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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 separate instructions is at www.irs.gov/form990pf.

Open to Public Inspection

Department of the Treasury
Internal Revenue Service

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

Name of foundation THE ROCKWOOD FOUNDATION AKA WESTERHOLD FAMILY FOUNDATION		A Employer identification number 20-0248335
Number and street (or P O box number if mail is not delivered to street address) 20 N. WACKER DRIVE	Room/suite 960	B Telephone number (see instructions) (312) 621-2238
City or town, state or province, country, and ZIP or foreign postal code CHICAGO, IL 60606		C If exemption application is pending, check here <input type="checkbox"/>
G Check all that apply: <input type="checkbox"/> Initial return <input type="checkbox"/> Final return <input type="checkbox"/> Address change <input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Amended return <input type="checkbox"/> Name change		D 1. Foreign organizations, check here <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/>
H Check type of organization: <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/>
I Fair market value of all assets at end of year (from Part II, col (c), line 16) \$ 169,941.		F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>
J Accounting method: <input type="checkbox"/> Cash <input checked="" type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____ <i>(Part I, column (d) must be on cash basis)</i>		

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)	28,625.			
	2 Check <input checked="" type="checkbox"/> if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments				
	4 Dividends and interest from securities	1,612.	1,612.		
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10				
	b Gross sales price for all assets on line 6a				
	7 Capital gain net income (from Part IV, line 2)				
	8 Net short-term capital gain				
	9 Income modifications				
	10 a Gross sales less returns and allowances				
b Less Cost of goods sold					
c Gross profit or (loss) (attach schedule)					
11 Other income (attach schedule)					
12 Total. Add lines 1 through 11	30,237.	1,612.			
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc	0			
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees (attach schedule)	360.			360.
	b Accounting fees (attach schedule)	2,000.	1,000.		1,000.
	c Other professional fees (attach schedule)				
	17 Interest				
	18 Taxes (attach schedule) (see instructions)				
	19 Depreciation (attach schedule) and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses (attach schedule)	16,454.			16,454.
	24 Total operating and administrative expenses. Add lines 13 through 23	18,814.	1,000.		17,814.
	25 Contributions, gifts, grants paid	16,000.			16,000.
26 Total expenses and disbursements. Add lines 24 and 25	34,814.	1,000.	0	33,814.	
27 Subtract line 26 from line 12					
a Excess of revenue over expenses and disbursements	-4,577.				
b Net investment income (if negative, enter -0-)		612.			
c Adjusted net income (if negative, enter -0-)					

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Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)			
		Beginning of year (a) Book Value	End of year (b) Book Value (c) Fair Market Value		
Assets	1	Cash - non-interest-bearing			
	2	Savings and temporary cash investments	28,926.	22,998.	29,667.
	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		1,350.	1,350.
	10 a	Investments - U S and state government obligations (attach schedule),			
	b	Investments - corporate stock (attach schedule)			
	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 2	105,341.	138,924.	138,924.
	14	Land, buildings, and equipment basis ▶ Less accumulated depreciation (attach schedule) ▶			
15	Other assets (describe ▶)				
16	Total assets (to be completed by all filers - see the instructions Also, see page 1, item I)	134,267.	163,272.	169,941.	
Liabilities	17	Accounts payable and accrued expenses			
	18	Grants payable			
	19	Deferred revenue			
	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable (attach schedule)			
	22	Other liabilities (describe ▶)			
23	Total liabilities (add lines 17 through 22)	0	0		
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ <input type="checkbox"/> and complete lines 24 through 26 and lines 30 and 31.				
	24	Unrestricted			
	25	Temporarily restricted			
	26	Permanently restricted			
	Foundations that do not follow SFAS 117, . . . ▶ <input checked="" type="checkbox"/> 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	134,267.	163,272.		
30	Total net assets or fund balances (see instructions),	134,267.	163,272.		
31	Total liabilities and net assets/fund balances (see instructions)	134,267.	163,272.		

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)	1 134,267.
2	Enter amount from Part I, line 27a	2 -4,577.
3	Other increases not included in line 2 (itemize) ▶ ATCH 3	3 33,582.
4	Add lines 1, 2, and 3	4 163,272.
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	6 163,272.

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				
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) 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				
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	
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	{ 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 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	25,437.	126,954.	0.200364
2011	29,875.	116,919.	0.255519
2010	29,274.	100,518.	0.291231
2009	28,869.	95,329.	0.302835
2008	29,819.	98,853.	0.301650
2 Total of line 1, column (d)			2 1.351599
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 0.270320
4 Enter the net value of noncharitable-use assets for 2013 from Part X, line 5			4 128,086.
5 Multiply line 4 by line 3			5 34,624.
6 Enter 1% of net investment income (1% of Part I, line 27b)			6 6.
7 Add lines 5 and 6			7 34,630.
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 33,814.

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

Table with 11 rows and 2 columns. Rows include: 1a Exempt operating foundations, b Domestic foundations, c All other domestic foundations, 2 Tax under section 511, 3 Add lines 1 and 2, 4 Subtitle A (income) tax, 5 Tax based on investment income, 6 Credits/Payments (6a-6d), 7 Total credits and payments, 8 Enter any penalty, 9 Tax due, 10 Overpayment, 11 Enter the amount of line 10.

Part VII-A Statements Regarding Activities

Table with 10 rows and 3 columns (Yes/No). Rows include: 1a Political campaign, 1b Political purposes, 1c Form 1120-POL, 2 Unreported activities, 3 Changes in governing instrument, 4a Unrelated business income, 4b Form 990-T, 5 Liquidation, 6 Section 508(e) requirements, 7 Assets, 8a States, 8b Attorney General, 9 Private operating foundation, 10 Substantial contributors.

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).
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)
13 Did the foundation comply with the public inspection requirements for its annual returns and exemption application?
Website address N/A
14 The books are in care of RICHARD P. MROTEK Telephone no 312-621-2235
Located at 20 N. WACKER DR., #960 CHICAGO, IL ZIP+4 60606
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? Yes No X

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

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

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 X No
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? Yes X No
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? Yes X No
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? Yes X 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 X 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 X No
b If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? 1b
Organizations relying on a current notice regarding disaster assistance check here
c Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 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 X No
If "Yes," list the years
b Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see instructions) 2b
c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? Yes X 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
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** X

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? Yes No **6b** X
If "Yes" to 6b, file Form 8870

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

b If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction? Yes No **7b**

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

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

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
ATCH 4		0	0	0

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

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

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

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

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

(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
NONE		0

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 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	101,211.
b	Average of monthly cash balances	1b	28,826.
c	Fair market value of all other assets (see instructions)	1c	
d	Total (add lines 1a, b, and c)	1d	130,037.
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	130,037.
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	1,951.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3 Enter here and on Part V, line 4	5	128,086.
6	Minimum investment return. Enter 5% of line 5	6	6,404.

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	6,404.
2a	Tax on investment income for 2013 from Part VI, line 5	2a	12.
b	Income tax for 2013. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	12.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	6,392.
4	Recoveries of amounts treated as qualifying distributions	4	
5	Add lines 3 and 4	5	6,392.
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	6,392.

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	33,814.
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	33,814.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b (see instructions)	5	0
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	33,814.

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				6,392.
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 24,888.				
b From 2009 24,103.				
c From 2010 24,248.				
d From 2011 24,040.				
e From 2012 19,105.				
f Total of lines 3a through e	116,384.			
4 Qualifying distributions for 2013 from Part XII, line 4 ▶ \$ 33,814				
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				6,392.
e Remaining amount distributed out of corpus	27,422.			
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	143,806.			
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)	24,888.			
9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a	118,918.			
10 Analysis of line 9				
a Excess from 2009 24,103.				
b Excess from 2010 24,248.				
c Excess from 2011 24,040.				
d Excess from 2012 19,105.				
e Excess from 2013 27,422.				

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

1 a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 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	
2 a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed					
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 5

b The form in which applications should be submitted and information and materials they should include:
 ATCH 6

c Any submission deadlines:
 APPLICATIONS DUE BY MAY 17TH.

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

Part XV Supplementary Information (continued)

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a <i>Paid during the year</i> ATCH 7				
Total ▶ 3a				16,000.
b <i>Approved for future payment</i>				
Total ▶ 3b				

ATTACHMENT 1

FORM 990PF, PART I - OTHER EXPENSES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>	<u>ADJUSTED NET INCOME</u>	<u>CHARITABLE PURPOSES</u>
CHARITABLE EVENT EXPENSE	16,300.			16,300.
MISCELLANEOUS EXPENSES	139.			139.
IL ANNUAL FILING FEES	15.			15.
TOTALS	<u>16,454.</u>			<u>16,454.</u>

ATTACHMENT 2

FORM 990PF, PART II - OTHER INVESTMENTS

<u>DESCRIPTION</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
MARKETABLE SECURITIES	138,924.	138,924.
TOTALS	<u>138,924.</u>	<u>138,924.</u>

ATTACHMENT 3

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

<u>DESCRIPTION</u>	<u>AMOUNT</u>
UNREALIZED GAIN ON INVESTMENTS	33,582.
TOTAL	<u>33,582.</u>

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

ATTACHMENT 4

<u>NAME AND ADDRESS</u>	<u>TITLE AND AVERAGE HOURS PER WEEK DEVOTED TO POSITION</u>	<u>COMPENSATION</u>	<u>CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS</u>	<u>EXPENSE ACCT AND OTHER ALLOWANCES</u>
DANIEL J BERMAN 20 N. WACKER DRIVE 960 CHICAGO, IL 60606	DIRECTOR 1.00	0	0	0
PHILIP C REIMER 20 N. WACKER DRIVE 960 CHICAGO, IL 60606	DIRECTOR 1.00	0	0	0
DAVID L JENNINGS III 20 N. WACKER DRIVE 960 CHICAGO, IL 60606	DIRECTOR 1.00	0	0	0
RICHARD P MROTEK 20 N. WACKER DRIVE 960 CHICAGO, IL 60606	DIRECTOR 1.00	0	0	0
<u>GRAND TOTALS</u>				
		<u>0</u>	<u>0</u>	<u>0</u>

ATTACHMENT 5

FORM 990PF, PART XV - NAME, ADDRESS AND PHONE FOR APPLICATIONS

RICHARD MROTEK
20 N WACKER DRIVE, SUITE 960
CHICAGO, IL 60606
312-621-2238

ATTACHMENT 6

990PF, PART XV - FORM AND CONTENTS OF SUBMITTED APPLICATIONS

COMPLETED SCHOLARSHIP APPLICATION, APPLICATION SUPPLEMENT, RECOMMENDATION FORM, FAFSA APPLICATION, STUDENT AID REPORT, CURRENT TRANSCRIPTS, AND ACT AND/OR SAT SCORES FOR HIGH SCHOOL SENIORS. GATHERED INFORMATION IS USED BY AN INDEPENDENT REVIEW BOARD TO SELECT SCHOLARSHIP RECIPIENTS. SEE ATTACHED APPLICATION.

FORM 990E - PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 7

<u>RECIPIENT NAME AND ADDRESS</u>	<u>RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT</u>	<u>PURPOSE OF GRANT OR CONTRIBUTION</u>	<u>AMOUNT</u>
BRIAN M ARNDT/WEST VIRGINIA UNIVERSITY 83 NIBLICK COURT MARTINSBURG, WV 25405-6300	NONE N/A	SCHOLARSHIP FOR HIGHER EDUCATION	1,500
ZACHARY J BERMAN/ UNIVERSITY OF ILLINOIS ONE UNIVERSITY PLAZA SPRINGFIELD, IL 62794	SON OF DIRECTOR DAVID BERMAN N/A	SCHOLARSHIP FOR HIGHER EDUCATION	1,000
LACEY E DAHLSTROM/NORTH PARK UNIVERSITY 120 PARKER DRIVE GRAYSLAKE, IL 60030	NONE N/A	SCHOLARSHIP FOR HIGHER EDUCATION	2,500.
SAMANTHA J HOMER/THE CHICAGO SCHOOL OF PROF PSYCH 2318 HUTCHISON FLOSSMOOR, IL 60422	NONE N/A	SCHOLARSHIP FOR HIGHER EDUCATION	2,000
KIMBERLY J JENNINGS / UNIVER OF CA BERKELEY 1612 WALNUT ST, APT 3S BERKELEY, CA 94709	NONE N/A	SCHOLARSHIP FOR HIGHER EDUCATION	2,500
LEEANN K JENNINGS/STEPHEN F AUSTIN STATE UNIVER 5801 S. ELLIS AVENUE CHICAGO, IL 60637-1546	NONE N/A	SCHOLARSHIP FOR HIGHER EDUCATION	2,500.

THE ROCKWOOD FOUNDATION

20-0248335

FORM 990E - PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 7 (CONT'D.)

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
ROOSEVELT UNIVERSITY 430 S MICHIGAN AVE CHICAGO, IL 60605	NONE PC	SCHOLARSHIP FOR HIGHER EDUCATION	1,000.
RACHEL THOMAS/NORTHERN ILLINOIS UNIVERSITY 1425 W LINCOLN HIGHWAY DEKALB, IL 60115-2828	NONE N/A	SCHOLARSHIP FOR HIGHER EDUCATION	2,000.
CHRISTOPHER R LANGE/BRADLEY UNIVERSITY 2592 N HICKORY LANE ARLINGTON HEIGHTS, IL 60004	NONE N/A	SCHOLARSHIP FOR HIGHER EDUCATION	1,000

TOTAL CONTRIBUTIONS PAID

16,000.

The Rockwood Foundation
Required Documentation

1. The Rockwood Foundation Scholarship Application
2. The Rockwood Foundation Application Supplement
3. The Rockwood Foundation Scholarship Recommendation Form
4. Current FAFSA application as well as the resulting SAR (Student Aid Report)
5. Most current complete transcripts
6. High School Seniors must submit ACT and/or SAT scores as recorded on the transcripts or received directly from the testing agency.

The Rockwood Foundation Scholarship Application

1. Student's Name: _____
2. Student's Social Security Number (required): - -
3. Date of Birth: _____
4. Name of custodial parent: _____
(The parent you lived with most during the past 12 months)
5. Address: _____

6. Phone Number: _____
7. Email Address: _____
8. What was your parents' adjusted gross income on their most recent federal income tax return?
\$ _____ (Attach a copy of the tax return to this application. This is required)
9. Name of student's high school (or indicate if home-schooled): _____
10. Grade in high school: _____
11. List name of High School and Colleges attended:

Name of High School and Colleges Attended	City	Dates of Attendance

AUTHORIZATION FORM FOR RELEASE OF RECORDS:

I hereby authorize the release of any information concerning my academic transcript and scholarship application to any donors and to the scholarship committee.

Student Signature _____ Date _____

Print Name _____
Last
First
Middle

Social Security Number _____

The Rockwood Foundation Application Supplement

Tell us about yourself.

1. Why do you feel you should be considered for this scholarship?

2. What are your anticipated future professional goals?

3. How do you plan to finance your college education?

Percentage of contribution: Your input _____ Parent's input _____

4. What jobs have you held? What were your likes and dislikes?

5. What are your extra-curricular activities and interests?

6. Are you receiving other scholarship assistance or financial aid? If so, please list:

7. Have you applied for other scholarships or financial aid? If so, please list:

8. Are any parts of your expenses reimbursable to you by an employer or other party? If so, please explain:

The Rockwood Foundation
Application Supplement

9. Have you or any members of your family previously been awarded this Scholarship?

a. Yes _____ No _____

b. If so, list recipient's name/relationship to the applicant and award date.

10. Number of children in the family: _____ Number of dependents in household: _____

11. Number of dependents in school: Elementary _____ High School _____ College _____

12. How many dependents claimed on Federal Income Tax return? _____

13. How many other dependents are being financially assisted through college? _____

14. Please list any other expenses that you believe the committee should consider (e.g., nursing home bills, special childcare expenses, extensive medical expenses, etc.) above the normal living expenses. Be specific.

Date applicant plans to enter college _____

Institution applicant wishes to attend _____

Have you applied? _____ Have you been accepted? _____

The Rockwood Foundation Scholarship Recommendation Form

Student's Name (Please Print) _____
(Last) (First) (Initial)

Major _____

Social Security Number _____

Scholarships are awarded on the basis of academic excellence, of promise of achievement, and, in some instances, on financial need. The applicant should seek recommendations from EVALUATORS who can evaluate their promise of academic achievement. Evaluators must be a dean, professor, counselor, instructor, or someone who knows you well professionally (example: boss, supervisor, minister, etc.)

Evaluators, Please Note:

This recommendation should be put into a sealed envelope and given back to the student. If you do not want to complete this recommendation form, please advise the student to select another person.

PLEASE CHECK APPROPRIATE BOXES:

	1. Promise Of Achievement	2. Seriousness of Purpose	3. Personality	4. Leadership Qualities	5. Responsibility & Reliability	6. Creativity & Resourcefulness	7. Extracurricular Involvement	8. Overall Academic
Outstanding								
Excellent								
Above Average								
Average								
Below Average								

Additional remarks and general information concerning qualifications of the applicant (Please print or type):

Evaluator's Name (Please print) _____
(Last) (First) (Initial)

Evaluator's Title _____

Evaluator's Signature _____

Reminder: Please return form to student in a SEALED envelope.