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

2013

Department of the Treasury  
Internal Revenue Service

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▶ Information about Form 990-PF and its separate instructions is at [www.irs.gov/form990pf](http://www.irs.gov/form990pf).

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

THE PETER AND PATRICIA GRUBER FOUNDATION  
P.O. BOX 208958  
NEW HAVEN, CT 06520-8958

A Employer identification number  
65-1230485

B Telephone number (see the instructions)  
203-432-6231

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

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

I Fair market value of all assets at end of year (from Part II, column (c), line 16)  
▶ \$ 9,827,849.

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

C If exemption application is pending, check here ☐

D 1 Foreign organizations, check here ☐

2 Foreign organizations meeting the 85% test, check here and attach computation ☐

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

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)
1 Contributions, gifts, grants, etc. received (att sch)			
2 Ck <input checked="" type="checkbox"/> if the foundn is not req to att Sch B			
3 Interest on savings and temporary cash investments	134.	134.	N/A
4 Dividends and interest from securities	223,244.	223,244.	
5a Gross rents			
b Net rental income or (loss)			
6a Net gain/(loss) from sale of assets not on line 10	968,086.		
b Gross sales price for all assets on line 6a	10,886,776.		
7 Capital gain net income (from Part IV, line 2)		968,087.	
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/(loss) (att sch)			
11 Other income (attach schedule)			
SEE STATEMENT 1	2,055.	2,026.	
12 Total. Add lines 1 through 11	1,193,519.	1,193,491.	
13 Compensation of officers, directors, trustees, etc.	0.		
14 Other employee salaries and wages			
15 Pension plans, employee benefits			
16a Legal fees (attach schedule)	SEE ST 2	5,815.	8,023.
b Accounting fees (attach sch)	SEE ST 3	8,517.	9,247.
c Other prof fees (attach sch)	SEE ST 4	1,192.	1,192.
17 Interest			
18 Taxes (attach schedule)(see instrs)	SEE STM 5	25,194.	1,056.
19 Depreciation (attach sch) and depletion	SEE STMT 6	196.	
20 Occupancy		61,662.	61,662.
21 Travel, conferences, and meetings		9,051.	
22 Printing and publications		2,465.	2,465.
23 Other expenses (attach schedule)			
SEE STATEMENT 7	70,714.		30,924.
24 Total operating and administrative expenses. Add lines 13 through 23	184,806.	1,056.	113,513.
25 Contributions, gifts, grants paid PART XV	1,239,532.		1,709,532.
26 Total expenses and disbursements. Add lines 24 and 25.	1,424,338.	1,056.	1,823,045.
27 Subtract line 26 from line 12:			
a Excess of revenue over expenses and disbursements	-230,819.		
b Net investment income (if negative, enter -0-)		1,192,435.	
c Adjusted net income (if negative, enter -0-)			

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SCANNED MAY 29 2014

**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

<b>ASSETS</b>	1	Cash — non-interest-bearing	600.	600.	600.
	2	Savings and temporary cash investments	1,197,823.	84,645.	84,645.
	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 sch.)			
		Less: allowance for doubtful accounts			
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges	116,653.		
	10a	Investments — U.S. and state government obligations (attach schedule)			
	b	Investments — corporate stock (attach schedule)			
	c	Investments — corporate bonds (attach schedule)			
<b>LIABILITIES</b>	11	Investments — land, buildings, and equipment: basis			
		Less: accumulated depreciation (attach schedule)			
	12	Investments — mortgage loans			
	13	Investments — other (attach schedule)	8,904,190.	9,435,302.	9,662,736.
	14	Land, buildings, and equipment: basis			
		Less: accumulated depreciation (attach schedule)	943.		
	15	Other assets (describe ► SEE STATEMENT 8)	23,604.	79,868.	79,868.
	16	<b>Total assets</b> (to be completed by all filers — see the instructions. Also, see page 1, item I)	10,243,813.	9,600,415.	9,827,849.
	17	Accounts payable and accrued expenses	5,115.	40,701.	
	18	Grants payable	2,800,000.	2,330,000.	
<b>NET FUND ASSETS</b>	19	Deferred revenue			
	20	Loans from officers, directors, trustees, & other disqualified persons			
	21	Mortgages and other notes payable (attach schedule)			
	22	Other liabilities (describe ► SEE STATEMENT 9)		21,835.	
<b>NET FUND ASSETS</b>	23	<b>Total liabilities</b> (add lines 17 through 22)	2,805,115.	2,392,536.	
		<b>Foundations that follow SFAS 117, check here and complete lines 24 through 26 and lines 30 and 31.</b>			
	24	Unrestricted			
	25	Temporarily restricted			
	26	Permanently restricted			
		<b>Foundations that do not follow SFAS 117, check here and complete lines 27 through 31.</b>			
	27	Capital stock, trust principal, or current funds			
	28	Paid-in or capital surplus, or land, building, and equipment fund	22,404,979.	22,404,979.	
	29	Retained earnings, accumulated income, endowment, or other funds	-14,966,281.	-15,197,100.	
	30	<b>Total net assets or fund balances</b> (see instructions)	7,438,698.	7,207,879.	
<b>NET FUND ASSETS</b>	31	<b>Total liabilities and net assets/fund balances</b> (see instructions)	10,243,813.	9,600,415.	

**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	7,438,698.
2	Enter amount from Part I, line 27a	2	-230,819.
3	Other increases not included in line 2 (itemize)	3	
4	Add lines 1, 2, and 3	4	7,207,879.
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	7,207,879.

**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 shares MLC Company)		(b) How acquired P — Purchase D — Donation	(c) Date acquired (month, day, year)	(d) Date sold (month, day, year)
1 a				
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 (Column (h) gain minus column (k), but not less than -0-) or Losses (from column (h))
(j) Fair Market Value as of 12/31/69	(k) Adjusted basis as of 12/31/69	(l) Excess of column (j) over column (k), 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	968,087.
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	783,214.

**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 (column (b) divided by column (c))
2012	15,785,844.	7,950,001.	1.985641
2011	72,700,758.	54,997,189.	1.321900
2010	4,047,143.	84,461,049.	0.047917
2009	4,101,565.	79,487,772.	0.051600
2008	4,128,189.	92,234,969.	0.044757

2 Total of line 1, column (d)	2	3.451815
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	0.690363
4 Enter the net value of noncharitable-use assets for 2013 from Part X, line 5	4	9,997,259.
5 Multiply line 4 by line 3	5	6,901,738.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	11,924.
7 Add lines 5 and 6	7	6,913,662.
8 Enter qualifying distributions from Part XII, line 4	8	1,823,045.

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

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

1 a Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter 'N/A' on line 1. Date of ruling or determination letter: _____ (attach copy of letter if necessary – see instrs)			
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here. <input type="checkbox"/> and enter 1% of Part I, line 27b		1	23,849.
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, column (b)			
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		2	0.
3 Add lines 1 and 2		3	23,849.
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	23,849.
6 Credits/Payments:			
a 2013 estimated tax pmts and 2012 overpayment credited to 2013	6a	6,653.	
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	6,653.	
8 Enter any penalty for underpayment of estimated tax. Check here <input checked="" type="checkbox"/> if Form 2220 is attached	8	289.	
9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9	17,485.	
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10		
11 Enter the amount of line 10 to be: Credited to 2014 estimated tax <input type="checkbox"/> Refunded <input type="checkbox"/>	11		

**Part VII-A Statements Regarding Activities**

	Yes	No
1 a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		X
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see 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>		X
c Did the foundation file Form 1120-POL for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation <input type="checkbox"/> \$ 0. (2) On foundation managers <input type="checkbox"/> \$ 0.		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers <input type="checkbox"/> \$ 0.		
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>		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? <i>If 'Yes,' attach a conformed copy of the changes</i>		X
4 a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		X
b If 'Yes,' has it filed a tax return on Form 990-T for this year?		N/A
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? <i>If 'Yes,' attach the statement required by General Instruction T</i>		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	X	
7 Did the foundation have at least \$5,000 in assets at any time during the year? <i>If 'Yes,' complete Part II, column (c), and Part XV</i>	X	
8 a Enter the states to which the foundation reports or with which it is registered (see instructions) DE		
b <i>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</i>	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)? <i>If 'Yes,' complete Part XIV</i>		X
10 Did any persons become substantial contributors during the tax year? <i>If 'Yes,' attach a schedule listing their names and addresses</i>		X

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**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		X
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If 'Yes,' attach statement (see instructions)	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address <u>WWW.PPGRUBERFOUNDATION.ORG</u>	13	X	
14	The books are in care of <u>A. SARAH HREHA</u> Telephone no. <u>203-432-6231</u> Located at <u>PO BOX 208958 NEW HAVEN CT</u> ZIP + 4 <u>06520-8958</u>			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here and enter the amount of tax-exempt interest received or accrued during the year <u>N/A</u>	15		N/A
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? See the instructions for exceptions and filing requirements for Form TD F 90-22.1. If 'Yes,' enter the name of the foreign country	16	Yes	No
				X

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

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

	Yes	No
1 a 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?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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)?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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.)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
b If any answer is 'Yes' to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? Organizations relying on a current notice regarding disaster assistance check here <input type="checkbox"/>	1 b	N/A
c Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2013?	1 c	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? If 'Yes,' list the years <u>20</u> , <u>20</u> , <u>20</u> , <u>20</u>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
b Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer 'No' and attach statement - see instructions.)	2 b	N/A
c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. <u>20</u> , <u>20</u> , <u>20</u> , <u>20</u>		
3 a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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.)	3 b	N/A
4 a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4 a	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?	4 b	X

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**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

N/A

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

N/A

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
PETER J. GRUBER P.O. BOX 208958 NEW HAVEN, CT 06520-8958	CHM EMERITUS 0	0.	0.	0.
PATRICIA M. GRUBER P.O. BOX 208958 NEW HAVEN, CT 06520-8958	PRESIDENT 3.00	0.	0.	0.
AMY SARAH HREHA P.O. BOX 208958 NEW HAVEN, CT 06520-8958	VP, TREAS, SEC 3.00	0.	0.	0.
BENJAMIN WARING PARTRIDGE P.O. BOX 208958 NEW HAVEN, CT 06520-8958	DIRECTOR 3.00	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

0





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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
a	Average monthly fair market value of securities	1 a	9,497,152.
b	Average of monthly cash balances	1 b	652,350.
c	Fair market value of all other assets (see instructions)	1 c	
d	<b>Total</b> (add lines 1a, b, and c)	1 d	10,149,502.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1 e	0.
2	Acquisition indebtedness applicable to line 1 assets	2	0.
3	Subtract line 2 from line 1d	3	10,149,502.
4	Cash deemed held for charitable activities. Enter 1-1/2% of line 3 (for greater amount, see instructions)	4	152,243.
5	<b>Net value of noncharitable-use assets.</b> Subtract line 4 from line 3. Enter here and on Part V, line 4.	5	9,997,259.
6	<b>Minimum investment return.</b> Enter 5% of line 5	6	499,863.

**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	499,863.
2 a	Tax on investment income for 2013 from Part VI, line 5	2 a	23,849.
b	Income tax for 2013. (This does not include the tax from Part VI.)	2 b	
c	Add lines 2a and 2b	2 c	23,849.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	476,014.
4	Recoveries of amounts treated as qualifying distributions	4	
5	Add lines 3 and 4	5	476,014.
6	Deduction from distributable amount (see instructions)	6	
7	<b>Distributable amount</b> as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	476,014.

**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	1 a	1,823,045.
b	Program-related investments — total from Part IX-B	1 b	
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)	3 a	
b	Cash distribution test (attach the required schedule)	3 b	
4	<b>Qualifying distributions.</b> Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	1,823,045.
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	<b>Adjusted qualifying distributions.</b> Subtract line 5 from line 4	6	1,823,045.

**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				476,014.
2 Undistributed income, if any, as of the end of 2013:				
a Enter amount for 2012 only			0.	
b Total for prior years 20 , 20 , 20		0.		
3 Excess distributions carryover, if any, to 2013:				
a From 2008				
b From 2009	132,731.			
c From 2010				
d From 2011	69,998,851.			
e From 2012	15,393,110.			
f Total of lines 3a through e	85,524,692.			
4 Qualifying distributions for 2013 from Part XII, line 4: \$ 1,823,045.				
a Applied to 2012, but not more than line 2a			0.	
b Applied to undistributed income of prior years (Election required – see instructions)		0.		
c Treated as distributions out of corpus (Election required – see instructions)	0.			
d Applied to 2013 distributable amount				476,014.
e Remaining amount distributed out of corpus	1,347,031.			
5 Excess distributions carryover applied to 2013 (If an amount appears in column (d), the same amount must be shown in column (a))	0.			0.
6 Enter the net total of each column as indicated below:				
a Corpus. Add lines 3f, 4c, and 4e. Subtract line 5	86,871,723.			
b Prior years' undistributed income. Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b. Taxable amount – see instructions		0.		
e Undistributed income for 2012. Subtract line 4a from line 2a. Taxable amount – see instructions			0.	
f Undistributed income for 2013. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2014				0.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions)	0.			
8 Excess distributions carryover from 2008 not applied on line 5 or line 7 (see instructions)	0.			
9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a	86,871,723.			
10 Analysis of line 9:				
a Excess from 2009	132,731.			
b Excess from 2010				
c Excess from 2011	69,998,851.			
d Excess from 2012	15,393,110.			
e Excess from 2013	1,347,031.			

BAA

Form 990-PF (2013)

<b>Part XIV</b>	<b>Private Operating Foundations</b> (see instructions and Part VII-A, question 9)
-----------------	--

N/A

- |   |          |               |          |          |  |
|---|----------|---------------|----------|----------|--|
| <b>1 a</b> 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>b</b> Check box to indicate whether the foundation is a private operating foundation described in section  |          |               |          |          | <input type="checkbox"/> 4942(j)(3) or <input type="checkbox"/> 4942(j)(5) |
| <b>2 a</b> 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>b</b> 85% of line 2a   |          |               |          |          |  |
| <b>c</b> Qualifying distributions from Part XII, line 4 for each year listed.   |          |               |          |          |  |
| <b>d</b> Amounts included in line 2c not used directly for active conduct of exempt activities  |          |               |          |          |  |
| <b>e</b> Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c  |          |               |          |          |  |
| <b>3</b> Complete 3a, b, or c for the alternative test relied upon:   |          |               |          |          |  |
| <b>a</b> 'Assets' alternative test – enter:   |          |               |          |          |  |
| <b>(1)</b> Value of all assets  |          |               |          |          |  |
| <b>(2)</b> Value of assets qualifying under section 4942(j)(3)(B)(i)  |          |               |          |          |  |
| <b>b</b> 'Endowment' alternative test – enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed   |          |               |          |          |  |
| <b>c</b> 'Support' alternative test – enter:  |          |               |          |          |  |
| <b>(1)</b> Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)                                  |          |               |          |          |  |
| <b>(2)</b> Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii).  |          |               |          |          |  |
| <b>(3)</b> Largest amount of support from an exempt organization  |          |               |          |          |  |
| <b>(4)</b> Gross investment income  |          |               |          |          |  |

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

### 1 Information Regarding Foundation Managers:

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

NONE

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

NONE

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

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

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

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

- c Any submission deadlines:

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

**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
<b>a</b> Paid during the year SEE STATEMENT 10				
<b>Total</b>			<b>3a</b>	1,709,532.
<b>b</b> Approved for future payment SEE STATEMENT 11				
<b>Total</b>			<b>3b</b>	730,000.





## THE PETER AND PATRICIA GRUBER FOUNDATION

65-1230485

**STATEMENT 1**  
**FORM 990-PF, PART I, LINE 11**  
**OTHER INCOME**

	(A) REVENUE PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME
HEALTH INSURANCE REBATE	\$ 29.		
OTHER INVESTMENT INCOME	\$ 2,026.	\$ 2,026.	
<b>TOTAL</b>	<b>\$ 2,055.</b>	<b>\$ 2,026.</b>	<b>\$ 0.</b>

**STATEMENT 2**  
**FORM 990-PF, PART I, LINE 16A**  
**LEGAL FEES**

	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
RESEARCH & COMPLIANCE	\$ 5,815.			\$ 8,023.
<b>TOTAL</b>	<b>\$ 5,815.</b>	<b>\$ 0.</b>		<b>\$ 8,023.</b>

**STATEMENT 3**  
**FORM 990-PF, PART I, LINE 16B**  
**ACCOUNTING FEES**

	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ACCOUNTING AND TAX PREPARATION	\$ 8,517.			\$ 9,247.
<b>TOTAL</b>	<b>\$ 8,517.</b>	<b>\$ 0.</b>		<b>\$ 9,247.</b>

**STATEMENT 4**  
**FORM 990-PF, PART I, LINE 16C**  
**OTHER PROFESSIONAL FEES**

	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
CONSULTING	\$ 1,192.			\$ 1,192.
<b>TOTAL</b>	<b>\$ 1,192.</b>	<b>\$ 0.</b>		<b>\$ 1,192.</b>

## THE PETER AND PATRICIA GRUBER FOUNDATION

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**STATEMENT 5**  
**FORM 990-PF, PART I, LINE 18**  
**TAXES**

	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
EXCISE TAX BASED ON INVESTMENT INCOME	\$ 24,138.			
FOREIGN TAXES WITHHELD	1,056.	\$ 1,056.		
<b>TOTAL</b>	<b>\$ 25,194.</b>	<b>\$ 1,056.</b>		<b>\$ 0.</b>

**STATEMENT 6**  
**FORM 990-PF, PART I, LINE 19**  
**ALLOCATED DEPRECIATION**

DATE ACQUIRED	COST BASIS	PRIOR YR DEPR	METHOD	RATE	LIFE	CURRENT YR DEPR	NET INVEST INCOME	ADJUSTED NET INCOME
VIDEOCAMERA TRIPOD								
11/13/08	332	300	200DB	0.0958		12	0	0
MICROPHONE								
5/05/09	48	40	200DB	0.1152		3	0	0
PHONE AND NEW PLAN FOR PF								
4/26/10	322	229	200DB	0.1152		19	0	0
BLACKBERRY-SH								
5/07/10	243	174	200DB	0.1152		14	0	0
COMPUTERS								
6/17/10	2,572	1,831	200DB	0.1152		148	0	0

**STATEMENT 7**  
**FORM 990-PF, PART I, LINE 23**  
**OTHER EXPENSES**

	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ADMINISTRATIVE EXPENSES	\$ 8,505.			\$ 8,505.
ANNUAL & FRANCHISE REPORTS	689.			689.
BANK SERVICE CHARGES	255.			255.
DUES & SUBSCRIPTIONS	440.			440.
HOSPITALITY	163.			163.
INSURANCE	4,866.			4,866.
IT	1,563.			1,563.
LOSS ON FIXED ASSET DISPOSAL	747.			747.
MEALS & ENTERTAINMENT	2,527.			2,527.
MISCELLANEOUS	30.			31.
OFFICE EXPENSE	5,481.			5,481.
POSTAGE, SHIPPING & DELIVERY	214.			214.
TELEPHONE	5,443.			5,443.
VIDEOGRAPHY	39,791.			
<b>TOTAL</b>	<b>\$ 70,714.</b>	<b>\$ 0.</b>		<b>\$ 30,924.</b>



## THE PETER AND PATRICIA GRUBER FOUNDATION

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**STATEMENT 8**  
**FORM 990-PF, PART II, LINE 15**  
**OTHER ASSETS**

	BOOK VALUE	FAIR MARKET VALUE
DIVIDENDS RECEIVABLE	\$ 63,905.	\$ 63,905.
SECURITY DEPOSITS	15,963.	15,963.
<b>TOTAL</b>	<b>\$ 79,868.</b>	<b>\$ 79,868.</b>

**STATEMENT 9**  
**FORM 990-PF, PART II, LINE 22**  
**OTHER LIABILITIES**

PREPAID RENT-SUBLESSEE	\$ 4,350.
EXCISE TAX PAYABLE	17,485.
<b>TOTAL</b>	<b>\$ 21,835.</b>

**STATEMENT 10**  
**FORM 990-PF, PART XV, LINE 3A**  
**RECIPIENT PAID DURING THE YEAR**

NAME AND ADDRESS	DONEE RELATIONSHIP	FOUND- ATION STATUS	PURPOSE OF GRANT	AMOUNT
COMMUNITY FOUNDATION OF THE VI P.O. BOX 11790 ST. THOMAS, VI 00801	N/A	PUBLIC	LAWS OF LIFE CHARACTER BUILDING ESSAY CONTEST FOR HIGH SCHOOL STUDENTS	\$ 49,532.
ASSOCIATION FOR ASIAN STUDIES 825 VICTORS WAY, SUITE 310 ANN HARBOR, MI 48108	N/A	PUBLIC	E. GENE SMITH INNER ASIA BOOK PRIZE	10,000.
TIBETAN BUDDHIST RESOURCE CENTER 115 FIFTH AVENUE, 7TH FLOOR NEW YORK, NY 10003	N/A	PUBLIC	ROBERT HO MATCHING GRANT	50,000.
CREATING HOPE INTERNATIONAL PO BOX 1058 DEARBORN, MI 48121	N/A	PUBLIC	TO SUPPORT AFGHAN INSTITUTE OF LEARNING	25,000.
MY BROTHER'S WORKSHOP PO BOX 503205 ST. THOMAS, VI 00805	N/A	PUBLIC	TO SUPPORT ST. THOMAS REFORMED CHURCH OUTREACH PROGRAM	5,000.

## THE PETER AND PATRICIA GRUBER FOUNDATION

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**STATEMENT 10 (CONTINUED)**  
**FORM 990-PF, PART XV, LINE 3A**  
**RECIPIENT PAID DURING THE YEAR**

NAME AND ADDRESS	DONEE RELATIONSHIP	FOUND- ATION STATUS	PURPOSE OF GRANT	AMOUNT
CENTER FOR INDEPENDENT DOCUMENT 680 SOUTH MAIN ST SHARON, MA 02067	N/A	PUBLIC	FOR THE PRODUCTION OF "AWAKENING", A FILM ABOUT MIDDLE EAST AND NORTH AFRICAN WOMEN	\$ 25,000.
LET'S BREAKTHROUGH INC 4 WEST 37TH STREET, 4TH FLOOR NEW YORK, NY 10018	N/A	PUBLIC	TO SUPPORT NIDA'A AL NISSA FOUNDATION FOR THEIR WORK WITH MUSLIM WOMEN	325,000.
WISDOM PUBLICATIONS 199 ELM STREET SOMERVILLE, MA 02144	N/A	PUBLIC	FOR PUBLISHING TIBETAN LITERARY CLASSICS	15,000.
WOMEN'S ENEWS 6 BARCLAY STREET, SIXTH FLOOR NEW YORK, NY 10007	N/A	PUBLIC	TO SUPPORT OF WOMENS NEEDS AND RELATED ISSUES	5,000.
TIBETAN BUDDHIST RESOURCE CENTER 115 FIFTH AVENUE, 7TH FLOOR NEW YORK, NY 10003	N/A	PUBLIC	SUPPORT FOR PRESERVATION OF TIBETAN CULTURE	200,000.
BRANDEIS UNIVERSITY DEVELOPMENT SERVICES 415 SOUTH ST WALTHAM, MA 02453	N/A	PUBLIC	PETER GRUBER ENDOWED CHAIR IN NEUROSCIENCE	1,000,000.
TOTAL				\$ 1,709,532.

**STATEMENT 11**  
**FORM 990-PF, PART XV, LINE 3B**  
**RECIPIENT APPROVED FOR FUTURE PAYMENT**

NAME AND ADDRESS	DONEE RELATIONSHIP	FOUND- ATION STATUS	PURPOSE OF GRANT	AMOUNT
LET'S BREAKTHROUGH INC 4 WEST 37TH STREET, 4TH FLOOR NEW YORK, NY 10018	N/A	PUBLIC	TO SUPPORT NIDA'A AL NISSA FOUNDATION FOR THEIR WORK WITH MUSLIM WOMEN.	\$ 650,000.
WISDOM PUBLICATIONS 199 ELM STREET SOMERVILLE, MA 02144	N/A	PUBLIC	FOR PUBLISHING TIBETAN LITERARY CLASSICS	60,000.

2013

## FEDERAL STATEMENTS

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THE PETER AND PATRICIA GRUBER FOUNDATION

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STATEMENT 11 (CONTINUED)  
FORM 990-PF, PART XV, LINE 3B  
RECIPIENT APPROVED FOR FUTURE PAYMENT

<u>NAME AND ADDRESS</u>	<u>DONEE RELATIONSHIP</u>	<u>FOUND- ATION STATUS</u>	<u>PURPOSE OF GRANT</u>	<u>AMOUNT</u>
WOMEN'S ENEWS 6 BARCLAY STREET, SIXTH FLOOR NEW YORK , NY 10007	N/A	PUBLIC	TO SUPPORT OF WOMENS NEEDS AND RELATED ISSUES	\$ 20,000.

TOTAL \$ 730,000.

12/31/13

## 2013 FEDERAL BOOK DEPRECIATION SCHEDULE

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## THE PETER AND PATRICIA GRUBER FOUNDATION

NO.	DESCRIPTION	DATE ACQUIRED	DATE SOLD	COST/ BASIS	BUS. PCT.	CUR 179 BONUS	SPECIAL DEPR. ALLOW.	PRIOR 179/ BONUS/ SP. DEPR.	PRIOR DEC. BAL DEPR.	SALVAGE /BASIS REDUCT.	DEPR. BASIS	PRIOR DEPR.	METHOD	LIFE	RATE	CURRENT DEPR.	
FORM 990/990-PF																	
MACHINERY AND EQUIPMENT																	
1	HP OFFICEJET 7310 COLOR	3/17/07	5/31/13	400							400		200DB MQ	5		0	
2	HP LASERJET P2015DN PRINT	3/17/07	5/31/13	500							500		200DB MQ	5		0	
3	WESTERN DIGITAL MY BOOK	3/17/07	5/31/13	420							420		200DB MQ	5		0	
4	DELL OPTIPLEX 740 MINITOW	6/06/07	5/31/13	1,664							1,664		200DB MQ	5		0	
5	DELL E520 INTEL CELERON	7/03/07	5/31/13	1,437							1,437		200DB MQ	5		0	
6	BLACKBERRY - DH	12/19/07	5/31/13	325							325		200DB MQ	5		0	
7	DESKTOP - TOYIA	12/21/07	5/31/13	1,111							1,111		200DB MQ	5		0	
8	PAT'S COMPUTER	10/31/07	5/31/13	1,468							1,468		200DB MQ	5		0	
9	VIDEOCAMERA TRIPOD	11/13/08	5/31/13	332							332		200DB MQ	5	.09580	12	
10	MICROPHONE	5/05/09	5/31/13	48							48		200DB HY	5	.11520	3	
11	PHONE AND NEW PLAN FOR PF	4/26/10	5/31/13	322							322		200DB HY	5	.11520	19	
12	BLACKBERRY-SH	5/07/10	5/31/13	243							243		200DB HY	5	.11520	14	
13	COMPUTERS	6/17/10	5/31/13	2,572							2,572		200DB HY	5	.11520	148	
TOTAL MACHINERY AND EQUIPME				10,842		0	0	0	0	0	10,842	9,899					196
TOTAL DEPRECIATION				10,842		0	0	0	0	0	10,842	9,899					196
GRAND TOTAL DEPRECIATION				10,842		0	0	0	0	0	10,842	9,899					196
DEPRECIATION ASSETS SOLD				10,842		0	0	0	0	0	10,842	9,899					196
DEPR REMAINING ASSETS				0		0	0	0	0	0	0	0					0