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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](http://www.irs.gov/form990pf).

OMB No 1545-0052

2013

Open to Public Inspection

For calendar year 2013 or tax year beginning

MAY 1, 2013

, and ending

APR 30, 2014

Name of foundation

LOUIS T. ROTH FOUNDATION

Number and street (or P O box number if mail is not delivered to street address)

1113 RED FOX ROAD

Room/suite

City or town, state or province, country, and ZIP or foreign postal code

LOUISVILLE, KY 40205

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, col (c), line 16)

\$ 6,373,751.

J Accounting method:

☒

Cash

☐

Accrual

☐ Other (specify)

(Part I, column (d) must be on cash basis.)

A Employer identification number

61-0624305

B Telephone number

(502) 459-8100

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).)

(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	20,986.		N/A	
2	Check <input 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	108,339.	108,339.		STATEMENT 1
5a	Gross rents	4.			STATEMENT 2
b	Net rental income or (loss)	4.			
6a	Net gain or (loss) from sale of assets not on line 10	303,810.			
b	Gross sales price for all assets on line 6a	3,733,052.			
7	Capital gain net income (from Part IV, line 2)		303,810.		
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)				
11	Other income	<826.>	<882.>		STATEMENT 3
12	Total. Add lines 1 through 11	432,313.	411,267.		
13	Compensation of officers, directors, trustees, etc.	0.	0.		0.
14	Other employee salaries and wages				
15	Pension plans, employee benefits				
16a	Legal fees				
b	Accounting fees	4,464.	0.		4,464.
c	Other professional fees	1,391.	0.		1,391.
17	Interest	15.	15.		0.
18	Taxes	15,606.	1,541.		0.
19	Depreciation and depletion				
20	Occupancy				
21	Travel, conferences, and meetings				
22	Printing and publications				
23	Other expenses	35,711.	35,681.		30.
24	Total operating and administrative expenses. Add lines 13 through 23	57,187.	37,237.		5,885.
25	Contributions, gifts, grants paid	264,423.			264,423.
26	Total expenses and disbursements. Add lines 24 and 25	321,610.	37,237.		270,308.
27	Subtract line 26 from line 12:				
a	Excess of revenue over expenses and disbursements	110,703.			
b	Net investment income (if negative, enter -0-)		374,030.		
c	Adjusted net income (if negative, enter -0-)			N/A	

Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only		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		175,499.	158,874.	158,874.	
	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					
	7	Other notes and loans receivable ▶					
		Less: allowance for doubtful accounts ▶					
	8	Inventories for sale or use					
	9	Prepaid expenses and deferred charges					
	10a	Investments - U.S. and state government obligations					
	b	Investments - corporate stock STMT 8		547,443.	599,442.	1,008,852.	
	c	Investments - corporate bonds					
	Liabilities	11	Investments - land, buildings, and equipment basis ▶				
		Less accumulated depreciation ▶					
12		Investments - mortgage loans					
13		Investments - other STMT 9		3,795,015.	4,056,783.	4,985,589.	
14		Land, buildings, and equipment: basis ▶					
		Less accumulated depreciation ▶					
15		Other assets (describe ▶ STATEMENT 10)		406,875.	220,436.	220,436.	
16		Total assets (to be completed by all filers - see the instructions. Also, see page 1, item 1)		4,924,832.	5,035,535.	6,373,751.	
17		Accounts payable and accrued expenses					
18		Grants payable					
Net Assets or Fund Balances	19	Deferred revenue					
	20	Loans from officers, directors, trustees, and other disqualified persons					
	21	Mortgages and other notes payable					
	22	Other liabilities (describe ▶ STATEMENT 11)		18.	18.		
23	Total liabilities (add lines 17 through 22)		18.	18.			
Foundations that follow SFAS 117, check here ▶ <input type="checkbox"/>	24	Unrestricted					
	25	Temporarily restricted					
	26	Permanently restricted					
	Foundations that do not follow SFAS 117, check here ▶ <input checked="" type="checkbox"/>	27	Capital stock, trust principal, or current funds		0.	0.	
		28	Paid-in or capital surplus, or land, bldg., and equipment fund		0.	0.	
		29	Retained earnings, accumulated income, endowment, or other funds		4,924,814.	5,035,517.	
		30	Total net assets or fund balances		4,924,814.	5,035,517.	
	31	Total liabilities and net assets/fund balances		4,924,832.	5,035,535.		

## 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	4,924,814.
2	Enter amount from Part I, line 27a	2	110,703.
3	Other increases not included in line 2 (itemize) ▶	3	0.
4	Add lines 1, 2, and 3	4	5,035,517.
5	Decreases not included in line 2 (itemize) ▶	5	0.
6	Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	5,035,517.

**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	POWERSHARES DB COMMODITY FUND K-1	P		
b	POWERSHARES DB COMMODITY FUND K-1	P		
c	120 SHS LAZARD INC	P		
d	THE BLACKSTONE GROUP	P		
e	THE BLACKSTONE GROUP	P		
f	THE BLACKSTONE GROUP - UBTI	P		
g	355 SHS THE BLACKSTONE GROUP	P		
h	275 SHS KKR & CO LP	P		
i	KKR & CO LP	P		
j	KKR & CO LP	P		
k	KKR & CO LP - UBTI	P		
l	CHARLES SCHWAB #1719 - LT SALES	P		
m	PERSHING #5864 - ST SALES	P		
n	PERSHING #5864 - LT SALES	P		
o	JP MORGAN #4006 - ST SALES	P		

(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		6.	<6.>
b		91.	<91.>
c	5,101.	4,508.	593.
d	6.		6.
e	342.		342.
f	21.		21.
g	10,534.	5,155.	5,379.
h	6,188.	3,571.	2,617.
i	25.		25.
j	558.		558.
k	25.		25.
l	448,393.	416,719.	31,674.
m	26,337.	19,265.	7,072.
n	110,661.	62,293.	48,368.
o	278,428.	291,114.	<12,686.>

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			<6.>
b			<91.>
c			593.
d			6.
e			342.
f			21.
g			5,379.
h			2,617.
i			25.
j			558.
k			25.
l			31,674.
m			7,072.
n			48,368.
o			<12,686.>

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).  
If (loss), enter "-0-" in Part I, line 8

3

**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	JP MORGAN #4006 - LT SALES	P		
b	JP MORGAN #5002 - ST SALES	P		
c	JP MORGAN #1009 - ST SALES	P		
d	LANIER #4083 - LT SALES	P		
e	LANIER #4083 - ST SALES	P		
f	LANIER #4505 - LT SALES	P		
g	LANIER #4505 - ST SALES	P		
h	JP MORGAN LITIGATION INCOME	P		
i	581 SHS POWERSHARES DB COMMODITY INDEX	P	05/13/11	06/05/13
j	226 SHS POWERSHARES DB COMMODITY INDEX	P	05/13/11	11/21/13
k	CAPITAL GAINS DIVIDENDS			
l				
m				
n				
o				

(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 1,235,486.		1,113,371.	122,115.
b 843.		912.	<69.>
c 7,971.		7,452.	519.
d 279.		233.	46.
e 270,297.		264,405.	5,892.
f 7,022.		5,660.	1,362.
g 1,244,328.		1,213,591.	30,737.
h 185.			185.
i 15,280.		15,107.	173.
j 5,704.		5,789.	<85.>
k 59,038.			59,038.
l			
m			
n			
o			

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			122,115.
b			<69.>
c			519.
d			46.
e			5,892.
f			1,362.
g			30,737.
h			185.
i			173.
j			<85.>
k			59,038.
l			
m			
n			
o			

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	303,810.
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). If (loss), enter "-0-" in Part I, line 8 }	3	N/A

**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 SEE ATTACHED STATEMENTS			
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 3,733,052.		3,429,242.	303,810.

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
a			
b			
c			
d			
e			303,810.

2 Capital gain net income or (net capital loss)	<div> <div>If gain, also enter in Part I, line 7</div> <div>If (loss), enter -0- in Part I, line 7</div> </div>	2	303,810.
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). If (loss), enter -0- in Part I, line 8		3	N/A

**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	253,267.	5,280,941.	.047959
2011	243,572.	5,114,663.	.047622
2010	241,719.	5,071,179.	.047665
2009	251,761.	4,740,651.	.053107
2008	334,899.	4,956,911.	.067562

2 Total of line 1, column (d)	2	.263915
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	.052783
4 Enter the net value of noncharitable-use assets for 2013 from Part X, line 5	4	5,831,570.
5 Multiply line 4 by line 3	5	307,808.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	3,740.
7 Add lines 5 and 6	7	311,548.
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	270,308.

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

1a Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1. Date of ruling or determination letter: _____ (attach copy of letter if necessary-see instructions)		1	7,481.
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		2	0.
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b).		3	7,481.
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		4	0.
3 Add lines 1 and 2		5	7,481.
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)			
5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-			
6 Credits/Payments:			
a 2013 estimated tax payments and 2012 overpayment credited to 2013	6a	10,800.	
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	10,800.	
8 Enter any penalty for underpayment of estimated tax. Check here <input type="checkbox"/> if Form 2220 is attached	8		
9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9		
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	3,319.	
11 Enter the amount of line 10 to be: Credited to 2014 estimated tax <input type="checkbox"/> 3,319. Refunded <input type="checkbox"/> 0.	11	0.	

**Part VII-A Statements Regarding Activities**

	Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		X
1b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for the definition)? If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities		X
1c Did the foundation file Form 1120-POL for this year?		X
2 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? If "Yes," attach a detailed description of the activities		X
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes		X
4a 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?		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by General Instruction T.		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? If "Yes," complete Part II, col (c), and Part XV	X	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) <input type="checkbox"/> KY		
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation	X	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2013 or the taxable year beginning in 2013 (see instructions for Part XIV)? If "Yes," complete Part XIV		X
10 Did any persons become substantial contributors during the tax year? If "Yes" attach a schedule listing their names and addresses		X

N/A

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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 ► N/A	13	X	
14	The books are in care of ► LOUIS T. ROTH & CO. Telephone no. ► 502-459-8100 Located at ► 2100 GARDINER LANE, STE 207, LOUISVILLE, KY ZIP+4 ► 40205			
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	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
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? <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	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?	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? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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.)	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. ►		
3a	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)	N/A	
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a	X
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2013?	4b	X

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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)?

☐ 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)?

N/A

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?

N/A

☐ 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

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?

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.

(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
BRUCE J. ROTH 1113 RED FOX ROAD LOUISVILLE, KY 40205	PRESIDENT 5.00	0.	0.	0.
DAVID M. ROTH 2406 VALLEY VISTA ROAD LOUISVILLE, KY 40205	VICE PRESIDENT 1.00	0.	0.	0.

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

(a) Name and address of each employee paid more than \$50,000	(b) Title, and average hours per week devoted to position	(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

Form 990-PF (2013)



**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	5,623,154.
b	Average of monthly cash balances	1b	297,222.
c	Fair market value of all other assets	1c	
d	<b>Total</b> (add lines 1a, b, and c)	1d	5,920,376.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	0.
2	Acquisition indebtedness applicable to line 1 assets	2	0.
3	Subtract line 2 from line 1d	3	5,920,376.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	88,806.
5	<b>Net value of noncharitable-use assets.</b> Subtract line 4 from line 3. Enter here and on Part V, line 4	5	5,831,570.
6	<b>Minimum investment return.</b> Enter 5% of line 5	6	291,579.

**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	291,579.
2a	Tax on investment income for 2013 from Part VI, line 5	2a	7,481.
b	Income tax for 2013 (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	7,481.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	284,098.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	284,098.
6	Deduction from distributable amount (see instructions)	6	0.
7	<b>Distributable amount as adjusted.</b> Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	284,098.

**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	270,308.
b	Program-related investments - total from Part IX-B	1b	0.
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	<b>Qualifying distributions.</b> Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	270,308.
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	5	0.
6	<b>Adjusted qualifying distributions.</b> Subtract line 5 from line 4	6	270,308.

**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.

Form 990-PF (2013)

**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				284,098.
2 Undistributed income, if any, as of the end of 2013				
a Enter amount for 2012 only			232,140.	
b Total for prior years:		0.		
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	0.			
4 Qualifying distributions for 2013 from Part XII, line 4: ► \$ 270,308.				
a Applied to 2012, but not more than line 2a			232,140.	
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				38,168.
e Remaining amount distributed out of corpus	0.			
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	0.			
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 instr.			0.	
f Undistributed income for 2013. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2014				245,930.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3)	0.			
8 Excess distributions carryover from 2008 not applied on line 5 or line 7	0.			
9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a	0.			
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				

## N/A

- b** Check box to indicate whether the foundation is a private operating foundation described in section

☐ 4942(1)(3) or ☐ 4942(1)(5)

- 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(i)(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(i)(3)(B)(iii)

- (3) Largest amount of support from an exempt organization**

- (4) Gross investment income

[illegible]

### 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:

- 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 Paid during the year</b>				
SEE SCHEDULE 2	NONE		GENERAL OPERATING FUNDS	264,423.
<b>Total</b>			<b>3a</b>	264,423.
<b>b Approved for future payment</b>				
NONE				
<b>Total</b>			<b>3b</b>	0.



## Information Regarding Transfers To and Transactions and Relationships With Noncharitable Exempt Organizations

- |          |  | Yes          | No       |
|----------|--|--------------|----------|
| <b>1</b> | Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?  |              |          |
| <b>a</b> | Transfers from the reporting foundation to a noncharitable exempt organization of:   |              |          |
|          | (1) Cash   | <b>1a(1)</b> | <b>X</b> |
|          | (2) Other assets   | <b>1a(2)</b> | <b>X</b> |
| <b>b</b> | Other transactions   |              |          |
|          | (1) Sales of assets to a noncharitable exempt organization   | <b>1b(1)</b> | <b>X</b> |
|          | (2) Purchases of assets from a noncharitable exempt organization   | <b>1b(2)</b> | <b>X</b> |
|          | (3) Rental of facilities, equipment, or other assets   | <b>1b(3)</b> | <b>X</b> |
|          | (4) Reimbursement arrangements   | <b>1b(4)</b> | <b>X</b> |
|          | (5) Loans or loan guarantees   | <b>1b(5)</b> | <b>X</b> |
|          | (6) Performance of services or membership or fundraising solicitations   | <b>1b(6)</b> | <b>X</b> |
| <b>c</b> | Sharing of facilities, equipment, mailing lists, other assets, or paid employees   | <b>1c</b>    | <b>X</b> |
| <b>d</b> | If the answer to any of the above is "Yes," complete the following schedule. Column (b) should always show the fair market value of the goods, other assets, or services given by the reporting foundation. If the foundation received less than fair market value in any transaction or sharing arrangement, show in column (d) the value of the goods, other assets, or services received. |              |          |

[illegible]

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

(a) Name of organization	(b) Type of organization	(c) Description of relationship
N/A		

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

May the IRS discuss this return with the preparer shown below (see instr.)?

☒ Yes ☐ No

Title

PTIN
------

P01217935

Firm's EIN ► 61-0480236

Phone no. (502) 459-8100

Form **990-PF** (2013)



**Schedule B**(Form 990, 990-EZ,  
or 990-PF)Department of the Treasury  
Internal Revenue Service**Schedule of Contributors**

▶ Attach to Form 990, Form 990-EZ, or Form 990-PF.  
▶ Information about Schedule B (Form 990, 990-EZ, or 990-PF) and  
its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990).

OMB No 1545-0047

**2013**

Name of the organization

Employer identification number

LOUIS T. ROTH FOUNDATION

61-0624305

Organization type (check one)

Filers of:

Section:

Form 990 or 990-EZ

☐ 501(c)( ) (enter number) organization☐ 4947(a)(1) nonexempt charitable trust not treated as a private foundation☐ 527 political organization

Form 990-PF

☒ 501(c)(3) exempt private foundation☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation☐ 501(c)(3) taxable private foundationCheck if your organization is covered by the **General Rule** or a **Special Rule**.**Note.** Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule. See instructions.**General Rule**

- ☒ For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, \$5,000 or more (in money or property) from any one contributor. Complete Parts I and II.

**Special Rules**

- ☐ For a section 501(c)(3) organization filing Form 990 or 990-EZ that met the 33 1/3% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi) and received from any one contributor, during the year, a contribution of the greater of (1) \$5,000 or (2) 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1. Complete Parts I and II.
- ☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than \$1,000 for use *exclusively* for religious, charitable, scientific, literary, or educational purposes, or the prevention of cruelty to children or animals. Complete Parts I, II, and III.
- ☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions for use *exclusively* for religious, charitable, etc., purposes, but these contributions did not total to more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Do not complete any of the parts unless the **General Rule** applies to this organization because it received *nonexclusively* religious, charitable, etc., contributions of \$5,000 or more during the year. ▶ \$ \_\_\_\_\_

**Caution.** An organization that is not covered by the General Rule and/or the Special Rules does not file Schedule B (Form 990, 990-EZ, or 990-PF), but it **must** answer "No" on Part IV, line 2, of its Form 990, or check the box on line H of its Form 990-EZ or on its Form 990-PF, Part I, line 2, to certify that it does not meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF).

LHA For Paperwork Reduction Act Notice, see the Instructions for Form 990, 990-EZ, or 990-PF. Schedule B (Form 990, 990-EZ, or 990-PF) (2013)

Name of organization

Employer identification number

LOUIS T. ROTH FOUNDATION

61-0624305

**Part I Contributors** (see instructions) Use duplicate copies of Part I if additional space is needed.

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	LEE BENOVIKZ 6100 INNES TRACE LOUISVILLE, KY 40222	\$ 20,986.	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input checked="" type="checkbox"/> (Complete Part II for noncash contributions)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)

Name of organization	Employer identification number
LOUIS T. ROTH FOUNDATION	61-0624305

**Part II Noncash Property** (see instructions) Use duplicate copies of Part II if additional space is needed

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
1	73 SHS UNION PACIFIC 116 SHS THERMO FISHER SCIENTIFIC 166 SHS SCHULMBERGER LTD 329 SHS HARTFORD	\$ 49,461.	12/13/13
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	

Name of organization

Employer identification number

**LOUIS T. ROTH FOUNDATION****61-0624305****Part III**

*Exclusively* religious, charitable, etc., individual contributions to section 501(c)(7), (8), or (10) organizations that total more than \$1,000 for the year. Complete columns (a) through (e) and the following line entry. For organizations completing Part III, enter the total of *exclusively* religious, charitable, etc., contributions of **\$1,000 or less** for the year. (Enter this information once) ► \$ \_\_\_\_\_

Use duplicate copies of Part III if additional space is needed

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee

FORM 990-PF	DIVIDENDS AND INTEREST FROM SECURITIES				STATEMENT	1
SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	
JP MORGAN #S47935002-D	165.	0.	165.	165.		
JP MORGAN #S47951009-D	301.	0.	301.	301.		
JP MORGAN #S47951009-I	1.	0.	1.	1.		
JP MORGAN #V35924006-I	582.	0.	582.	582.		
JP MORGAN - #V35924006-D	87,606.	41,230.	46,376.	46,376.		
KKR & CO., PLLC	406.	0.	406.	406.		
LANIER #004083 - D	3,890.	0.	3,890.	3,890.		
LANIER #004505 - D	16,945.	0.	16,945.	16,945.		
LAZARD, LTD	676.	0.	676.	676.		
PERSHING-#015864-D	9,012.	0.	9,012.	9,012.		
POWERSHARES DB COMMODITY-I	8.	0.	8.	8.		
SCHWAB-#2562-2905-	11,666.	7,858.	3,808.	3,808.		
SCHWAB-#5709-1719-	30,310.	9,950.	20,360.	20,360.		
SCHWAB-#5709-1719-	10.	0.	10.	10.		
SCHWAB-#9866-4784-	3,838.	0.	3,838.	3,838.		
THE BLACKSTONE GROUP LP	172.	0.	172.	172.		
VODAPHONE GROUP PLC - D	1,789.	0.	1,789.	1,789.		
TO PART I, LINE 4	167,377.	59,038.	108,339.	108,339.		

FORM 990-PF	RENTAL INCOME		STATEMENT	2
KIND AND LOCATION OF PROPERTY	ACTIVITY NUMBER	GROSS RENTAL INCOME		
THE BLACKSTONE GROUP LP	1	4.		
TOTAL TO FORM 990-PF, PART I, LINE 5A		4.		

FORM 990-PF	OTHER INCOME		STATEMENT	3
DESCRIPTION	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	
POWERSHARES DB COMMODITY INDEX TRACKING FUND	<818.>	<818.>		
LAZARD, LTD	<4.>	<4.>		
THE BLACKSTONE GROUP LP	52.	52.		
THE BLACKSTONE GROUP LP-UBTI	2.	0.		
THE BLACKSTONE GROUP LP - 1231	4.	4.		
THE BLACKSTONE GROUP LP - UBTI 1231	54.	0.		
KKR & CO., LP	<116.>	<116.>		
TOTAL TO FORM 990-PF, PART I, LINE 11	<826.>	<882.>		

FORM 990-PF	ACCOUNTING FEES		STATEMENT	4
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ACCOUNTING FEES	4,464.	0.		4,464.
TO FORM 990-PF, PG 1, LN 16B	4,464.	0.		4,464.

FORM 990-PF	OTHER PROFESSIONAL FEES		STATEMENT	5
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
PROFESSIONAL FEES	1,391.	0.		1,391.
TO FORM 990-PF, PG 1, LN 16C	1,391.	0.		1,391.

FORM 990-PF	TAXES	STATEMENT	6
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FOREIGN TAXES	1,541.	1,541.		0.
IRS EXCISE TAX	14,065.	0.		0.
TO FORM 990-PF, PG 1, LN 18	15,606.	1,541.		0.

FORM 990-PF	OTHER EXPENSES	STATEMENT	7
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
INVESTMENT FEES	35,681.	35,681.		0.
REGISTRATION FEES	30.	0.		30.
TO FORM 990-PF, PG 1, LN 23	35,711.	35,681.		30.

FORM 990-PF	CORPORATE STOCK	STATEMENT	8
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DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
CORPORATE STOCK-SEE SCHED 1	599,442.	1,008,852.
TOTAL TO FORM 990-PF, PART II, LINE 10B	599,442.	1,008,852.

FORM 990-PF	OTHER INVESTMENTS	STATEMENT	9
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DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
MUTUAL FUNDS-SEE SCHED 1	COST	2,240,362.	2,758,560.
OTHER ASSETS - SEE SCHED 1	COST	1,816,421.	2,227,029.
TOTAL TO FORM 990-PF, PART II, LINE 13		4,056,783.	4,985,589.

FORM 990-PF	OTHER ASSETS	STATEMENT 10
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DESCRIPTION	BEGINNING OF YR BOOK VALUE	END OF YEAR BOOK VALUE	FAIR MARKET VALUE
DIVIDENDS/INTEREST RECEIVABLE	1,193.	0.	0.
SALES PROCEEDS RECEIVABLE	405,682.	220,436.	220,436.
TO FORM 990-PF, PART II, LINE 15	406,875.	220,436.	220,436.

FORM 990-PF	OTHER LIABILITIES	STATEMENT 11
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DESCRIPTION	BOY AMOUNT	EOY AMOUNT
DUE TO ROTH FAMILY PARTNERSHIP	18.	18.
TOTAL TO FORM 990-PF, PART II, LINE 22	18.	18.



	A	B	C	D	E
1	Louis T. Roth Foundation, Inc.				
2	Asset Classification				
3	04/30/14				
4				SCHEDULE 1	
5	For Completion of Input Form PF-6				
6				BOOK	
7				VALUE	FMV
8				04/30/14	04/30/14
9	SAVINGS & TEMP CASH INVESTMENTS				
10	JP MORGAN - CHECKING			24,351	24,351
11	CHARLES SCHWAB - #5709-1719			1,235	1,235
12	CHARLES SCHWAB #9866-4784 (BENOVITZ)			2,565	2,565
14	CHARLES SCHWAB #2562-2905			393	393
15	PERSHING #015864			18,273	18,273
16	JP MORGAN #V35924006			94,746	94,746
17	LANIER #J93-004083			2,095	2,095
18	LANIER #J93-004505			8,330	8,330
19	JP MORGAN #S47935002			1,976	1,976
20	JP MORGAN #S47951009			4,910	4,910
21				158,874	158,874
22					
23	INVESTMENTS - MUTUAL FUNDS				
24	CHARLES SCHWAB #5709-1719			124,324	211,036
25	JP MORGAN #S47935002			73,925	76,304
26	JP MORGAN #S47951009			86,702	91,708
27	JP MORGAN #V35924006			1,955,412	2,379,512
28				2,240,362	2,758,560
29					
35	INVESTMENTS - CORPORATE STOCK				
36					
37	CHARLES SCHWAB #5709-1719			31,157	154,725
38	CHARLES SCHWAB #9866-4784 (BENOVITZ)			139,916	280,947
39	PERSHING #015864			428,369	573,181
40				599,442	1,008,852
41					
42	INVESTMENTS - OTHER ASSETS				
43	CHARLES SCHWAB #5709-1719			50,315	73,539
44	CHARLES SCHWAB #2562-2905			310,166	338,279
45	CHARLES SCHWAB #9866-4784 (BENOVITZ)			33,184	38,387
46	PERSHING #015864 - PTP'S			27,798	52,356
47	JP MORGAN #S47935002			23,859	24,325
48	JP MORGAN #S47951009			8,970	9,970
49	JP MORGAN #V35924006			603,157	610,667
50	LANIER #J93-004083			146,704	208,934
51	LANIER #J93-004505			612,268	870,573
52					
53				1,816,421	2,227,029
54					
55					
56	GRAND TOTAL			4,815,100	6,153,316
57					

	A	B	C	D	E	F
1	Louis T Roth Foundation, Inc					
2	Contributions Paid					
3	04/30/14					
4					SCHEDULE 2	
5						
6		1244	Hands of Peace			250
7		1245	Americana Community Center			250
8		1247	Keneseth Israel			100
9		1248	Louisville Zoo			164
10		1249	Bancroft			150
11		1250	Mary Byron Project			1 600
12		1252	Adath Jeshurun Congregation			25 000
13		1253	Jewish Family & Career Services			1 500
14		1254	B'nai B'rith Beber Camp			100
15		1255	Planned Parenthood			250
16		1258	Kentucky Museum of Art & Craft			1,000
17		1259	Mary Byron Project			1 200
18		1256	People for the American Way			500
19		1257	Jewish National Fund National Headquarters			5,000
20		1260	Adath Jeshurun Congregation			12,000
21		1264	Fund for the Arts			350
22		1265	UofL Foundation			1,000
23						
24		317	Metropolitan Museum of Art			229
25		318	Birmingham Jewish Foundation			10 000
26		319	University of Michigan Hillel			5,000
27		322	University of Michigan Hillel			1 000
28		323	People for the American Way			375
29		324	Congregation Kether Torah			1,000
30		325	Adath Israel Congregation			11,000
31		326	Jewish Federation of Lee & Charlotte Counties			4 000
32		327	Jewish Federation of Lee & Charlotte Counties			5 500
33		328	Temple Shalom			7,000
34		329	Center for Jewish Culture and Creativity			5,000
35		330	Adath Jeshurun			996
36		331	Kentucky Center for the Performing Arts			300
37		333	YMCA Safe Place Services			250
38		334	Adath Jeshurun			920
39		336	Keneseth Israel Congregation			120
40		337	Louisville Central Community Centers, Inc			400
41		338	Louisville Orchestra			10,000
42		339	Temple Shalom			6,000
43		341	Chabad of Charlotte County			3 000
44		342	Arts & Humanities Council of Charlotte County			1 000
45		343	Arts & Humanities Council of Charlotte County			5,000
46		344	Charlotte County Art Guild			1,000
47		345	Mary Byron Project			2 000
48		346	Hadassah Sharon Chapter			600
49		347	Friends of Ostomates Worldwide			500
50		348	Temple Beth Joesph Friends Campaign			500
51		349	Adath Jeshurun			2,500
52		350	Friends of the Punta Gorda Library			2 000
53		351	Columbia College of Physicians & Surgeons			500
54		352	Tulane University			500
55		353	Newcomb-Tulane College			2,000
56		354	Anti Defamation League			6 000
57		355	Victory Gardens Theater			2,000
58		356	Jewish Women's Foundation of Metro Chicago			2 000
59		357	Jewish United Fund of Metro Chicago			6,500
60		358	Jewish United Fund of Metro Chicago			6 500
61		359	United Way			2,000
62		360	Louis T Roth & Co (80% Cardinal Athletic Fund)			1,600
63		361	Chicago Humanities Festival			2 500
64		362	Adath Jeshurun			996
65		363	The Educational Foundation of the KY CPA			2 500
66		364	The Spielberg Family Fund at Bachmann-Strauss			250
67		370	Congregation B'nai Torah			2 500
68		371	Jewish Family & Career Services - Atlanta			2,500
69		373	Prospect Schools Inc			1,500
70		374	New York Civil Liberties Union Foundation			2,000
71		375	KCTCS Foundation Inc			500
72		376	Keneseth Israel Congregation			600
73		377	Birmingham Jewish Foundation			10,000
74		378	Congregation Kether Torah			1,000
75		379	Adath Israel Congregation			11 000
76		381	Center for Women and Families			1 000
77		382	Jewish Community of Louisville			23 500
78		383	Kentucky Opera			1,500
79		384	City of Louisville Metro Parks & Recreation			6 232
80		385	Metropolitan Opera Guild			380
81		386	City of Louisville Parks & Recreation			3 761
82		388	University of Louisville			8,000
83						
84		107	Jewish Community of Louisville			11 000
85		109	Children's Oncology Services Inc			2,000
86		110	Jewish Federation of Greater Washington			2 000
87						
88			Total contributions paid			264,423

• If you are filing for an **Additional (Not Automatic) 3-Month Extension**, complete only Part II and check this box ☒

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

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

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

Type or print  File by the due date for filing your return. See instructions.	Enter filer's identifying number, see instructions	
	Name of exempt organization or other filer, see instructions.	Employer identification number (EIN) or
	LOUIS T. ROTH FOUNDATION	61-0624305
	Number, street, and room or suite no. If a P O box, see instructions	Social security number (SSN)
	1113 RED FOX ROAD	
	City, town or post office, state, and ZIP code. For a foreign address, see instructions	
	LOUISVILLE, KY 40205	

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

04

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

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

LOUIS T. ROTH & CO.

• The books are in the care of ▶ 2100 GARDINER LANE, STE 207 - LOUISVILLE, KY 40205

Telephone No ▶ 502-459-8100

Fax No ▶ 502-459-5773

• If the organization does not have an office or place of business in the United States, check this box ☐

• If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) \_\_\_\_\_ If this is for the whole group, check this box ☐ If it is for part of the group, check this box ☐ and attach a list with the names and EINs of all members the extension is for

4 I request an additional 3-month extension of time until MARCH 15, 2015

5 For calendar year \_\_\_\_\_, or other tax year beginning MAY 1, 2013, and ending APR 30, 2014

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

7 State in detail why you need the extension  
**THE TAXPAYER NEEDS ADDITIONAL TIME TO COMPILE THE INFORMATION NECESSARY TO FILE A COMPLETE AND ACCURATE RETURN.**

8a If this application is for Forms 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions.	8a	\$	7,481.
8b If this application is for Forms 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit and any amount paid previously with Form 8868.	8b	\$	10,800.
8c Balance due. Subtract line 8b from line 8a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions.	8c	\$	0.

**Signature and Verification must be completed for Part II only.**

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

Signature ▶

Title ▶

Date ▶