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Form

990-PF

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

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

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

OMB No 1545-0052

2013

Open to Public Inspection

For calendar year 2013, or tax year beginning 01-01-2013 , and ending 12-31-2013

Name of foundation THE ROTHBERT FUND INC		A Employer identification number 13-6162570	
Number and street (or P O box number if mail is not delivered to street address) 475 RIVERSIDE DRIVE ROOM/SUITE 1622		Room/suite	
City or town, state or province, country, and ZIP or foreign postal code NEW YORK, NY 10115		B Telephone number (see instructions)	
G Check all that apply ☐ Initial return ☐ Initial return of a former public charity ☐ Final return ☐ Amended return ☐ Address change ☐ Name change		C If exemption application is pending, check here ☐	
H Check type of organization ☒ Section 501(c)(3) exempt private foundation ☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation		D 1. Foreign organizations, check here ☐ 2. Foreign organizations meeting the 85% test, check here and attach computation ☐	
I Fair market value of all assets at end of year (from Part II, col. (c), line 16) \$ 4,882,770		E If private foundation status was terminated under section 507(b)(1)(A), check here ☐	
J Accounting method ☐ Cash ☐ Accrual ☒ Other (specify) <u>MODIFIED CASH</u> (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)	26,800			
	2 Check ☒ if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments	21	21		
	4 Dividends and interest from securities.	117,185	117,185		
	5a Gross rents				
	b Net rental income or (loss) _____				
	6a Net gain or (loss) from sale of assets not on line 10	38,067			
	b Gross sales price for all assets on line 6a 153,494				
	7 Capital gain net income (from Part IV, line 2)		38,067		
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less returns and allowances				
	b Less Cost of goods sold				
	c Gross profit or (loss) (attach schedule)				
	11 Other income (attach schedule)				
	12 Total. Add lines 1 through 11	182,073	155,273		
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc				
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees (attach schedule)				
	b Accounting fees (attach schedule)	7,400	2,467		4,933
	c Other professional fees (attach schedule)	12,275	12,275		
	17 Interest				
	18 Taxes (attach schedule) (see instructions)	3,619	719		
	19 Depreciation (attach schedule) and depletion				
	20 Occupancy	9,470			9,470
	21 Travel, conferences, and meetings	1,872			1,872
	22 Printing and publications				
	23 Other expenses (attach schedule)	50,967			50,967
	24 Total operating and administrative expenses. Add lines 13 through 23	85,603	15,461		67,242
	25 Contributions, gifts, grants paid	148,500			148,500
	26 Total expenses and disbursements. Add lines 24 and 25	234,103	15,461		215,742
	27 Subtract line 26 from line 12				
	a Excess of revenue over expenses and disbursements	-52,030			
	b Net investment income (if negative, enter -0-)		139,812		
	c Adjusted net income (if negative, enter -0-)				

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			
	2	Savings and temporary cash investments	295,975	177,346	177,347
	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	3,000		
	10a	Investments—U S and state government obligations (attach schedule)	304,818	 304,818	329,494
	b	Investments—corporate stock (attach schedule)	1,843,279	 1,909,407	3,007,485
	c	Investments—corporate bonds (attach schedule).	1,279,034	 1,279,034	1,368,389
	11	Investments—land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
	12	Investments—mortgage loans			
	13	Investments—other (attach schedule)			
	14	Land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
Liabilities	15	Other assets (describe ▶ _____)		 55	 55
	16	Total assets (to be completed by all filers—see the instructions Also, see page 1, item I)	3,726,106	3,670,660	4,882,770
	17	Accounts payable and accrued expenses			
	18	Grants payable			
	19	Deferred revenue			
	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable (attach schedule)			
Net Assets or Fund Balances	22	Other liabilities (describe ▶ _____)	 3,416		
	23	Total liabilities (add lines 17 through 22)	3,416	0	
		Foundations that follow SFAS 117, check here ▶ ☒ and complete lines 24 through 26 and lines 30 and 31.			
	24	Unrestricted	3,696,318	3,644,107	
	25	Temporarily restricted	26,372	26,553	
	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 page 17 of the instructions)	3,722,690	3,670,660	
	31	Total liabilities and net assets/fund balances (see page 17 of the instructions)	3,726,106	3,670,660	

Part III Analysis of Changes in Net Assets or Fund Balances

1	Total net assets or fund balances at beginning of year—Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year’s return)	1	3,722,690
2	Enter amount from Part I, line 27a	2	-52,030
3	Other increases not included in line 2 (itemize) ▶ _____	3	
4	Add lines 1, 2, and 3	4	3,670,660
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	3,670,660

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 Additional Data Table			
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 See Additional Data Table			
b			
c			
d			
e			

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(I) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) 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	
a See Additional Data Table			
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	38,067
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	

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 page 18 of 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	204,750	4,244,082	0 048244
2011	210,584	4,388,570	0 047985
2010	220,643	4,212,306	0 052381
2009	205,964	3,881,892	0 053058
2008	221,914	4,757,862	0 046642

2	Total of line 1, column (d).	2	0 248310
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 049662
4	Enter the net value of noncharitable-use assets for 2013 from Part X, line 5.	4	4,488,739
5	Multiply line 4 by line 3.	5	222,920
6	Enter 1% of net investment income (1% of Part I, line 27b).	6	1,398
7	Add lines 5 and 6.	7	224,318
8	Enter qualifying distributions from Part XII, line 4. 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	8	215,742

Part VIExcise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948—see page 18 of the instructions)

1a		Exempt operating foundations described in section 4940(d)(2), check here ☐ and enter "N/A" on line 1		1	2,796		
Date of ruling or determination letter _____ (attach copy of letter if necessary—see instructions)							
b		Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☐ and enter 1% of Part I, line 27b		2			
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	2,796
4		Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-).		4			
5		Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-		5	2,796		
6		Credits/Payments		7	3,200		
a	2013 estimated tax payments and 2012 overpayment credited to 2013	6a	3,200				
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	3,200		
8		Enter any penalty for underpayment of estimated tax. Check here ☒ if Form 2220 is attached		8	15		
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	389		
11		Enter the amount of line 10 to be Credited to 2014 estimated tax 389 Refunded		11			

Part VII-AStatements 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 political campaign?	1a	Yes	No
b	Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see page 19 of the instructions for definition)? <i>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.</i>	1b		No
c	Did the foundation file Form 1120-POL for this year?	1c		No
d	Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation \$ _____ (2) On foundation managers \$ _____			
e	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers \$ _____			
2	Has the foundation engaged in any activities that have not previously been reported to the IRS? <i>If "Yes," attach a detailed description of the activities.</i>	2		No
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? <i>If "Yes," attach a conformed copy of the changes</i>	3		No
4a	Did the foundation have unrelated business gross income of \$1,000 or more during the year?	4a		No
b	If "Yes," has it filed a tax return on Form 990-T for this year?	4b		
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year? <i>If "Yes," attach the statement required by General Instruction T.</i>	5		No
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	Yes	
7	Did the foundation have at least \$5,000 in assets at any time during the year? <i>If "Yes," complete Part II, col. (c), and Part XV.</i>	7	Yes	
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? <i>If "No," attach explanation.</i>	8b	Yes	
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)? <i>If "Yes," complete Part XIV</i>	9		No
10	Did any persons become substantial contributors during the tax year? <i>If "Yes," attach a schedule listing their names and addresses.</i>	10		No

Part 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		No
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		No
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	Yes	
Website address ▶ROOTHBERTFUND.ORG				
14	The books are in care of ▶CORPORATION Telephone no ▶(212) 870-3206 Located at ▶475 RIVERSIDE DRIVE NEW YORK NY ZIP +4 ▶10115			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 —Check here ▶ ☐ and enter the amount of tax-exempt interest received or accrued during the year ▶	15		
16	At any time during calendar year 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	Yes	No
See 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 page 20 of the instructions)?. . . Organizations relying on a current notice regarding disaster assistance check here. ▶ ☐	1b		
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		
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 ▶ 20____, 20____, 20____, 20____			
b	Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement—see instructions).	2b		
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here ▶ 20____, 20____, 20____, 20____			
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?. ☐ Yes ☒ No			
b	If "Yes," did it have excess business holdings in 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? (<i>Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2013.</i>).	3b		
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a		No
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		No

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

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

If "Yes" to 6b, file Form 8870.

7a

At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?

Yes

No

b

If yes, did the foundation receive any proceeds or have any net income attributable to the transaction?

7b

Part VIII

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

1

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

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

2

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

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

Total number of other employees paid over \$50,000.

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

3 Five highest-paid independent contractors for professional services (see instructions). If none, enter "NONE".		
(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
NONE		
Total number of others receiving over \$50,000 for professional services.		

Part IX-A Summary of Direct Charitable Activities

List the foundation's four largest direct charitable activities during the tax year. Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc.	Expenses
1	
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 N/A	
2	
All other program-related investments. See page 24 of the instructions.	
3	
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	4,354,278
b	Average of monthly cash balances.	1b	202,817
c	Fair market value of all other assets (see instructions).	1c	0
d	Total (add lines 1a, b, and c).	1d	4,557,095
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	4,557,095
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	68,356
5	Net value of noncharitable-use assets. Subtract line 4 from line 3 Enter here and on Part V, line 4	5	4,488,739
6	Minimum investment return. Enter 5% of line 5.	6	224,437

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	224,437
2a	Tax on investment income for 2013 from Part VI, line 5.	2a	2,796
b	Income tax for 2013 (This does not include the tax from Part VI).	2b	
c	Add lines 2a and 2b.	2c	2,796
3	Distributable amount before adjustments Subtract line 2c from line 1.	3	221,641
4	Recoveries of amounts treated as qualifying distributions.	4	
5	Add lines 3 and 4.	5	221,641
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	221,641

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	215,742
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	215,742
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	
6	Adjusted qualifying distributions. Subtract line 5 from line 4.	6	215,742
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				221,641
2 Undistributed income, if any, as of the end of 2013				
a Enter amount for 2012 only.			133,826	
b Total for prior years 20____, 20____, 20____				
3 Excess distributions carryover, if any, to 2013				
a From 2008.				
b From 2009.				
c From 2010.				
d From 2011.				
e From 2012.				
f Total of lines 3a through e.				
4 Qualifying distributions for 2013 from Part XII, line 4 ▶ \$ 215,742				
a Applied to 2012, but not more than line 2a			133,826	
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.				81,916
e Remaining amount distributed out of corpus				
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				
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				139,725
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				
10 Analysis of line 9				
a Excess from 2009. . . .				
b Excess from 2010. . . .				
c Excess from 2011. . . .				
d Excess from 2012. . . .				
e Excess from 2013. . . .				

Part XIV

Private Operating Foundations (see instructions and Part VII-A, question 9)

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

☐ 4942(j)(3) or ☐ 4942(j)(5)

2a	Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed	Tax year	Prior 3 years			(e) Total
		(a) 2013	(b) 2012	(c) 2011	(d) 2010	
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 organization 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))

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

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

THE ROTHBERT FUND
475 RIVERSIDE DR
ROOM 252
NEW YORK, NY 101150252
(212) 870-3116

b

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

A FOUR-PAGE SCHOLARSHIP APPLICATION IS AVAILABLE ON-LINE OR FROM THE OFFICE. IT REQUIRES PERSONAL INFORMATION, EDUCATIONAL STATUS, EDUCATIONAL HISTORY, BACKGROUND (EMPLOYMENT) INFORMATION, FINANCIAL INFORMATION ON EDUCATIONAL EXPENSES AND RESOURCES, PRESENT ACTIVITIES, THREE RECOMMENDATION LETTERS AND TWO ESSAYS ON AUTOBIOGRAPHICAL INFORMATION. A SELECTION OF APPLICANTS ARE INTERVIEWED BY BOARD MEMBERS. SUCCESSFUL GRANTEES ARE SELECTED FROM THIS GROUP BY THE SCHOLARSHIP COMMITTEE. PREVIOUS GRANTEES SEEKING CONTINUING SUPPORT FOR THEIR EDUCATION SUBMIT A TWO PAGE SCHOLARSHIP RENEWAL APPLICATION, WHICH UPDATES THEIR INFORMATION, FINANCES, AND PERSONAL DEVELOPMENT OVER THE PREVIOUS YEAR.

c

Any submission deadlines

APPLICATIONS MUST BE RECEIVED BY FEBRUARY 1 FOR THE AWARDS THAT ARE GENERALLY FUNDED IN THE JULY - A

d

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

THE ROTHBERT FUND MAKES TWO TYPES OF GRANTS. 1. SCHOLARSHIP GRANTS FOR GRADUATE AND UNDERGRADUATE STUDY. APPLICANTS FOR THESE GRANTS ARE REQUIRED TO COMPLETE THE APPROPRIATE APPLICATION. 2. FELLOWSHIP GRANTS TO ORGANIZATIONS QUALIFIED UNDER I.R.C. SECTION 501(C)(3) ON BEHALF OF FELLOWS, INDIVIDUALLY OR IN GROUPS, WHO ARE NO LONGER RECEIVING SCHOLARSHIP GRANTS. QUALIFYING FELLOWS MAY APPLY FOR THESE GRANTS AT ANY TIME AND THEIR APPLICATIONS ARE REVIEWED AND ACTED UPON BY A COMMITTEE MADE UP OF MEMBERS OR FORMER MEMBERS OF THE BOARD OF DIRECTORS OF THE FUND.

Part XV

Supplementary Information (continued)

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

Recipient	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
Name and address (home or business)				
a Paid during the year See Additional Data Table				
Total			3a	148,500
b Approved for future payment				
Total			3b	

Enter gross amounts unless otherwise indicated

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

Form **990-PF** (2013)

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

(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)
DANAHER CORP - 250 SHARES	P		2013-05-08
HANCOCK HOLDING - 2500 SHARES	P		2013-05-08
HONEYWELL INTERNAT'L - 200 SHARES	P		2013-05-08
IBM - 75 SHARES	P		2013-05-08
JACOBS ENERGY GROUP - 500 SHARES	P		2013-05-08
UNITED TECHNOLOGIES - 150 SHARES	P		2013-05-08

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

(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)
15,196		9,005	6,191
68,711		80,089	-11,378
15,025		2,241	12,784
15,329		8,072	7,257
25,271		11,235	14,036
13,962		4,785	9,177

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(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	
			6,191
			-11,378
			12,784
			7,257
			14,036
			9,177

Form 990PF Part VIII Line 1 - List all officers, directors, trustees, foundation managers and their compensation

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
BLAKE T NEWTON III 	PRESIDENT/DI 4 00	0	0	0
C/O THE ROOTHBERT FUND 475 RIVERSIDE DRIVE NEW YORK,NY 10115				
JANE FRIEDMAN CENTURY 	VICE PRES/DI 6 00	0	0	0
C/O THE ROOTHBERT FUND 475 RIVERSIDE DRIVE NEW YORK,NY 10115				
CHARLES VAN HORNE 	VP/TREAS/DIR 3 00	0	0	0
C/O THE ROOTHBERT FUND 475 RIVERSIDE DRIVE NEW YORK,NY 10115				
STEPHEN F WILDER 	ASST TREAS/ 2 50	0	0	0
C/O THE ROOTHBERT FUND 475 RIVERSIDE DRIVE NEW YORK,NY 10115				
DONNA M JOHNSON 	DIRECTOR 1 00	0	0	0
C/O THE ROOTHBERT FUND 475 RIVERSIDE DRIVE NEW YORK,NY 10115				
JOHN P DEVLIN 	DIRECTOR 0 25	0	0	0
C/O THE ROOTHBERT FUND 475 RIVERSIDE DRIVE NEW YORK,NY 10115				
PHILIP M FORNESS 	FELLOW REPRE 0 50	0	0	0
C/O THE ROOTHBERT FUND 475 RIVERSIDE DRIVE NEW YORK,NY 10115				
JAMES G HEINEGG 	DIRECTOR 1 00	0	0	0
C/O THE ROOTHBERT FUND 475 RIVERSIDE DRIVE NEW YORK,NY 10115				
JAMES A ROSENGARTEN 	DIRECTOR 2 50	0	0	0
C/O THE ROOTHBERT FUND 475 RIVERSIDE DRIVE NEW YORK,NY 10115				
NADJWA E L NORTON 	DIRECTOR 1 00	0	0	0
C/O THE ROOTHBERT FUND 475 RIVERSIDE DRIVE NEW YORK,NY 10115				
NATHALIS W WAMBA 	DIRECTOR 0 25	0	0	0
C/O THE ROOTHBERT FUND 475 RIVERSIDE DRIVE NEW YORK,NY 10115				
BARBARA A EDWARDS 	DIRECTOR 0 50	0	0	0
C/O THE ROOTHBERT FUND 475 RIVERSIDE DRIVE NEW YORK,NY 10115				
JEFFREY K PEGRAM 	DIRECTOR 0 25	0	0	0
C/O THE ROOTHBERT FUND 475 RIVERSIDE DRIVE NEW YORK,NY 10115				
VIJAY R VARMA 	DIRECTOR 3 00	0	0	0
C/O THE ROOTHBERT FUND 475 RIVERSIDE DRIVE NEW YORK,NY 10115				
AMY G GRACEY 	FELLOW REPRE 0 50	0	0	0
C/O THE ROOTHBERT FUND 475 RIVERSIDE DRIVE NEW YORK,NY 10115				

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient	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
Name and address (home or business)				
a Paid during the year				
ARROJ ALI NY INSTITUTE OF TECHNOLOG OLD WESTBURY,NY 11568		PAID	SCHOLARSHIP	3,000
KHADIJAH R BRYDSON GEORGETOWN UNIVERSITY WASHINGTON,DC 20057		PAID	SCHOLARSHIP	3,000
SOPHIA G FARRUGGIA JOHNS HOPKINS UNIVERSITY BALTIMORE,MD 21218		PAID	SCHOLARSHIP	3,000
NYA A HOLDER YALE UNIVERSITY NEW HAVEN,CT 06520		PAID	SCHOLARSHIP	3,000
ALEXYEA M HOLMES ST JOHNS UNIVERSITY QUEENS,NY 11439		PAID	SCHOLARSHIP	3,000
JACOB JACOBS NC STATE UNIVERSITY RALEIGH,NC 27695		PAID	SCHOLARSHIP	3,000
DAVID J JAMES RUTGERS UNIVERSITY NEWARK,NJ 07102		PAID	SCHOLARSHIP	3,000
REGINALD B JAMES UNIV OF PENNSYLVANIA PHILADELPHIA,PA 19104		PAID	SCHOLARSHIP	3,000
DEAN T JEPSON UNIVERSITY OF PITTSURGH PITTSBURGH,PA 15260		PAID	SCHOLARSHIP	3,000
DEVIN D JEPSON VIRGINIA POLYTECHNIC INST BLACKSBURG,VA 24061		PAID	SCHOLARSHIP	3,000
GREGORY JORDAN-DETMORE BROWN UNIVERSITY PROVIDENCE,RI 02912		PAID	SCHOLARSHIP	3,000
MOHAMMEND SAFWAT HOSSAIN KHAN BINGHAMTON UNIVERSITY BINGHAMTON,NY 13902		PAID	SCHOLARSHIP	3,000
KIEARRAH M LAWRENCE MORGAN STATE UNIVERSITY BALTIMORE,MD 21251		PAID	SCHOLARSHIP	3,000
JULIANNE LEWIS CHEYNEY UNIVERSITY CHEYNEY,PA 19319		PAID	SCHOLARSHIP	3,000
MARGARET E LUCAS UNIVERSITY OF PITTSBURGH PITTSBURGH,PA 15260		PAID	SCHOLARSHIP	3,000
Total ▶ 3a				148,500

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient	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
Name and address (home or business)				
a <i>Paid during the year</i>				
CRYSTAL J MA UNIVERSITY OF CHICAGO CHICAGO,IL 60637		PAID	SCHOLARSHIP	3,000
MICHAEL G MUNTER WIDENER UNIVERSITY CHESTER,PA 19013		PAID	SCHOLARSHIP	3,000
DA'VIANNA C NELSON UNIVERSITY OF N CAROLINA CHAPEL HILL,NC 27599		PAID	SCHOLARSHIP	3,000
KARL POPS CORNELL UNIVERSITY ITHACA,NY 14851		PAID	SCHOLARSHIP	3,000
RUDY D SAINT-LOUIS HUNTER COLLEGE NEW YORK,NY 10065		PAID	SCHOLARSHIP	3,000
DAQUAN L THOMAS SYRACUSE UNIVERSITY SYRACUSE,NY 13244		PAID	SCHOLARSHIP	3,000
BRANDON C WALKER UNIVERSITY OF MARYLAND COLLEGE PARK,MD 21043		PAID	SCHOLARSHIP	1,500
DOMINIQUE L WALKER BENNETT COLLEGE GREENSBORO,NC 27401		PAID	SCHOLARSHIP	3,000
NALA Q WARD SUNY COLLEGE AT BROCKPORT BROCKPORT,NY 14420		PAID	SCHOLARSHIP	3,000
ISAIAH M WEST EMORY UNIVERSITY ATLANTA,GA 30322		PAID	SCHOLARSHIP	2,500
YUSUF ANWAR SUNY DOWNST COLL OF MED BROOKLYN,NY 11203		PAID	SCHOLARSHIP	3,000
ATENA ASIAII ALPERT MED BROWN UNIV PROVIDENCE,RI 02912		PAID	SCHOLARSHIP	3,000
AZIZA A BELCHER PLATT FORDHAM UNIVERSITY NEW YORK,NY 10023		PAID	SCHOLARSHIP	3,500
MUBASHIR S BILLAH SUNY DOWNST COLL OF MED BROOKLYN,NY 11203		PAID	SCHOLARSHIP	3,000
PHAEDRA D BLOCKER NORTHERN SEMINARY LOMBARD,IL 60148		PAID	SCHOLARSHIP	3,000
Total ▶ 3a				148,500

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient	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
Name and address (home or business)				
a <i>Paid during the year</i>				
SALLY W BONET RUTGERS GRAD SCHOOL OF ED NEW BRUNSWICK, NJ 08901		PAID	SCHOLARSHIP	3,000
SUNDER JOHN BOOPALAN PRINCETON THEOLOGICAL SEM PRINCETON, NJ 08542		PAID	SCHOLARSHIP	3,000
MARK J DIXON PRINCETON THEOLOGICAL SEM PRINCETON, NJ 08542		PAID	SCHOLARSHIP	3,000
PHILIP M FORNESS PRINCETON THEOLOGICAL SEM PRINCETON, NJ 08542		PAID	SCHOLARSHIP	3,000
MATLIN M GILMAN UNION THEOLOGICAL SEM NEW YORK, NY 10027		PAID	SCHOLARSHIP	3,000
EDITH N GNANADASS PENN STATE UNIVERSITY UNIVERSITY PARK, PA 16802		PAID	SCHOLARSHIP	1,500
AMY B GRACEY LOYOLA UNIVERSITY BALTIMORE, MD 21210		PAID	SCHOLARSHIP	3,000
LOSMEIYA HUANG BANK STREET COLLEGE OF ED NEW YORK, NY 10025		PAID	SCHOLARSHIP	3,000
GAURAV K JASHNANI COLUMBIA TEACHERS COLLEGE NEW YORK, NY 10027		PAID	SCHOLARSHIP	3,500
JUSTIN KALNAS DREXEL UNIVERSITY PHILADELPHIA, PA 19102		PAID	SCHOLARSHIP	3,000
SAM KHALIFIAN JOHN HOPKINS UNIVERSITY BALTIMORE, MD 21205		PAID	SCHOLARSHIP	3,000
MARK M KOYAMA YALE DIVINITY SCHOOL NEW HAVEN, CT 06511		PAID	SCHOLARSHIP	3,000
ROBERTA F LEVINE VERMONT COLLEGE OF FINE A MONTPELIER, VT 05602		PAID	FELLOWSHIP GRANT	4,000
MARIA LIU WONG COLUMBIA TEACHERS COLLEGE NEW YORK, NY 10027		PAID	SCHOLARSHIP	3,000
CELENE LIZZIO BRANDEIS UNIVERSITY WALTHAM, MA 02453		PAID	SCHOLARSHIP	3,000
Total  3a				148,500

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient	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
Name and address (home or business)				
a <i>Paid during the year</i>				
MEGAN L MCCORMICK UNIVERSITY OF MEMPHIS MEMPHIS,TN 38152		PAID	SCHOLARSHIP	3,000
BROOKE M ODLE NJ INSTITUTE OF TECHNOLOG NEWARK,NJ 07191		PAID	SCHOLARSHIP	1,500
BONNIE MCDOOUGALL OLSON COLUMBIA UNIVERSITY NEW YORK,NY 10027		PAID	SCHOLARSHIP	1,500
ADALISS S RODRIGUEZ HARVARD DIVINITY SCHOOL CAMBRIDGE,MA 02138		PAID	SCHOLARSHIP	3,000
COLLEEN A SHAUGHNESSY PENN STATE UNIVERSITY UNIVERSITY PARK,PA 16802		PAID	SCHOLARSHIP	3,000
AVICHAID SMOLEN NYU WAGNER SCHOOL NEW YORK,NY 10025		PAID	SCHOLARSHIP	3,000
AARON K STAUFFER UNION THEOLOGICL SEMINARY NEW YORK,NY 10027		PAID	SCHOLARSHIP	3,000
REFUND FROM NYU NEW YORK UNIVERSITY NEW YORK,NY 10012		PAID	SCHOLORSHIP	-3,000
Total			3a	148,500

TY 2013 Accounting Fees Schedule**Name:** THE ROOTHBERT FUND INC**EIN:** 13-6162570

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
TAX PREPARATION & AUDITING	7,400	2,467		4,933

TY 2013 Compensation Explanation**Name:** THE ROOTHBERT FUND INC**EIN:** 13-6162570

Person Name	Explanation
BLAKE T NEWTON III	
JANE FRIEDMAN CENTURY	
CHARLES VAN HORNE	
STEPHEN F WILDER	
DONNA M JOHNSON	
JOHN P DEVLIN	
PHILIP M FORNESS	
JAMES G HEINEGG	
JAMES A ROSENGARTEN	
NADJWA E L NORTON	
NATHALIS W WAMBA	
BARBARA A EDWARDS	
JEFFREY K PEGRAM	
VIJAY R VARMA	
AMY G GRACEY	

**TY 2013 Investments Corporate
Bonds Schedule****Name:** THE ROTHBERT FUND INC**EIN:** 13-6162570

Name of Bond	End of Year Book Value	End of Year Fair Market Value
ALLERGAN INC	99,650	110,622
CONSOLIDATED EDISON	49,750	55,816
FEDERAL EXPRESS	50,196	45,199
FLUOR CORP.	76,014	73,103
IBM	102,276	125,086
JOHNSON CONTROLS	100,500	103,398
MEDCO HEALTH SOLUTIONS	103,209	103,227
MERRILL LYNCH & CO	97,500	111,251
MORGAN STANLEY	75,401	75,098
PEPSICO INC	99,850	112,172
PITNEY BOWES	100,671	110,199
VERIZON COMMUNICATIONS	74,687	78,210
WALMART STORES	100,011	108,467
WELLS FARGO	49,919	51,274
WM WRIGLEY JR CO	99,400	105,267

TY 2013 Investments Corporate
Stock Schedule

Name: THE ROTHBERT FUND INC
EIN: 13-6162570

Name of Stock	End of Year Book Value	End of Year Fair Market Value
ALBERMARIE CORP	66,146	63,390
BERKSHIRE HATHAWAY INC	59,964	121,524
BRISTOL MYERS SQUIBB	101,748	122,245
CHICAGO BRIDGE & IRON CO	60,824	91,454
CISCO SYSTEMS	48,211	44,860
CITIGROUP	61,801	7,817
COMCAST CORP	63,188	75,401
DANAHER CORP	77,448	165,980
DOW CHEMICAL	23,610	44,400
EMC CORP.	90,921	82,995
EXPRESS SCRIPTS HOLDING	83,951	91,312
GOLDMAN SACHS	73,146	141,808
HANCOCK HOLDING		
HEARTLAND EXPRESS INC	57,359	111,167
HONEYWELL INTERNATIONAL	21,289	173,603
IBM	78,027	135,988
INTEL CORP	113,613	103,820
ISHARES TR MSCI EMERGING MARKETS	41,552	41,795
JACOBS ENGINEERING GROUP	42,693	119,681
MCDONALDS CORP	62,629	75,198
MOOG INC	60,324	113,799
NIKE INC CLASS B	65,951	125,824
NORTHEAST UTILITIES	89,588	99,617
ORACLE CORPORATION	108,492	114,780
PROCTER & GAMBLE	60,136	81,410
QUALCOMM INC	60,438	70,537
ROYAL DUTCH SHELL	26,236	92,651
THERMO FISHER SCIENTIFIC	54,840	167,025
UNITED PARCEL SERVICE	47,139	84,064
UNITED TECHNOLOGIES CORP	47,851	170,700

Name of Stock	End of Year Book Value	End of Year Fair Market Value
WELLS FARGO & CO	60,292	72,640

**TY 2013 Investments Government
Obligations Schedule****Name:** THE ROTHBERT FUND INC**EIN:** 13-6162570**US Government Securities - End of
Year Book Value:**

201,397

**US Government Securities - End of
Year Fair Market Value:**

221,914

**State & Local Government
Securities - End of Year Book
Value:**

103,421

**State & Local Government
Securities - End of Year Fair
Market Value:**

107,580

TY 2013 Other Assets Schedule

Name: THE ROTHBERT FUND INC

EIN: 13-6162570

Description	Beginning of Year - Book Value	End of Year - Book Value	End of Year - Fair Market Value
PREPAID EXCISE TAX		55	55

TY 2013 Other Expenses Schedule**Name:** THE ROTHBERT FUND INC**EIN:** 13-6162570

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
EXPENSES				
NYS DEPT OF LAW - FILING FEE	250			250
OFFICE SUPPLIES AND EXPENSES	1,124			1,124
OFFICE MANAGMNT & BOOKKEEPING	21,768			21,768
WEBSITE	268			268
POSTAGE	1,119			1,119
TELEPHONE	1,638			1,638
INSURANCE	2,608			2,608
FELLOWSHIP PROGRAM	16,707			16,707
REGIONAL PROGRAM	485			485
FEES	5,000			5,000

TY 2013 Other Liabilities Schedule

Name: THE ROOTHBERT FUND INC

EIN: 13-6162570

Description	Beginning of Year - Book Value	End of Year - Book Value
EXCISE TAX PAYABLE	3,416	

TY 2013 Other Professional Fees Schedule

Name: THE ROOTHBERT FUND INC

EIN: 13-6162570

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
INVESTMENT MANAGEMENT FEES	12,275	12,275		

TY 2013 Taxes Schedule**Name:** THE ROOTHBERT FUND INC**EIN:** 13-6162570

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FOREIGN TAX W/H ON DIVIDENDS	719	719		
EXCISE TAX - 2013	2,900			