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Form **990-PF**

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

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

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

OMB No 1545-0052

2013

Open to Public Inspection

For calendar year 2013, or tax year beginning 08-01-2013 , and ending 07-31-2014

Name of foundation ROHAUER COLLECTION FOUNDATION INC		A Employer identification number 13-3578176	
Number and street (or P O box number if mail is not delivered to street address) C/O E GRAINGER 480 MAMARONECK AVE		B Telephone number (see instructions) (914) 698-8670	
City or town, state or province, country, and ZIP or foreign postal code HARRISON, NY 10528		C If exemption application is pending, check here ▶ ☐	
G Check all that apply ☐ Initial return ☐ Initial return of a former public charity ☐ Final return ☐ Amended return ☐ Address change ☐ Name change		D 1. Foreign organizations, check here ▶ ☐ 2. Foreign organizations meeting the 85% test, check here and attach computation ▶ ☐	
H Check type of organization ☒ Section 501(c)(3) exempt private foundation ☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here ▶ ☐	
I Fair market value of all assets at end of year (<i>from Part II, col. (c), line 16</i>)▶\$ 3,719,169		F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ▶ ☐	
J Accounting method ☒ Cash ☐ Accrual ☐ Other (specify) _____ (Part I, column (d) must be on cash basis.)			

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions))		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc , received (attach schedule)				
	2 Check ▶ ☒ if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments				
	4 Dividends and interest from securities.	139,149	139,149	139,149	
	5a Gross rents				
	b Net rental income or (loss) _____				
	6a Net gain or (loss) from sale of assets not on line 10				
	b Gross sales price for all assets on line 6a _____				
	7 Capital gain net income (from Part IV , line 2) . . .		0		
	8 Net short-term capital gain			9,964	
	9 Income modifications				
	10a Gross sales less returns and allowances				
Operating and Administrative Expenses	b Less Cost of goods sold				
	c Gross profit or (loss) (attach schedule)				
	11 Other income (attach schedule)	14,128	14,128	14,128	
	12 Total. Add lines 1 through 11	153,277	153,277	163,241	
	13 Compensation of officers, directors, trustees, etc	30,000	12,000	18,000	18,000
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees (attach schedule)				
	b Accounting fees (attach schedule)	4,143	1,657	2,486	2,486
	c Other professional fees (attach schedule)	10,839	4,336	6,503	6,503
	17 Interest				
	18 Taxes (attach schedule) (see instructions)	2,585	1,034	1,551	1,551
	19 Depreciation (attach schedule) and depletion . . .				
	20 Occupancy	2,160	864	1,296	1,296
	21 Travel, conferences, and meetings	207	83	124	124
	22 Printing and publications				
	23 Other expenses (attach schedule)	943	568	565	565
	24 Total operating and administrative expenses.				
	Add lines 13 through 23	50,877	20,542	30,525	30,525
	25 Contributions, gifts, grants paid	78,000			78,000
	26 Total expenses and disbursements. Add lines 24 and 25	128,877	20,542	30,525	108,525
	27 Subtract line 26 from line 12				
	a Excess of revenue over expenses and disbursements	24,400			
	b Net investment income (if negative, enter -0-)		132,735		
	c Adjusted net income (if negative, enter -0-)			132,716	

Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)	Beginning of year	End of year	
			(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash—non-interest-bearing	96,289	79,663	79,663
	2	Savings and temporary cash investments			
	3	Accounts receivable ▶ _____ Less allowance for doubtful accounts ▶ _____			
	4	Pledges receivable ▶ _____ Less allowance for doubtful accounts ▶ _____			
	5	Grants receivable			
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
	7	Other notes and loans receivable (attach schedule) ▶ _____ Less allowance for doubtful accounts ▶ _____			
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges			
	10a	Investments—U S and state government obligations (attach schedule)			
	b	Investments—corporate stock (attach schedule)	2,825,707	2,814,705	3,055,552
	c	Investments—corporate bonds (attach schedule).	527,803	583,549	583,954
	11	Investments—land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
	12	Investments—mortgage loans			
	13	Investments—other (attach schedule)			
	14	Land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
15	Other assets (describe ▶ _____)				
16	Total assets (to be completed by all filers—see the instructions Also, see page 1, item I)	3,449,799	3,477,917	3,719,169	
Liabilities	17	Accounts payable and accrued expenses			
	18	Grants payable			
	19	Deferred revenue			
	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable (attach schedule)			
	22	Other liabilities (describe ▶ _____)	0	3,468	
	23	Total liabilities (add lines 17 through 22)		3,468	
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ ☐ and complete lines 24 through 26 and lines 30 and 31.				
	24	Unrestricted			
	25	Temporarily restricted			
	26	Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ ☒ and complete lines 27 through 31.				
	27	Capital stock, trust principal, or current funds			
	28	Paid-in or capital surplus, or land, bldg , and equipment fund			
	29	Retained earnings, accumulated income, endowment, or other funds	3,449,799	3,474,449	
	30	Total net assets or fund balances (see page 17 of the instructions)	3,449,799	3,474,449	
	31	Total liabilities and net assets/fund balances (see page 17 of the instructions)	3,449,799	3,477,917	

Part III Analysis of Changes in Net Assets or Fund Balances

1	Total net assets or fund balances at beginning of year—Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year’s return)	1	3,449,799
2	Enter amount from Part I, line 27a	2	24,400
3	Other increases not included in line 2 (itemize) ▶ _____	3	250
4	Add lines 1, 2, and 3	4	3,474,449
5	Decreases not included in line 2 (itemize) ▶ _____	5	
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	3,474,449

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co)		(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo , day, yr)	(d) Date sold (mo , day, yr)
1a	See Additional Data Table			
b				
c				
d				
e				

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
a See Additional Data Table			
b			
c			
d			
e			

2	Capital gain net income or (net capital loss)	{ If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 }	2	-2,762
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	9,964

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

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

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

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period? ☐ Yes ☒ No
If "Yes," the foundation does not qualify under section 4940(e) Do not complete this part

1 Enter the appropriate amount in each column for each year, see page 18 of the instructions before making any entries

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2012	118,620	3,385,084	0 035042
2011	115,051	3,420,708	0 033634
2010	30,087	3,314,401	0 009078
2009		3,115,086	
2008		3,064,244	

2	Total of line 1, column (d).	2	0 077754
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 025918
4	Enter the net value of noncharitable-use assets for 2013 from Part X, line 5.	4	3,413,870
5	Multiply line 4 by line 3.	5	88,481
6	Enter 1% of net investment income (1% of Part I, line 27b).	6	1,327
7	Add lines 5 and 6.	7	89,808
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	108,525

Part VI Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948—see page 18 of the instructions)					
1a Exempt operating foundations described in section 4940(d)(2), check here ☐ and enter "N/A" on line 1		1	1,327		
Date of ruling or determination letter _____ (attach copy of letter if necessary—see instructions)					
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☒ and enter 1% of Part I, line 27b		2	0		
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b)					
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)				3	1,327
3 Add lines 1 and 2.				4	
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		5	1,327		
5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-		6a	579		
6 Credits/Payments					
a 2013 estimated tax payments and 2012 overpayment credited to 2013					
b Exempt foreign organizations—tax withheld at source					
c Tax paid with application for extension of time to file (Form 8868)					
d Backup withholding erroneously withheld		6b			
		6c			
		6d			
7 Total credits and payments. Add lines 6a through 6d.		7	579		
8 Enter any penalty for underpayment of estimated tax. Check here ☒ if Form 2220 is attached.		8	17		
9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed		9	765		
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 0 Refunded		11			

Part VII-A Statements Regarding Activities			
1a	During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		Yes
		1a	No
b	Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see page 19 of the instructions for definition)? <i>If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.</i>		No
		1b	No
c	Did the foundation file Form 1120-POL for this year?	1c	No
d	Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation \$ _____ (2) On foundation managers \$ _____		
e	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers \$ _____		
2	Has the foundation engaged in any activities that have not previously been reported to the IRS? <i>If "Yes," attach a detailed description of the activities.</i>	2	No
3	Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? <i>If "Yes," attach a conformed copy of the changes.</i>	3	No
4a	Did the foundation have unrelated business gross income of \$1,000 or more during the year?	4a	No
b	If "Yes," has it filed a tax return on Form 990-T for this year?	4b	
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year? <i>If "Yes," attach the statement required by General Instruction T.</i>	5	No
6	Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	6	No
7	Did the foundation have at least \$5,000 in assets at any time during the year? <i>If "Yes," complete Part II, col. (c), and Part XV.</i>	7	Yes
8a	Enter the states to which the foundation reports or with which it is registered (see instructions): ▶ _____		
b	If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? <i>If "No," attach explanation.</i>	8b	Yes
9	Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2013 or the taxable year beginning in 2013 (see instructions for Part XIV)? <i>If "Yes," complete Part XIV.</i>	9	No
10	Did any persons become substantial contributors during the tax year? <i>If "Yes," attach a schedule listing their names and addresses.</i>	10	No

Part VII-A

Statements Regarding Activities *(continued)*

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions).	11		No
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		No
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	Yes	
Website address ▶N/A				
14	The books are in care of ▶FOUNDATION Telephone no ▶(914) 698-8670 Located at ▶C/O E GRAINGER 480 MAMARONECK AVE HARRISON NY ZIP +4 ▶10528			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 —Check here ▶ ☐ and enter the amount of tax-exempt interest received or accrued during the year ▶	15		
16	At any time during calendar year 2013, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country?	16	Yes	No
See instructions for exceptions and filing requirements for Form TD F 90-22.1 If "Yes", enter the name of the foreign country ▶				

Part VII-B

Statements Regarding Activities for Which Form 4720 May Be Required

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.			Yes	No
1a	During the year did the foundation (either directly or indirectly) (1) Engage in the sale or exchange, or leasing of property with a disqualified person? ☐ Yes ☒ No (2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?. ☐ Yes ☒ No (3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☐ Yes ☒ No (4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☐ Yes ☒ No (5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)?. ☐ Yes ☒ No (6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days). ☐ Yes ☒ No			
b	If any answer is "Yes" to 1a(1)–(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see page 20 of the instructions)?. . . Organizations relying on a current notice regarding disaster assistance check here. ▶ ☐	1b		
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2013?.	1c		No
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))			
a	At the end of tax year 2013, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2013?. ☐ Yes ☒ No If "Yes," list the years ▶ 20____, 20____, 20____, 20____			
b	Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement—see instructions).	2b		No
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here ▶ 20____, 20____, 20____, 20____			
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?. ☐ Yes ☒ No			
b	If "Yes," did it have excess business holdings in 2013 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969, (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (<i>Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2013.</i>).	3b		
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a		No
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2013?	4b		No

Part VII-B

Statements Regarding Activities for Which Form 4720 May Be Required (continued)

5a During the year did the foundation pay or incur any amount to				
(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?		☐ Yes	☒ No	
(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive?		☐ Yes	☒ No	
(3) Provide a grant to an individual for travel, study, or other similar purposes?		☐ Yes	☒ No	
(4) Provide a grant to an organization other than a charitable, etc , organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? (see instructions).		☐ Yes	☒ No	
(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?		☐ Yes	☒ No	
b If any answer is "Yes" to 5a(1)–(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)?		5b		
Organizations relying on a current notice regarding disaster assistance check here.				
c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?		☐ Yes	☐ No	
If "Yes," attach the statement required by Regulations section 53.4945–5(d).				
6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?		☐ Yes	☒ No	
b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?		6b		No
If "Yes" to 6b, file Form 8870.				
7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?		☐ Yes	☒ No	
b If yes, did the foundation receive any proceeds or have any net income attributable to the transaction?		7b		

Part VIII

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

1 List all officers, directors, trustees, foundation managers and their compensation (see instructions).				
(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
EDMUND C GRAINGER JR	PRES /TTEE	20,000	0	0
480 MAMARONECK AVE	4 00			
HARRISON, NY 10528				
EDMUND C GRAINGER III	TRUSTEE	10,000	0	0
109 HIGHVIEW DRIVE	2 00			
CARMEL, NY 10512				
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 VIII

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

3 Five highest-paid independent contractors for professional services (see instructions). If none, enter "NONE".		
(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
NONE		
Total number of others receiving over \$50,000 for professional services.		0

Part IX-A

Summary of Direct Charitable Activities

List the foundation's four largest direct charitable activities during the tax year. Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc.	Expenses
1	
2	
3	
4	

Part IX-B

Summary of Program-Related Investments (see instructions)

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2	Amount
1	
2	
All other program-related investments. See page 24 of the instructions.	
3	
Total. Add lines 1 through 3.	

Part X

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc , purposes		
a	Average monthly fair market value of securities.	1a	3,375,882
b	Average of monthly cash balances.	1b	89,976
c	Fair market value of all other assets (see instructions).	1c	0
d	Total (add lines 1a, b, and c).	1d	3,465,858
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation).	1e	
2	Acquisition indebtedness applicable to line 1 assets.	2	
3	Subtract line 2 from line 1d.	3	3,465,858
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	51,988
5	Net value of noncharitable-use assets. Subtract line 4 from line 3 Enter here and on Part V, line 4	5	3,413,870
6	Minimum investment return. Enter 5% of line 5.	6	170,694

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	170,694
2a	Tax on investment income for 2013 from Part VI, line 5.	2a	1,327
b	Income tax for 2013 (This does not include the tax from Part VI).	2b	
c	Add lines 2a and 2b.	2c	1,327
3	Distributable amount before adjustments Subtract line 2c from line 1.	3	169,367
4	Recoveries of amounts treated as qualifying distributions.	4	
5	Add lines 3 and 4.	5	169,367
6	Deduction from distributable amount (see instructions).	6	
7	Distributable amount as adjusted Subtract line 6 from line 5 Enter here and on Part XIII, line 1.	7	169,367

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	108,525
b	Program-related investments—total from Part IX-B.	1b	
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc , purposes.	2	
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required).	3a	
b	Cash distribution test (attach the required schedule).	3b	
4	Qualifying distributions. Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4	4	108,525
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	1,327
6	Adjusted qualifying distributions. Subtract line 5 from line 4.	6	107,198
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				169,367
2 Undistributed income, if any, as of the end of 2013				
a Enter amount for 2012 only.			167,788	
b Total for prior years 20____, 20____, 20____				
3 Excess distributions carryover, if any, to 2013				
a From 2008.				122,052
b From 2009.				121,436
c From 2010.				30,087
d From 2011.				116,912
e From 2012.				120,086
f Total of lines 3a through e.	510,573			
4 Qualifying distributions for 2013 from Part XII, line 4 ▶ \$ _____				108,525
a Applied to 2012, but not more than line 2a				
b Applied to undistributed income of prior years (Election required—see instructions).				
c Treated as distributions out of corpus (Election required—see instructions).				
d Applied to 2013 distributable amount.				
e Remaining amount distributed out of corpus	108,525			
5 Excess distributions carryover applied to 2013 (If an amount appears in column (d), the same amount must be shown in column (a).)				
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	619,098			
b Prior years' undistributed income Subtract line 4b from line 2b.				
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed.				
d Subtract line 6c from line 6b Taxable amount—see instructions				
e Undistributed income for 2012 Subtract line 4a from line 2a Taxable amount—see instructions			167,788	
f Undistributed income for 2013 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2014				169,367
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions).				
8 Excess distributions carryover from 2008 not applied on line 5 or line 7 (see instructions). . .	122,052			
9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a	497,046			
10 Analysis of line 9				
a Excess from 2009. . . .				121,436
b Excess from 2010. . . .				30,087
c Excess from 2011. . . .				116,912
d Excess from 2012. . . .				120,086
e Excess from 2013. . . .				108,525

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

1a

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

b

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

☐ 4942(j)(3) or ☐ 4942(j)(5)

2a

Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed

Tax year	Prior 3 years				(e) Total
(a) 2013	(b) 2012	(c) 2011	(d) 2010		
b 85% of line 2a					
c Qualifying distributions from Part XII, line 4 for each year listed					
d Amounts included in line 2c not used directly for active conduct of exempt activities					
e Qualifying distributions made directly for active conduct of exempt activities Subtract line 2d from line 2c					
3 Complete 3a, b, or c for the alternative test relied upon					
a "Assets" alternative test—enter					
(1) Value of all assets					
(2) Value of assets qualifying under section 4942(j)(3)(B)(i)					
b "Endowment" alternative test— enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed.					
c "Support" alternative test—enter					
(1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)					
(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii).					
(3) Largest amount of support from an exempt organization					
(4) Gross investment income					

Part XVSupplementary Information (Complete this part only if the organization had \$5,000 or more in assets at any time during the year—see instructions.)

1

Information Regarding Foundation Managers:

a

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

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 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

Form 990-PF (2013)

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

Form **990-PF** (2013)

Enter gross amounts unless otherwise indicated

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

Form **990-PF** (2013)

Part XVII

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

1

Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?

a

Transfers from the reporting foundation to a noncharitable exempt organization of

1

Cash.

2

Other assets.

b

Other transactions

1

Sales of assets to a noncharitable exempt organization.

2

Purchases of assets from a noncharitable exempt organization.

3

Rental of facilities, equipment, or other assets.

4

Reimbursement arrangements.

5

Loans or loan guarantees.

6

Performance of services or membership or fundraising solicitations.

c

Sharing of facilities, equipment, mailing lists, other assets, or paid employees.

d

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

Yes

No

1a(1)

No

1a(2)

No

1b(1)

No

1b(2)

No

1b(3)

No

1b(4)

No

1b(5)

No

1b(6)

No

1c

No

(a)

Line No

(b)

Amount involved

(c)

Name of noncharitable exempt organization

(d)

Description of transfers, transactions, and sharing arrangements

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

If "Yes," complete the following schedule

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

Sign Here

Signature of officer or trustee

2014-08-01

Date

Title

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

Yes

No

Paid Preparer Use Only

Print/Type preparer's name

CLYDE E MADDOCK JR

Preparer's Signature

Date

2014-08-27

Check if self-employed

PTIN

Firm's name

CLYDE MADDOCK & CO INC

Firm's EIN

Firm's address

300 MERCER STREET STE 21-K NEW YORK, NY 100036739

Phone no

(212) 475-7010

Form 990-PF (2013)

TY 2013 Accounting Fees Schedule**Name:** ROHAUER COLLECTION FOUNDATION INC**EIN:** 13-3578176

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
CLYDE MADDOCK & CO , INC 7/31/13 FORM 990- PF	3,975	1,590	2,385	2,385
CLYDE MADDOCK & CO , INC 2013 FORMS 1099- MISC	168	67	101	101

**TY 2013 Investments Corporate
Bonds Schedule****Name:** ROHAUER COLLECTION FOUNDATION INC**EIN:** 13-3578176

Name of Bond	End of Year Book Value	End of Year Fair Market Value
50,000 CITIGROUP 5.3%	52,436	53,080
2,000 SHS JP MORGAN 6.7% PFD	50,000	50,960
2,000 SHS ENTERGY ARK 4.75%	50,000	44,340
50,000 GOLDMAN SACHS 5.125%	51,385	51,034
50,000 JPMORGAN CHASE 5.25%	52,870	51,350
125,000 DOW CHEM. 4.25%	125,000	125,106
150,000 BROCTON NY SCH 5.125%	151,858	156,244
2,000 SHS ALLSTATE 6.625%	50,000	51,840

TY 2013 Investments Corporate
 Stock Schedule

Name: ROHAUER COLLECTION FOUNDATION INC
 EIN: 13-3578176

Name of Stock	End of Year Book Value	End of Year Fair Market Value
1,415 SHS AT&T	39,832	50,360
4,650 SHS PROSHARES TRUST	148,719	132,757
300 SHS GENERAL MILLS	12,311	15,045
9,915.851 SHS EATON VANCE MUT FD	81,012	78,236
13,795.087 SHS BLACKROCK FDS II STRAT	136,271	142,779
3,606.388 SHS IVY FDS ASSET START C	70,005	110,031
13,802.446 SHS MAINSTAY HY C B	72,422	82,815
10,785.26 SHS JPMORGAN TR II	76,570	86,174
4,070.846 SHS OPPENHEIMER INTL BOND FD	57,803	60,941
32.202.5724 SHS OPPENHEIMER SR FLT RATE FD	289,368	269,653
38,977.039 SHS PIONEER TR IV FD	455,000	465,235
9,286.988 SHS PIMCO INVT GRADE CORP	104,200	98,999
255.803 SHS JH LARGE CAP EQ. FD	9,329	9,690
26,918.02 SHS TRANSAMERICA FUNDS ST BONDS	271,462	275,102
3,000 SHS CITIGROUP 5.8% PFD	75,000	70,770
608.427 SHS JPM REALTY INCOME FD	7,039	7,867
620 SHS ABBOTT LABS	15,751	26,114
1,050 SHS BRISTOL MYERS SQUIBB	32,549	53,151
1,050 SHS COCA-COLA	36,129	41,255
1,647.588 SHS LORD ABBETT	7,791	7,739
620 SHS ABBVIE	17,080	32,451
515 SHS INTEL	12,602	17,468
845 SHS ELI LILLY	33,250	51,596
13,276.54 SHS PRINCIPAL FDS	100,000	103,690
270 SHS THE SOUTHERN CO	12,539	11,688
640 SHS VODAFONE GROUP PLC	32,805	21,261
236.056 SHS GUGGENHEIM MID CAP	8,267	9,239
67 SHS ISHARES TRUST RUSSELL 2000	3,288	8,697
224 SHS ISHARES TRUST RUSSELL 1000	10,779	19,988
18 SHS ISHARES TR RUSSELL MIDCAP	2,001	2,824

Name of Stock	End of Year Book Value	End of Year Fair Market Value
396 SHS ISHARES TRUST BARCLAYS 1-3	32,333	33,450
387.023 SHS ADVISOR'S INNER CIRCLE	6,241	9,652
1,148.813 SHS CAUSEWAY INTL VALUE	17,119	18,381
505 SHS ROYAL DUTCH SHELL	34,594	41,324
962.98 SHS PIMCO HIGH YIELD FUND	8,743	9,235
2,017.547 SHS PIMCO TOTAL RETURN FUND	21,921	21,971
535 SHS JOHNSON & JOHNSON	34,389	53,548
515 SHS KIMBERLY-CLARK	34,234	53,493
410 SHS MCDONALDS	34,635	38,770
9,477.273 SHS PUTNAM ABS. R 700	109,691	117,992
525 SHS PHILIP MORRIS	34,575	43,055
525 SHS PROCTER & GAMBLE	34,468	40,593
1,005 SHS REALTY INCOME CORP	33,193	43,265
1,249 SHS VERIZON COMM.	49,398	63,761
8,856.774 SHS PUTNAM ABS. R. 500	97,997	103,447

TY 2013 Other Expenses Schedule**Name:** ROHAUER COLLECTION FOUNDATION INC**EIN:** 13-3578176

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
OFFICE SUPPLIES	500	200	300	300
POSTAGE	64	216	38	38
DUES & SUBSCRIPTIONS	365	146	219	219
BANK CHARGES	14	6	8	8

TY 2013 Other Income Schedule

Name: ROHAUER COLLECTION FOUNDATION INC

EIN: 13-3578176

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
REBATE FEES	151	151	151
PRIOR YRS ADJUSTMENT	13,977	13,977	13,977

TY 2013 Other Increases Schedule

Name: ROHAUER COLLECTION FOUNDATION INC

EIN: 13-3578176

Description	Amount
PRIOR YEAR'S ADJUSTMENT	250

TY 2013 Other Liabilities Schedule

Name: ROHAUER COLLECTION FOUNDATION INC

EIN: 13-3578176

Description	Beginning of Year - Book Value	End of Year - Book Value
DUE TO WELLS FARGO ADVISORS		3,468

TY 2013 Other Liabilities Schedule

Name: ROHAUER COLLECTION FOUNDATION INC

EIN: 13-3578176

Description	Beginning of Year - Book Value	End of Year - Book Value
DUE TO WELLS FARGO ADVISORS		3,468

TY 2013 Other Professional Fees Schedule**Name:** ROHAUER COLLECTION FOUNDATION INC**EIN:** 13-3578176

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
JPMORGAN SECURITIES INVEST ADVISORY FEES	230	92	138	138
WELLS FARGO ADVISORS INVEST ADVISORY FEES	10,609	4,244	6,365	6,365

TY 2013 Taxes Schedule**Name:** ROHAUER COLLECTION FOUNDATION INC**EIN:** 13-3578176

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
NYS ANNUAL REPORT FEES	250	100	150	150
FOREIGN TAXES	276	110	166	166
FEDERAL INCOME TAX	2,059	824	1,235	1,235

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

(a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo , day, yr)	(d) Date sold (mo , day, yr)
120,000 GMAC SMARTNOTES	P	2004-03-24	2013-09-15
19,209 784 SHS PIMCO ALL ASSET FD	P	2010-05-17	2014-01-24
4,730 369 SHS PIMCO ALL ASSET FD	P	2011-10-25	2014-01-24
50,000 AIG SR NTS 4 25%	P	2011-10-04	2014-01-17
400 SHS DOMINION RES INC	P	2011-08-02	2014-02-24
100 SHS DOMINION RES INC	P	2011-08-02	2014-02-24
235 SHS DOMINION RES INC	P	2011-12-22	2014-02-24
306 SHS DUKE ENERGY	P	2011-08-02	2014-02-24
85 3333 SHS DUKE ENERGY	P	2011-08-02	2014-02-24
195 66667 SHS DUKE ENERGY	P	2011-12-22	2014-02-24
14,059 648 SHS OPPENHEIMER INTL FD	P	2010-01-05	2014-02-24
6,872 /019 SHS TEMPLETON INC FD	P	2011-08-02	2014-02-24
69 237 SHS TEMPLETON INC FD	P	2011-12-16	2014-02-24
139 192 SHS TEMPLETON INC FD	P	2012-12-18	2014-02-24
1 392 SHS TEMPLETON INC FD	P	2012-12-18	2014-02-24
1 688 SHS TEMPLETON INC FD	P	2013-12-17	2014-02-24
025 SHS VERIZON	P	2014-02-24	2014-02-24
90909 SHS VODAFONE GROUP	P	2014-02-24	2014-02-24
229 725 SHS DAVIS NY VENTURE FD	P	2012-02-01	2014-02-13
VR SHS DAVIS NY VENTURE FD	P	2014-02-13	2014-02-13
423 848 SHS JPMORGAN TR II	P	2012-11-01	2013-11-19
VR SHS JPMORGAN TR II	P	2013-11-19	2013-11-19
STCG--DIVIDENDS	P	2013-08-01	2014-07-31
STCG--DIVIDENDS	P	2013-08-01	2014-07-31
LTCG--DIVIDENDS	P	2012-08-01	2014-07-31
LTCG--DIVIDENDS	P	2012-08-01	2014-07-31

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
120,000	0	120,000	0
189,601	0	204,200	-14,599
46,689	0	50,000	-3,311
51,202	0	49,824	1,378
28,578	0	19,642	8,936
7,145	0	4,911	2,234
16,791	0	12,575	4,216
6,076	0	4,682	1,394
13,932	0	12,596	1,336
85,061	0	93,218	-8,157
88,580	0	95,933	-7,353
892	0	849	43
1,794	0	1,837	-43
18	0	18	0
22	0	22	0
1	0	0	1
38	0	0	38
9,275	0	7,206	2,069
54	0	0	54
6,735	0	7,665	-930
25	0	0	25
2,283	0	0	2,283
128	0	0	128
6,375	0	0	6,375
1,121	0	0	1,121
0	0	0	0

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
0	0	0	0
0	0	0	-14,599
0	0	0	-3,311
0	0	0	1,378
0	0	0	8,936
0	0	0	2,234
0	0	0	4,216
0	0	0	1,394
0	0	0	1,336
0	0	0	-8,157
0	0	0	-7,353
0	0	0	43
0	0	0	-43
0	0	0	0
0	0	0	0
0	0	0	1
0	0	0	38
0	0	0	2,069
0	0	0	54
0	0	0	-930
0	0	0	25
0	0	0	2,283
0	0	0	128
0	0	0	6,375
0	0	0	1,121
0	0	0	0