on line 6 will be used in Part V, column (b), in subsequent years when calculating whether the foundation qualifies for the section 4940(e) reduction of tax in those years.

Part XIII Undistributed Income (see instructions)

		(a) Corpus	(b) Years prior to 2012	(c) 2012	(d) 2013
1	Distributable amount for 2013 from Part XI, line 7				1,650,941.
2	Undistributed income, if any, as of the end of 2013.				
a	Enter amount for 2012 only				
b	Total for prior years 20 11 ,20 10 ,20 09				
3	Excess distributions carryover, if any, to 2013.				
a	From 2008				
b	From 2009				
c	From 2010 36,764.				
d	From 2011 227,652.				
e	From 2012 261,072.				
f	Total of lines 3a through e	525,488.			
4	Qualifying distributions for 2013 from Part XII, line 4: ▶ $ 26,313,490.				
a	Applied to 2012, but not more than line 2a				
b	Applied to undistributed income of prior years (Election required - see instructions)				
c	Treated as distributions out of corpus (Election required - see instructions)				
d	Applied to 2013 distributable amount				1,650,941.
e	Remaining amount distributed out of corpus	24,662,549.			
5	Excess distributions carryover applied to 2013 *(If an amount appears in column (d), the same amount must be shown in column (a).)*				
6	**Enter the net total of each column as indicated below:**				
a	Corpus. Add lines 3f, 4c, and 4e Subtract line 5	25,188,037.			
b	Prior years' undistributed income Subtract line 4b from line 2b				
c	Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed				
d	Subtract line 6c from line 6b. Taxable amount - see instructions				
e	Undistributed income for 2012. Subtract line 4a from line 2a Taxable amount - see instructions				
f	Undistributed income for 2013. Subtract lines 4d and 5 from line 1 This amount must be distributed in 2014				
7	Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions)				
8	Excess distributions carryover from 2008 not applied on line 5 or line 7 (see instructions)				
9	**Excess distributions carryover to 2014.** Subtract lines 7 and 8 from line 6a	25,188,037.			
10	Analysis of line 9:				
a	Excess from 2009				
b	Excess from 2010 36,764.				
c	Excess from 2011 227,652.				
d	Excess from 2012 261,072.				
e	Excess from 2013 24,662,549.				

Part XIV Private Operating Foundations (see instructions and Part VII-A, question 9) NOT APPLICABLE

1a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2013, enter the date of the ruling . . . . ▶

b Check box to indicate whether the foundation is a private operating foundation described in section ☐ 4942(j)(3) or ☐ 4942(j)(5)

	Tax year	Prior 3 years			(e) Total
	(a) 2013	(b) 2012	(c) 2011	(d) 2010	
2a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed					
b 85% of line 2a					
c Qualifying distributions from Part XII, line 4 for each year listed					
d Amounts included in line 2c not used directly for active conduct of exempt activities					
e Qualifying distributions made directly for active conduct of exempt activities Subtract line 2d from line 2c					
3 Complete 3a, b, or c for the alternative test relied upon:					
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					
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					

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

1 Information Regarding Foundation Managers:

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

NONE

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

NONE

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

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

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

ATCH 19

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

LETTER OF INQUIRY (1-2 PAGES)

c Any submission deadlines:

SEE GUIDELINES AT FOUNDATION'S WEBSITE

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

NONE

Part XV Supplementary Information (continued)

3 Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a *Paid during the year*				
SEE ATTACHMENT 20				25,485,000.
Total ▶ 3a				25,485,000.
b *Approved for future payment*				
SEE ATTACHMENT 21 See guidelines at Foundation's website				500,000.
Total ▶ 3b				500,000.

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated.	Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See instructions.)
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	
1 Program service revenue.					
a					
b					
c					
d					
e					
f					
g Fees and contracts from government agencies					
2 Membership dues and assessments					
3 Interest on savings and temporary cash investments			14	605.	
4 Dividends and interest from securities	525990	43.	14	762,807.	
5 Net rental income or (loss) from real estate					
a Debt-financed property					
b Not debt-financed property					
6 Net rental income or (loss) from personal property					
7 Other investment income	525990	-146.	01	-32,164.	
8 Gain or (loss) from sales of assets other than inventory	525990	2,095.	18	1,421,465.	
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue: a					
b					
c					
d					
e					
12 Subtotal. Add columns (b), (d), and (e)		1,992.		2,152,713.	

13 Total. Add line 12, columns (b), (d), and (e) . . . 13 2,154,705.

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

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

Line No. ▼	Explain below how each activity for which income is reported in column (e) of Part XVI-A contributed importantly to the accomplishment of the foundation's exempt purposes (other than by providing funds for such purposes). (See instructions.)
	NOT APPLICABLE

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

			Yes	No
1	Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?			
a	Transfers from the reporting foundation to a noncharitable exempt organization of:			
	(1) Cash	1a(1)		X
	(2) Other assets	1a(2)		X
b	Other transactions:			
	(1) Sales of assets to a noncharitable exempt organization	1b(1)		X
	(2) Purchases of assets from a noncharitable exempt organization	1b(2)		X
	(3) Rental of facilities, equipment, or other assets	1b(3)		X
	(4) Reimbursement arrangements	1b(4)		X
	(5) Loans or loan guarantees	1b(5)		X
	(6) Performance of services or membership or fundraising solicitations	1b(6)		X
c	Sharing of facilities, equipment, mailing lists, other assets, or paid employees	1c		X

d If the answer to any of the above is "Yes," complete the following schedule. Column **(b)** should always show the fair market value of the goods, other assets, or services given by the reporting foundation. If the foundation received less than fair market value in any transaction or sharing arrangement, show in column **(d)** the value of the goods, other assets, or services received.

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

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

b If "Yes," complete the following schedule.

(a) Name of organization	(b) Type of organization	(c) Description of relationship

Sign Here

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete Declaration of preparer (other than taxpayer) is based on all information of which preparer has any knowledge.

Robert S Nathan 10/29/14 Treasurer

Signature of officer or trustee | Date | Title

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

Paid Preparer Use Only

Print/Type preparer's name	Preparer's signature	Date	Check ☐ if self-employed	PTIN
MARIE ARRIGO	Marie Arrigo CPA	10-24-2014		P00058583
Firm's name ▶ EISNERAMPER LLP			Firm's EIN ▶ 13-1639826	
Firm's address ▶ 750 THIRD AVENUE NEW YORK, NY 10017-2703			Phone no 212-949-8700	

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

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj. basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
TOTAL GAIN(LOSS)							1,421,465.	

STELLA AND CHARLES GUTTMAN FOUNDATION, INC.
SCHEDULE OF REALIZED GAINS
DECEMBER 31, 2013
EIN # 13-6103039

PART IV - CAPITAL GAINS (LOSSES) AND LOSSES FOR TAX ON INVESTMENT INCOME:

INVESTMENT CLASSIFICATION	INVESTMENTS PROCEEDS	INVESTMENTS COST	INVESTMENT REALIZED GAIN/ (LOSS)
Capital Counsel	$ 585,484	$ 400,972	$ 184,512
PIMCO Total Return Fund	7,592,700	7,417,792	174,908
TIFF Absolute Return Pool II	-	6	(6)
Genesis Fund Institutional Share Class	370,000	211,602	158,398
Sanderson International Value	383,264	273,948	109,316
Vanguard Inflation Protected	2,500,000	2,470,238	29,762
Vanguard Short Term Bond Index	8,644,114	8,644,469	(355)
Pass-through capital gains:			
Champlain Small Cap Fund, LLC			156,903
Colchester Global Bond Fund			11,677
Adage Capital Partners, LP			419,094
Gryphon International EAFE Growth Fund			4,996
Lone Juniper, LP			17,994
WGI Emerging Market Fund, LLC			84,297
Post Traditional HY Fund, LP			69,969
Total Net Capital Gain/(Loss) - Part IV - Line 2			$ 1,421,465

ATTACHMENT 1A

FORM 990PF, PART I - OTHER INCOME

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
OTHER PARTNERSHIP PASS-THRU LOSS	-32,310.	-32,164.
TOTALS	-32,310.	-32,164.

STELLA AND CHARLES GUTTMAN FOUNDATION, INC. 13-6103039

ATTACHMENT 2

FORM 990PF, PART I - LEGAL FEES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME	ADJUSTED NET INCOME	CHARITABLE PURPOSES
MOSES & SINGER LLP	16,125.	3,225.		16,740.
TOTALS	16,125.	3,225.		16,740.

FORM 990PF, PART I - ACCOUNTING FEES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME	ADJUSTED NET INCOME	CHARITABLE PURPOSES
ACCOUNTING FEES	39,300.	29,475.		9,825.
AUDIT FEES	42,662.	10,666.		31,996.
TOTALS	81,962.	40,141.		41,821.

FORM 990PF, PART I - OTHER PROFESSIONAL FEES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME	CHARITABLE PURPOSES
INVESTMENT ADVISORY AND CUSTODIAL FEES	217,342.	217,342.	
GRANTMAKING ORGANIZATION DUES	19,215.		19,215.
TOTALS	236,557.	217,342.	19,215.

FORM 990PF, PART I - INTEREST EXPENSE

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
PASS-THROUGH FROM INVESTMENTS	53,614.	53,614.
TOTALS	53,614.	53,614.

ATTACHMENT 6

FORM 990PF, PART I - TAXES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
FEDERAL EXCISE TAXES	17,719.	
FOREIGN TAXES WITHHELD	20,785.	20,785.
TOTALS	38,504.	20,785.

FORM 990PF, PART I - OTHER EXPENSES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME	CHARITABLE PURPOSES
TELEPHONE	8,185.	819.	7,497.
INSURANCE	76,916.		77,926.
OFFICE EXPENSES	43,153.	4,315.	26,494.
BOARD MEETING EXPENSES	20,676.		20,676.
COMPUTER RELATED COSTS	42,215.	4,222.	37,993.
FILING FEES	1,560.	156.	1,404.
OTHER EXPENSES	4,363.	436.	3,927.
TOTALS	197,068.	9,948.	175,917.

ATTACHMENT 8

FORM 990PF, PART II - PREPAID EXPENSES AND DEFERRED CHARGES

DESCRIPTION	BEGINNING BOOK VALUE	ENDING BOOK VALUE	ENDING FMV
PREPAID EXPENSES	16,190.	13,735.	13,735.
PREPAID EXCISE TAX		20,429.	20,429.
TOTALS	16,190.	34,164.	34,164.

STELLA AND CHARLES GUTTMAN FOUNDATION, INC.
FORM 990-PF
DECEMBER 31, 2013
EIN # 13-6103039

PART II - INVESTMENTS (at fair value)

	December 31, 2013	December 31, 2012
Line 10b:		
Investments -Corporate Stocks	$ 2,292,821	$ 2,048,087
Line 13:		
Mutual Funds and Offshore Hedge Funds:		
PIMCO Total Return Fund	3,446,062	9,768,045
Forester	3,312,492	2,874,407
Genesis Fund Institutional Share Class	1,037,539	1,068,601
Sanderson International Value	2,463,842	2,140,093
Longleaf Partners Funds	1,306,993	989,248
Vanguard Inflation Protected	1,217,095	2,595,622
Vanguard Short Term Bond Index	-	8,650,086
Vanguard 500 Index	1,098,771	
Colchester Global Bond Fund	1,366,450	3,603,568
	15,249,244	31,689,670
Limited Partnerships and LLCs:		
Champlain Small Cap Fund, LLC	1,172,130	1,049,391
Adage Capital Partners, LP	2,985,447	3,767,716
Gryphon International EAFE Growth Fund	2,125,635	1,762,487
Post Traditional HY Fund, LP	1,454,977	2,551,764
Lone Juniper, LP	1,054,951	
WGI Emerging Market Fund, LLC	1,194,363	1,183,879
	9,987,503	10,315,237
Total -Investments - Other	25,236,747	42,004,907
Total Investments	$ 27,529,568	$ 44,052,994

Due to the voluminous nature of the taxpayer's records, detail backup schedules of corporate stock holdings have not been included with this tax-return filing. However, they are available upon request.

STELLA AND CHARLES GUTTMAN FOUNDATION, INC.
FORM 990-PF
DECEMBER 31, 2013
EIN# 13-6103039

Part I - Line 19 - Depreciation:

		December 31, 2013
Property and equipment at cost:		
Leasehold improvements	$	143,880
Equipment		49,911
Furniture and fixtures		54,730
Artwork		1,000
		249,521
Accumulated depreciation and amortization		(235,634)
Total	$	13,887

Depreciation and Amortization

Opening accumulated depreciation and amortization at January 1, 2013	$	216,945
2013 Depreciation expense		18,689
Ending accumulated depreciation and amortization at December 31, 2013	$	235,634

FORM 990PF, PART II - OTHER ASSETS

DESCRIPTION	BEGINNING BOOK VALUE	ENDING BOOK VALUE	ENDING FMV
DUE FROM INVESTMENT MANAGERS	5,423,137.		
INTEREST & DIVIDEND RECEIVABLE	1,310.	6,402.	6,402.
TOTALS	5,424,447.	6,402.	6,402.

ATTACHMENT 12

FORM 990PF, PART II - OTHER LIABILITIES

DESCRIPTION		BEGINNING BOOK VALUE	ENDING BOOK VALUE
DEFERRED EXCISE TAXES PAYABLE		114,856.	158,508.
	TOTALS	114,856.	158,508.

ATTACHMENT 13

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

DESCRIPTION		AMOUNT
UNREALIZED APPRECIATION OF INVESTMENTS NET OF DEFERRED EXCISE TAX BENEFIT		2,138,945.
	TOTAL	2,138,945.

FORM 990PF, PART VII-A - LIQUIDATION, TERMINATION, ETC. STATEMENT

THE FOUNDATION HAD A SIGNIFICANT DISPOSITION OF ASSETS IN THE FORM OF A CASH GRANT IN THE AMOUNT OF $24,500,000 PAID TO THE CITY UNIVERSITY OF NEW YORK THEN LOCATED AT 535 EAST 80TH STREET, NEW YORK, NY 10075, AND NOW LOCATED AT 205 EAST 42ND STREET, NEW YORK, NY 10017.

FORM 990PF, PART VII-A -DISTRIBUTION TO A DONOR ADVISE

THE FOUNDATION HAS MADE DISTRIBUTIONS TO A DONOR ADVISED FUND AT THE NEW ISRAEL FUND. IT HAS TREATED THESE DISTRIBUTIONS AS QUALIFYING DISTRIBUTIONS, AND IT HAS MADE THESE DISTRIBUTIONS IN FURTHERANCE OF ITS CHARITABLE MISSION.

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

ATTACHMENT 16

NAME AND ADDRESS	TITLE AND AVERAGE HOURS PER WEEK DEVOTED TO POSITION	COMPENSATION	CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS	EXPENSE ACCT AND OTHER ALLOWANCES
ERNEST RUBENSTEIN C/O THE FOUNDATION 122 EAST 42ND STREET SUITE 2010 NEW YORK, NY 10168-2101	PRESIDENT/ASST TREASURER 5.00	0	0	0
PETER HERBERT C/O THE FOUNDATION 122 EAST 42ND STREET SUITE 2010 NEW YORK, NY 10168-2101	VICE-PRESIDENT/ASST SECRETARY 2.00	0	0	0
ROBERT S GASSMAN C/O THE FOUNDATION 122 EAST 42ND STREET SUITE 2010 NEW YORK, NY 10168-2101	TREASURER 5.00	0	0	0
WILLIAM S RUBENSTEIN C/O THE FOUNDATION 122 EAST 42ND STREET SUITE 2010 NEW YORK, NY 10168-2101 MR. RUBENSTEIN COMPLETED HIS SERVICE AS A TRUSTEE AS OF JULY 15, 2013.	SECRETARY 3.00	0	0	0
SUSAN BUTLER PLUM C/O THE FOUNDATION 122 EAST 42ND STREET SUITE 2010 NEW YORK, NY 10168-2101	SECRETARY 3.00	0	0	0

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

ATTACHMENT 16 (CONT'D)

NAME AND ADDRESS	TITLE AND AVERAGE HOURS PER WEEK DEVOTED TO POSITION	COMPENSATION	CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS	EXPENSE ACCT AND OTHER ALLOWANCES
BENJAMIN HERBERT C/O THE FOUNDATION 122 EAST 42ND STREET SUITE 2010 NEW YORK, NY 10168-2101	TRUSTEE 2.00	0	0	0
ELIZABETH OLOFSON 122 EAST 42ND STREET 2010 NEW YORK, NY 10168-2101	EXECUTIVE DIRECTOR 40.00	183,397.	48,715.	0
SISTER PAULETTE LOMONACO C/O THE FOUNDATION 122 EAST 42ND STREET SUITE 2010 NEW YORK, NY 10168-2101	TRUSTEE 2.00	0	0	0
PATRICIA L. FRANCY C/O THE FOUNDATION 122 EAST 42ND STREET SUITE 2010 NEW YORK, NY 10168-2101	TRUSTEE 2.00	0	0	0
	GRAND TOTALS	183,397.	48,715.	0

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

ATTACHMENT 17

NAME AND ADDRESS	TITLE AND AVERAGE HOURS PER WEEK DEVOTED TO POSITION	COMPENSATION	CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS	EXPENSE ACCT AND OTHER ALLOWANCES
LILA NOBLE 122 EAST 42ND STREET SUITE 2010 NEW YORK, NY 10168-2101	ASST EXECUTIVE DIREC 40.00	144,764.	36,120.	0
RAPHAEL STERN 122 EAST 42ND STREET SUITE 2010 NEW YORK, NY 10168-2101	PROGRAM OFFICER 40.00	59,109.	21,657.	0
	TOTAL COMPENSATION	203,873.	57,777.	0

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

ATTACHMENT 18

NAME AND ADDRESS	TYPE OF SERVICE	COMPENSATION
COLONIAL CONSULTING, LLC 750 THIRD AVENUE NEW YORK, NY 10017	INVESTMENT/ADVISORY	57,437.
TOTAL COMPENSATION		57,437.

STELLA AND CHARLES GUTTMAN FOUNDATION, INC.
FORM 990-PF
DECEMBER 31, 2013
EIN # 13-6103039

PART XV - Name, Address and Phone for Applications

Elizabeth Olofson, Executive Director
Stella and Charles Guttman Foundation, Inc.
122 East 42nd Street, Suite 2010
New York, New York 10168

212-371-7082

Stella and Charles Guttman Foundation, Inc.
Grants Paid During the Year
December 31, 2013
EIN # 13-6103039

Organization	Tax Status	Relationship	Purpose of Grant	Grant Amount
Alvin Ailey Dance Foundation, Inc. 405 West 55th Street New York, NY 10019	PC	None	In support of AileyCamp.	$5,000
American Jewish World Service 45 West 36th Street New York, NY 10018	PC	None	In support of international humanitarian relief efforts.	$25,000
Ballet Theatre Foundation, Inc. 890 Broadway 3rd Floor New York, NY 10003	PC	None	For general support	$2,000
Cape Ann Museum 27 Pleasant Street Gloucester, MA 01930	PC	None	For general support.	$15,000
Carnegie Council for Ethics in International Affairs 170 East 64th Street New York, NY 10065	PC	None	In support of the Public Affairs Programs.	$1,000
Center for Court Innovation 520 Eighth Avenue 18th Floor New York, NY 10018	PC	None	In support of the Brownsville Community Justice Center.	$50,000
Child Care and Early Education Fund 121 Avenue of the Americas, 6th Floor New York, NY, NY 10013	PC	None	In support of a funders' collaborative committed to achieving improvements in child care and early education services for children birth through age 5.	$50,000
Citizens' Committee for Children of New York, Inc. 105 East 22nd Street, 7th Floor New York, NY 10010	PC	None	In support of educational, policy and advocacy initiatives focused on early childhood education for New York City children ages 0-5.	$50,000

Stella and Charles Guttman Foundation, Inc.
Grants Paid During the Year
December 31, 2013
EIN # 13-6103039

Organization	Tax Status	Relationship	Purpose of Grant	Grant Amount
City University of New York 535 East 80th Street New York, NY 10075	PC	None	In support of the Guttman Transfer Scholarships; In support of the Accelerated Study In Study In Associates Programs (ASAP); and In support of the Student Success and Engagement Fund at The Stella and Charles Guttman Community College.	$24,500,000
The City University of New York School of Law Foundation Office of Institutional Advancement 2 Court Square Long Island City, NY 11101	PC	None	In support of The Sorensen Center for International Peace and Justice.	$1,500
Community Solutions 125 Maiden Lane, Suite 16C New York, NY 10038	PC	None	In support of the Housing Opportunity and Services Together (HOST) program in Brownsville, Brooklyn.	$50,000
Cypress Hills Local Development Corporation, Inc 625 Jamaica Avenue Brooklyn, NY 11208	PC	None	In support of a college success program that promotes retention and graduation for students living in northeast Brooklyn	$50,000
Doctors Without Borders USA. 333 Seventh Avenue, 2nd Fl. New York, NY 10001-5004	PC	None	In support of international medical and humanitarian relief efforts.	$50,000
East End Hospice Inc. 481 Westhampton Riverhead Road Post Office Box 1048 Westhampton Beach, NY 11978-7048	PC	None	For general support in memory of Captain Donald Pullman.	$1,000
Expeditionary Learning Outward Bound, Inc. 247 West 35th Street 8th Floor New York, NY 10001	PC	None	For general support.	$3,000
Friends of Flutes Foundation, Inc. 1115 5th Avenue New York, NY 10128	PC	None	For general support.	$1,000

Stella and Charles Guttman Foundation, Inc.
Grants Paid During the Year
December 31, 2013
EIN # 13-6103039

Organization	Tax Status	Relationship	Purpose of Grant	Grant Amount
Gloucester Education Foundation, Inc. P.O. Box 1104 33 Commercial Street, 3rd Floor Gloucester, MA 01931	PC	None	For general support.	$1,000
Goddard Riverside Community Center 593 Columbus Avenue New York, NY 10024-1998	PC	None	In support of a college success program for graduates of the Options college access program.	$50,000
Good Shepherd Services 305 Seventh Avenue 9th Floor New York, NY 10001	PC	None	In support of the Bronx Opportunity Network, a collaboration of seven community-based organizations that provides a range of services for students at Hostos and Bronx Community Colleges.	$50,000
Hampton Bays Public Library 52 Ponquogue Avenue Hampton Bays, NY 11946	PC	None	For general support.	$2,000
Hampton Bays Volunteer Ambulance Fund P.O. Box 997 18c Ponquogue Avenue Hampton Bays, NY 11946	PC	None	For general support.	$2,500
HandCrafting Justice, Inc. 25-30 21st Avenue Astoria, NY 11105	PC	None	For general support.	$5,000
Harvard School of Public Health 677 Huntington Avenue Boston, MA 02115	PC	None	In support of the Harvard AIDS Initiative of Dr. Max Essex at the Harvard School of Public Health	$5,000
Harvard School of Public Health 677 Huntington Avenue Boston, MA 02115	PC	None	In support of the Harvard Humanitarian Initiative of Dr. Michael VanRooyen at the Harvard School of Public Health.	$10,000

Stella and Charles Guttman Foundation, Inc.
Grants Paid During the Year
December 31, 2013
EIN # 13-6103039

Organization	Tax Status	Relationship	Purpose of Grant	Grant Amount
Henry Street Settlement 265 Henry Street New York, NY 10002	PC	None	In support of the Henry Street capital campaign and the renovation of the Charles and Stella Guttman Building.	$100,000
J Kirby Simon Foreign Service Trust 93 Edgehill Road New Haven, CT 06511	PC	None	In support of volunteer projects initiated and implemented by United States Foreign Service personnel.	$20,000
J. Kirby Simon Foreign Service Trust 93 Edgehill Road New Haven, CT 06511	PC	None	For general support.	$5,000
Junior Achievement USA One Education Way Colorado Springs, CO 80906	PC	None	For general support.	$5,000
KIPP New York, Inc. 470 7th Avenue, 10th Floor New York, NY 10018	PC	None	In support of KIPP Through College, a college success program that provides college completion services for graduates of KIPP New York schools.	$50,000
Melanoma Research Foundation 1411 K Street NW Suite 500 Washington, DC 20005	PC	None	For general support.	$1,500
New Israel Fund 2100 M Street, NW Suite 619 Washington, DC 20037	PC	None	In support of SHATIL, which provides technical assistance to Israeli nonprofit organizations.	$50,000
New Lebanon Library 550 Route 20 New Lebanon, NY 12125	PC	None	For the purchase of a computer for the Karen Beth Usdan Children's Library.	$3,000

Stella and Charles Guttman Foundation, Inc.
Grants Paid During the Year
December 31, 2013
EIN # 13-6103039

Organization	Tax Status	Relationship	Purpose of Grant	Grant Amount
New York University School of Medicine c/o NYU Langone Medical Center Office of Development 1 Park Avenue, 17th Fl. New York, NY 10016	PC	None	In support of research studies conducted by Bruce G. Raphael, M.D. at the NYU School of Medicine's Division of Hematology.	$2,500
The Open Door Cape Ann Food Pantry 28 Rear Emerson Avenue Gloucester, MA 01930	PC	None	For general support.	$1,000
Outward Bound, Inc. 21 Old Main Street Fishkill, NY 12524	PC	None	For general support.	$5,000
The Painting Group, Inc. 231 W. 29th Street Studio 305 New York, NY 10001	PC	None	For general support.	$1,000
The Parent-Child Home Program, Inc. 1415 Kellum Place, Suite 101 Garden City, NY 11530	PC	None	In support of a Parent-Child Home pilot program for family child care providers in Brooklyn.	$50,000
Pathways for Children, Inc. 29 Emerson Avenue Gloucester, MA 01930	PC	None	For general support.	$1,000
Peconic Baykeeper Inc. 10 Old Country Road PO Box 893 Quogue, NY 11959	PC	None	For general support.	$1,500
Peconic Community Council, Inc. Maureen's Haven Homeless Outreach 28 Lincoln Street Riverhead, NY 11901	PC	None	For general support.	$2,500

Stella and Charles Guttman Foundation, Inc.
Grants Paid During the Year
December 31, 2013
EIN # 13-6103039

Organization	Tax Status	Relationship	Purpose of Grant	Grant Amount
Princeton University 330 Alexander Street Princeton, NJ 08540	PC	None	In support of the Princeton University 2012-2013 Annual Giving Campaign of the Class of 1950.	$1,000
Reach the World 222 Broadway 21st Floor New York, NY 10007	PC	None	For general support.	$5,000
Red Hook Initiative, Inc. 767 Hicks Street Brooklyn, NY 11231	PC	None	In support of a new staff member who will direct collaborative community partnerships and be responsible for developing neighborhood programs.	$50,000
The Retreat, Inc. 13 Goodfriend Drive East Hampton, NY 11937	PC	None	For general support.	$1,500
SCO Family of Services One Alexander Place Glen Cove, NY 11542	PC	None	In support of the programs of FirstStepNYC.	$50,000
Trinity School 139 West 91st Street New York, NY 10024-1326	PC	None	In support of the Trinity Fund	$10,000
Trust of Programs P.O. Box 51303 Jerusalem 91513 ISRAEL	PC	None	In support of the "Mother-to-Mother" program, a home-based parenting program serving young mothers with children under the age of three in Arab communities in Israel.	$50,000
Wellspring House, Inc. 302 Essex Avenue Gloucester, MA 01930-2351	PC	None	For general support.	$1,000

Stella and Charles Guttman Foundation, Inc.
Grants Paid During the Year
December 31, 2013
EIN # 13-6103039

Organization	Tax Status	Relationship	Purpose of Grant	Grant Amount
Yale University Yale Law School Fund P.O. Box 208215 New Haven, CT 06520-8215	PC	None	In support of the Yale Law School Fund in honor of the 60th Reunion of the Class of 1953; and In support of the Yale Law School Fund for the 2012-2013 Annual Giving Campaign for the Class of 1953.	$2,500
Youth Communication/New York Center, Inc. 224 West 29th Street New York, NY 10001-5204	PC	None	For general support.	$35,000
Total				**$25,485,000**

Stella and Charles Guttman Foundation, Inc.
Grant Approved for Future Payment
December 31, 2013
EIN # 13-6103039

Organization	Tax Status	Relationship	Purpose of Grant	Grant Amount
City University of New York 535 East 80th Street New York, NY 10075	PC	None	To expand the University's Accelerated Study in Associate Programs (ASAP) initiative, to continue to provide extensive academic support services to students at CUNY community colleges, to improve student retention and graduation	$ 500,000
			Total	**$ 500,000**

Form **8868**
(Rev January 2014)
Department of the Treasury
Internal Revenue Service

Application for Extension of Time To File an Exempt Organization Return

OMB No 1545-1709

▶ File a separate application for each return.
▶ Information about Form 8868 and its instructions is at *www.irs.gov/form8868*.

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

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

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

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

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

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

Enter filer's identifying number, see instructions

Type or print
File by the due date for filing your return See instructions

Name of exempt organization or other filer, see instructions	Employer identification number (EIN) or
STELLA AND CHARLES GUTTMAN FOUNDATION, INC.	13-6103039
Number, street, and room or suite no If a P O box, see instructions	Social security number (SSN)
122 EAST 42ND STREET	
City, town or post office, state, and ZIP code For a foreign address, see instructions	
NEW YORK, NY 10168-2101	

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

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

- The books are in the care of ▶ LILA NOBLE C/O THE FOUNDATION

Telephone No ▶ 212 371-7082 FAX No ▶ 212 371-8936

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

1 I request an automatic 3-month (6 months for a corporation required to file Form 990-T) extension of time until 08/15, 20 14, to file the exempt organization return for the organization named above The extension is for the organization's return for
▶ [X] calendar year 20 13 or
▶ [ ] tax year beginning ______, 20__, and ending ______, 20__

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

3a	If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits See instructions	**3a**	$ 37,974.
b	If this application is for Form 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made Include any prior year overpayment allowed as a credit.	**3b**	$ 37,974.
c	**Balance due.** Subtract line 3b from line 3a Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions	**3c**	$ 0

Caution If you are going to make an electronic funds withdrawal (direct debit) with this Form 8868, see Form 8453-EO and Form 8879-EO for payment instructions

For Privacy Act and Paperwork Reduction Act Notice, see instructions. Form **8868** (Rev 1-2014)

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- If you are filing for an **Additional (Not Automatic) 3-Month Extension, complete only Part II** and check this box . . . . ▶ [X]

Note. Only complete Part II if you have already been granted an automatic 3-month extension on a previously filed Form 8868

- If you are filing for an **Automatic 3-Month Extension, complete only Part I** (on page 1)

Part II **Additional (Not Automatic) 3-Month Extension of Time.** Only file the original (no copies needed)

Enter filer's identifying number, see instructions

Type or print	Name of exempt organization or other filer, see instructions STELLA AND CHARLES GUTTMAN FOUNDATION, INC.	Employer identification number (EIN) or 13-6103039
File by the due date for filing your return See instructions	Number, street, and room or suite no If a P O box, see instructions 122 EAST 42ND STREET	Social security number (SSN)
	City, town or post office, state, and ZIP code For a foreign address, see instructions NEW YORK, NY 10168-2101	

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

Application Is For	Return Code	Application Is For	Return Code
Form 990 or Form 990-EZ	01		
Form 990-BL	02	Form 1041-A	08
Form 4720 (individual)	03	Form 4720 (other than individual)	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

STOP! Do not complete Part II if you were not already granted an automatic 3-month extension on a previously filed Form 8868.

- The books are in the care of ▶ LILA NOBLE C/O THE FOUNDATION

  Telephone No ▶ 212 371-7082 Fax No ▶ 212 371-8936

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

4 I request an additional 3-month extension of time until 11/17 , 20 14

5 For calendar year 2013 , or other tax year beginning ________ , 20 ____ , and ending ________ , 20 ____

6 If the tax year entered in line 5 is for less than 12 months, check reason [ ] Initial return [ ] Final return [ ] Change in accounting period

7 State in detail why you need the extension AWAITING INFORMATION FROM THIRD PARTY SOURCES NECESSARY TO FILE A COMPLETE AND ACCURATE RETURN

8a If this application is for Forms 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits See instructions	**8a**	$	37,974.
b If this application is for Forms 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made Include any prior year overpayment allowed as a credit and any amount paid previously with Form 8868	**8b**	$	37,974.
c **Balance Due.** Subtract line 8b from line 8a Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System) See instructions.	**8c**	$	0

Signature and Verification must be completed for Part II only.

Under penalties of perjury, I declare that I have examined this form, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete, and that I am authorized to prepare this form

Signature ▶ Title ▶ Date ▶

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