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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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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 HELEN L & MARIE F ROTTERMAN TRUST UW OF M ROTTERMAN		A Employer identification number 31-6236156	
Number and street (or P O box number if mail is not delivered to street address) 1900 KETTERING TOWER		Room/suite	B Telephone number (see instructions) (937) 222-2500
City or town, state or province, country, and ZIP or foreign postal code DAYTON, OH 45423		C If exemption application is pending, check here ▶ <input type="checkbox"/>	
G Check all that apply <div><input type="checkbox"/> Initial return <input type="checkbox"/> Final return <input type="checkbox"/> Address change</div> <div><input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Amended return <input type="checkbox"/> Name change</div>		D 1. Foreign organizations, check here ▶ <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation ▶ <input type="checkbox"/>	
H Check type of organization <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here ▶ <input type="checkbox"/>	
I Fair market value of all assets at end of year (from Part II, col. (c), line 16)▶\$ 3,810,738		F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ▶ <input type="checkbox"/>	
J Accounting method <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> 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 ▶ <input checked="" type="checkbox"/> if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments	22	22		
	4 Dividends and interest from securities.	92,255	92,255		
	5a Gross rents				
	b Net rental income or (loss) _____				
	6a Net gain or (loss) from sale of assets not on line 10 	98,283			
	b Gross sales price for all assets on line 6a 1,814,452				
	7 Capital gain net income (from Part IV , line 2)		98,283		
	8 Net short-term capital gain				
	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)				
	12 Total. Add lines 1 through 11	190,560	190,560		
	13 Compensation of officers, directors, trustees, etc	13,884	6,942		6,942
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees (attach schedule)				
	b Accounting fees (attach schedule) 	350			350
	c Other professional fees (attach schedule)				
	17 Interest				
	18 Taxes (attach schedule) (see instructions) 	5,500			
	19 Depreciation (attach schedule) and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings	172	86		86
	22 Printing and publications				
	23 Other expenses (attach schedule) 	21,839	20,895		944
	24 Total operating and administrative expenses. Add lines 13 through 23	41,745	27,923		8,322
	25 Contributions, gifts, grants paid	174,000			174,000
	26 Total expenses and disbursements. Add lines 24 and 25	215,745	27,923		182,322
	27 Subtract line 26 from line 12				
	a Excess of revenue over expenses and disbursements	-25,185			
	b Net investment income (if negative, enter -0-)		162,637		
	c Adjusted net income (if negative, enter -0-)				

Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)	Beginning of year	End of year	
			(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash—non-interest-bearing	6,501	4,001	4,001
	2	Savings and temporary cash investments	234,425	140,746	140,746
	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)	1,534,176	<input checked="" type="checkbox"/> 1,405,435	1,938,258
	c	Investments—corporate bonds (attach schedule).	1,080,544	<input checked="" type="checkbox"/> 1,486,068	1,475,100
	11	Investments—land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
	12	Investments—mortgage loans			
	13	Investments—other (attach schedule)	421,077	<input checked="" type="checkbox"/> 215,288	252,633
	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)	3,276,723	3,251,538	3,810,738
Liabilities	17	Accounts payable and accrued expenses			
	18	Grants payable			
	19	Deferred revenue			
	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable (attach schedule)			
	22	Other liabilities (describe ▶ _____)			
	23	Total liabilities (add lines 17 through 22)		0	
Net Assets or Fund Balances		Foundations that follow SFAS 117, check here ▶ <input type="checkbox"/> and complete lines 24 through 26 and lines 30 and 31.			
	24	Unrestricted			
	25	Temporarily restricted			
	26	Permanently restricted			
		Foundations that do not follow SFAS 117, check here ▶ <input checked="" type="checkbox"/> and complete lines 27 through 31.			
	27	Capital stock, trust principal, or current funds	3,276,723	3,251,538	
	28	Paid-in or capital surplus, or land, bldg , and equipment fund			
	29	Retained earnings, accumulated income, endowment, or other funds			
	30	Total net assets or fund balances (see page 17 of the instructions)	3,276,723	3,251,538	
	31	Total liabilities and net assets/fund balances (see page 17 of the instructions)	3,276,723	3,251,538	

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	3,276,723
2	Enter amount from Part I, line 27a	2	-25,185
3	Other increases not included in line 2 (itemize) ▶ _____	3	
4	Add lines 1, 2, and 3	4	3,251,538
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	3,251,538

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)
1 a PUBLICLY TRADED SECURITIES				
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 1,814,452	0	1,716,169	98,283	
b				
c				
d				
e				
Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(i) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))	
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any		
a 0	0	0	98,283	
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	98,283
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) (see instructions) If (loss), enter -0- in Part I, line 8 }			3	

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

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

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

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period? ☐ Yes ☒ No

If "Yes," the foundation does not qualify under section 4940(e) Do not complete this part

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2012	179,369	3,523,009	0 050914
2011	195,383	3,432,201	0 056926
2010	167,208	3,457,540	0 048360
2009	165,082	3,241,829	0 050922
2008	131,582	3,087,447	0 042618

2 Total of line 1, column (d).	2	0 249740
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 049948
4 Enter the net value of noncharitable-use assets for 2013 from Part X, line 5.	4	3,707,273
5 Multiply line 4 by line 3.	5	185,171
6 Enter 1% of net investment income (1% of Part I, line 27b).	6	1,626
7 Add lines 5 and 6.	7	186,797
8 Enter qualifying distributions from Part XII, line 4.	8	182,322

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

Part VI Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948—see page 18 of the 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)		
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input type="checkbox"/> and enter 1% of Part I, line 27b	1	3,253
c	All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b)		
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	2	0
3	Add lines 1 and 2.	3	3,253
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	4	
5	Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-	5	3,253
6	Credits/Payments		
a	2013 estimated tax payments and 2012 overpayment credited to 2013	6a	5,717
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	5,717
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	2,464
11	Enter the amount of line 10 to be Credited to 2014 estimated tax 2,464 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?	1a	Yes	No
b	Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see page 19 of the instructions for definition)? <i>If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.</i>	1b		No
c	Did the foundation file Form 1120-POL for this year?	1c		No
d	Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation <input type="checkbox"/> \$ _____ (2) On foundation managers <input type="checkbox"/> \$ _____			
e	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers <input type="checkbox"/> \$ _____			
2	Has the foundation engaged in any activities that have not previously been reported to the IRS? <i>If "Yes," attach a detailed description of the activities.</i>	2		No
3	Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? <i>If "Yes," attach a conformed copy of the changes</i>	3		No
4a	Did the foundation have unrelated business gross income of \$1,000 or more during the year?	4a		No
b	If "Yes," has it filed a tax return on Form 990-T for this year?	4b		
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year? <i>If "Yes," attach the statement required by General Instruction T.</i>	5		No
6	Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	6	Yes	
7	Did the foundation have at least \$5,000 in assets at any time during the year? <i>If "Yes," complete Part II, col. (c), and Part XV.</i>	7	Yes	
8a	Enter the states to which the foundation reports or with which it is registered (see instructions) <input type="checkbox"/> OH _____			
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 ▶JAN S SCHEID Telephone no ▶(937) 293-7462			
	Located at ▶47 SPIREA DRIVE DAYTON OH ZIP +4 ▶454193408			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 —Check here ▶ <input type="checkbox"/>			
	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? <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 checked="" type="checkbox"/> Yes <input 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 page 20 of the instructions)?. . . Organizations relying on a current notice regarding disaster assistance check here. ▶ <input type="checkbox"/>	1b		No
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?. <input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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?. <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? (<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))?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
	(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
	(3) Provide a grant to an individual for travel, study, or other similar purposes?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> 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).	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> 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?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> 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?			
	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?			
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?			
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
JEFFREY B SHULMAN	TRUSTEE	4,628	0	0
1900 KETTERING TOWERDAYTON,OH 45423	4 00			
MILDRED HUBLER	TRUSTEE	4,628	0	0
PATTERSON BLVD DAYTON,OH 45409	4 00			
JAN S SCHEID	TRUSTEE	4,628	0	0
47 SPIREA DRIVE DAYTON,OH 45419	4 00			
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	3,567,447
b	Average of monthly cash balances.	1b	196,282
c	Fair market value of all other assets (see instructions).	1c	0
d	Total (add lines 1a, b, and c).	1d	3,763,729
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	3,763,729
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	56,456
5	Net value of noncharitable-use assets. Subtract line 4 from line 3 Enter here and on Part V, line 4	5	3,707,273
6	Minimum investment return. Enter 5% of line 5.	6	185,364

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	185,364
2a	Tax on investment income for 2013 from Part VI, line 5.	2a	3,253
b	Income tax for 2013 (This does not include the tax from Part VI).	2b	
c	Add lines 2a and 2b.	2c	3,253
3	Distributable amount before adjustments Subtract line 2c from line 1.	3	182,111
4	Recoveries of amounts treated as qualifying distributions.	4	
5	Add lines 3 and 4.	5	182,111
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	182,111

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	182,322
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	182,322
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income Enter 1% of Part I, line 27b (see instructions).	5	
6	Adjusted qualifying distributions. Subtract line 5 from line 4.	6	182,322
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				182,111
2 Undistributed income, if any, as of the end of 2013				
a Enter amount for 2012 only.			65,168	
b Total for prior years 20____, 20____, 20____				
3 Excess distributions carryover, if any, to 2013				
a From 2008.				
b From 2009.				
c From 2010.				
d From 2011.				
e From 2012.				
f Total of lines 3a through e.				
4 Qualifying distributions for 2013 from Part XII, line 4 ▶ \$ 182,322				
a Applied to 2012, but not more than line 2a			65,168	
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.				117,154
e Remaining amount distributed out of corpus				
5 Excess distributions carryover applied to 2013 (If an amount appears in column (d), the same amount must be shown in column (a).)				
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5				
b Prior years' undistributed income Subtract line 4b from line 2b.				
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed.				
d Subtract line 6c from line 6b Taxable amount—see instructions				
e Undistributed income for 2012 Subtract line 4a from line 2a Taxable amount—see instructions				
f Undistributed income for 2013 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2014				64,957
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions).				
8 Excess distributions carryover from 2008 not applied on line 5 or line 7 (see instructions). . . .				
9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a				
10 Analysis of line 9				
a Excess from 2009. . . .				
b Excess from 2010. . . .				
c Excess from 2011. . . .				
d Excess from 2012. . . .				
e Excess from 2013. . . .				

Part 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 or e-mail address of the person to whom applications should be addressed

JEFFREY B SHULMAN
1900 KETTERING TOWER
DAYTON, OH 45423
(937) 222-2500

b

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

SEE STATEMENT 1 ATTACHED

c

Any submission deadlines

SEE STATEMENT 1 ATTACHED

d

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

SEE STATEMENT 1 ATTACHED

Part XV

Supplementary Information (continued)

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


Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<div>a</div> <div>Paid during the year</div> <div>See Additional Data TableSee Additional Data Table</div>				
<div>Total</div>			<div>3a</div>	174,000
<div>b</div> <div>Approved for future payment</div>				
<div>Total</div>			<div>3b</div>	

Enter gross amounts unless otherwise indicated

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

Form **990-PF** (2013)

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
TRINITY COLLEGE OFFICE OF DEVELOPMENT WASHINGTON,DC 20017		PUBLIC	UNRESTRICTED	96,000
CATHOLIC UNIVERSITY OF AMER OFFICE OF DEVELOPMENT WASHINGTON,DC 20064		PUBLIC	UNRESTRICTED	16,000
MARYKNOLL FATHERS OFFICE OF DEVELOPMENT MARYKNOLL,NY 10545		PUBLIC	UNRESTRICTED	16,000
MEDICAL MISSIONARY SISTERS OFFICE OF DEVELOPMENT PHILADELPHIA,PA 19102		PUBLIC	UNRESTRICTED	8,000
MARYKNOLL SISTERS OFFICE OF DEVELOPMENT MARYKNOLL,NY 10545		PUBLIC	UNRESTRICTED	8,000
ANNA ROLAND TRINITY UNIVERSITY WASHINGTON,DC 20017	NONE	N/A	SCHOLARSHIP	15,000
NATALIE PRINCE TRINITY UNIVERSITY WASHINGTON,DC 20017	NONE	N/A	SCHOLARSHIP	15,000
Total  3a				174,000

TY 2013 Accounting Fees Schedule

Name: HELEN L & MARIE F ROTTERMAN TRUST UW OF M ROTTERMAN

EIN: 31-6236156

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FIFTH THIRD BANK TAX SERVICE FEE	350			350

Note: To capture the full content of this document, please select landscape mode (11" x 8.5") when printing.

TY 2013 Gain/Loss from Sale of Other Assets Schedule

Name: HELEN L & MARIE F ROTTERMAN TRUST UW OF M ROTTERMAN

EIN: 31-6236156

Name	Date Acquired	How Acquired	Date Sold	Purchaser Name	Gross Sales Price	Basis	Basis Method	Sales Expenses	Total (net)	Accumulated Depreciation
INVESTMENT--SEE PART IV					1,814,452	1,716,169	FMV		98,283	

TY 2013 General Explanation Attachment**Name:** HELEN L & MARIE F ROTTERMAN TRUST UW OF M ROTTERMAN**EIN:** 31-6236156

Identifier	Return Reference	Explanation
	PART XV, LINES 2(b), (c), and (d) STMT 1	2(B) ANY INDIVIDUAL APPLICANT IS REQUIRED TO FURNISH THE TRUSTEES WITH A COPY OF HER TRINITY COLLEGE APPLICATION AND, WHERE APPLICABLE, A COPY OF HER HIGH SCHOOL RECORD AND CERTIFICATION OF HER CATHOLIC CHURCH AFFILIATION 2(C) APPLICATIONS ARE ACCEPTED ANYTIME BUT, IN ORDER TO BE CONSIDERED FOR A SCHOOL YEAR, THE APPLICATION SHOULD BE IN THE HANDS OF THE TRUSTEES FOUR TO SIX MONTHS PRIOR TO THE BEGINNING OF THAT SCHOOL YEAR 2(D) THE TERMS OF THE WILL OF MARIE ROTTERMAN SET THE QUALIFICATIONS AND LIMIT CONSIDERATION TO CATHOLIC GIRLS WHO ATTEND OR ARE ENROLLED AT TRINITY COLLEGE WITH SPECIAL CONSIDERATION GIVEN TO ELIGIBLE GIRLS FROM THE DAYTON METROPOLITAN AREA

**TY 2013 Investments Corporate
Bonds Schedule****Name:** HELEN L & MARIE F ROTTERMAN TRUST UW OF M ROTTERMAN**EIN:** 31-6236156

Name of Bond	End of Year Book Value	End of Year Fair Market Value
WALT DISNEY	101,050	101,292
DUPONT EI	105,989	102,584
ISHARES HIGH YIELD CORP	292,411	300,560
EBAY INC	102,388	101,352
GENERAL ELECTRIC	117,415	112,211
JPM CHASE CAP XIV	104,006	108,350
BOTTLING GROUP LLC	118,046	112,560
CATERPILLAR FINL	100,904	100,300
EMERSON ELECTRIC	119,188	113,380
EATON VANCE	224,670	223,202
TCW FDS	50,000	49,602
TEMPLETON INCOME TR	50,001	49,707

**TY 2013 Investments Corporate
Stock Schedule**

Name: HELEN L & MARIE F ROTTERMAN TRUST UW OF M ROTTERMAN
EIN: 31-6236156

Name of Stock	End of Year Book Value	End of Year Fair Market Value
125 AMAZON	36,267	39,124
500 ACCENTURE	27,025	39,640
700 TE CONNECTIVITY LTC	42,610	43,323
600 COLGATE PALMOLIVE	28,562	38,040
525 APPLE	19,485	50,190
450 AMERICAN EXPRESS	18,641	39,600
1450 EMC CORP	38,796	42,485
375 BERKSHIRE HATHAWAY	41,642	47,036
375 ANHEUSER BUSCH	24,041	40,492
500 CVS	29,100	38,180
600 CELGENE	20,035	52,290
500 DANAHER	31,153	36,940
750 COMCAST	33,312	40,298
1500 ISHARES MSCI EAFE	92,520	99,885
500 NATIONAL OILWELL	22,903	40,520
500 HOME DEPOT	22,943	40,425
750 ISHARES RUSSELL INDEX	54,413	83,392
250 MCKESSON	19,260	47,965
500 MASTERCARD	7,589	37,075
1450 MORGANSTANLEY	46,283	46,893
400 EXXON MOBIL	36,508	39,576
425 NEXTERA ENERGY	42,929	39,903
525 QUALCOMM	29,652	38,703
500 NIKE	18,089	38,565
1500 GE	34,064	37,725
300 PRAXAIR	21,853	38,442
75 GOOGLE	34,611	43,466
550 GILEAD SCIENCES	10,578	50,353
400 SCHLUMBERGER	27,365	43,356
850 WELLS FARGO	21,161	43,265

Name of Stock	End of Year Book Value	End of Year Fair Market Value
500 STARBUCKS	20,916	38,840
450 NORFOLK SOUTHERN	19,433	45,747
600 PACKAGING CORP	37,919	39,696
375 SANDISK	37,339	34,391
500 UNION PACIFIC	40,008	49,155
350 UNITED TECHNOLOGIES	29,393	36,802
500 UNITEDHEALTH GROUP	26,291	40,525
500 PEPSICO	40,270	44,050
900 VERIZON	39,968	45,378
375 ECOLAB	18,145	40,699
775 MYLAN	38,548	38,262
400 EOG RES	35,176	43,776
1325 EAST WEST BANCORP	46,574	45,130
500 P&G	42,065	38,660

TY 2013 Investments - Other Schedule

Name: HELEN L & MARIE F ROTTERMAN TRUST UW OF M ROTTERMAN

EIN: 31-6236156

Category / Item	Listed at Cost or FMV	Book Value	End of Year Fair Market Value
VANGUARD REIT		85,498	112,350
UBS ETRACS ALERIAN MLP		129,790	140,283

TY 2013 Other Expenses Schedule

Name: HELEN L & MARIE F ROTTERMAN TRUST UW OF M ROTTERMAN

EIN: 31-6236156

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
INVESTMENT FEES & EXPENSES	20,151	20,151		
INSURANCE	1,488	744		744
ANNUAL FILING FEE-OH	200			200

TY 2013 Taxes Schedule

Name: HELEN L & MARIE F ROTTERMAN TRUST UW OF M ROTTERMAN

EIN: 31-6236156

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
EXCISE TAX	5,500			



Investment Account 70-70-000-7786387
ROTTERMAN TRUST

08/01/2013 - 07/31/2014

ACCOUNT ACTIVITY**(continued)**

Date	Description	Cost Basis	Income Cash	Principal Cash
Adjustments		(continued)		
	COST BASIS ADJUSTMENT			
07/09/14	NOW INC	\$20.60		
	COST BASIS ADJUSTMENT			
	Total Adjustments	\$(852.40)		

GAIN / (LOSS) ON SALE OF SECURITIES

Date	Description	Quantity	Sale Price	Proceeds	Cost Basis	Realized Gain/(Loss)	
						Short-Term	Long-Term
08/15/13	APPLE INC	15.0000	\$467.24	\$7,007.88	\$6,345.75	\$662.13	
08/15/13	CELGENE CORP	50.0000	\$141.11	\$7,053.38	\$2,705.50		\$4,347.88
08/15/13	UNITEDHEALTH GROUP INC	100.0000	\$72.49	\$7,244.87	\$5,708.00	\$1,536.87	
08/19/13	VANGUARD REIT ETF	1,000.0000	\$67.37	\$67,330.82	\$63,303.26	\$1,165.41	\$2,862.15
08/20/13	ISHARES MSCI EAFE SM CAPIDX	4,500.0000	\$45.88	\$206,271.46	\$184,574.19	\$5,984.30	\$15,712.97
09/09/13	UBS E-TRACS ALERIAN MLP INFRASTR	2,000.0000	\$37.64	\$75,190.09	\$79,140.00	\$(3,949.91)	
09/10/13	DEERE & CO	400.0000	\$82.63	\$33,035.42	\$34,052.00		\$(1,016.58)
09/11/13	OCCIDENTAL PETE CORP	50.0000	\$89.15	\$4,455.42	\$4,308.50	\$46.21	\$100.71
09/11/13	SPDR GOLD TRUST	250.0000	\$134.08	\$33,509.66	\$33,467.75	\$41.91	
09/11/13	UBS E-TRACS ALERIAN MLP INFRASTR	1,350.0000	\$37.76	\$50,914.36	\$53,311.50	\$(2,397.14)	
09/11/13	VANGUARD REIT ETF	425.0000	\$65.18	\$27,684.44	\$26,193.35		\$1,491.09
09/13/13	SCHLUMBERGER LTD	100.0000	\$86.28	\$8,623.84	\$6,427.95		\$2,195.89
10/15/13	ISHARES BARCLAYS TIPS BOND FUND	1,000.0000	\$112.23	\$112,185.04	\$112,477.00	\$(291.96)	
10/25/13	ISHARES BARCLAYS TIPS BOND FUND	500.0000	\$113.16	\$56,559.01	\$60,274.74	\$(3,196.39)	\$(519.34)
11/01/13	AMERICAN CAP LTD	3,000.0000	\$13.94	\$41,699.27	\$42,656.86	\$(957.59)	
11/01/13	NORFOLK SOUTHN CORP	100.0000	\$88.47	\$8,842.84	\$7,433.25	\$1,051.38	\$358.21
11/01/13	VALERO ENERGY	1,000.0000	\$39.77	\$39,726.30	\$35,166.00	\$4,560.30	
11/27/13	ISHARES BARCLAYS TIPS BOND FUND	500.0000	\$111.90	\$55,929.02	\$56,752.85		\$(823.83)
12/02/13	NORTHEAST UTILS	1,000.0000	\$41.65	\$41,610.27	\$42,109.00	\$(498.73)	
12/02/13	PHILIP MORRIS INTL INC	400.0000	\$85.03	\$33,995.72	\$35,602.28	\$(1,086.17)	\$(520.39)
12/03/13	AMAZON COMM INC	25.0000	\$384.86	\$9,620.33	\$7,410.00	\$2,210.33	
12/03/13	GILEAD SCIENCES INC COMMON	100.0000	\$74.99	\$7,494.87	\$1,986.46		\$5,508.41
12/03/13	ISHARES MSCI EAFE INDEX FD	450.0000	\$66.19	\$29,767.43	\$28,250.78	\$1,516.65	
12/03/13	MCKESSON CORPORATION	50.0000	\$164.98	\$8,246.85	\$4,148.11		\$4,098.74
12/06/13	ISHARES MSCI EAFE INDEX FD	1,000.0000	\$65.50	\$65,458.86	\$62,592.00	\$2,866.86	
12/09/13	SPDR GOLD TRUST	500.0000	\$120.32	\$60,140.45	\$65,580.85	\$(5,440.40)	



Investment Account 70-70-000-7786387
ROTTERMAN TRUST

08/01/2013 - 07/31/2014

GAIN / (LOSS) ON SALE OF SECURITIES**(continued)**

Date	Description	Quantity	Sale Price	Proceeds	Cost Basis	Realized Gain/(Loss)	
						Short-Term	Long-Term
01/03/14	CVS/CAREMARK CORPORATION	100.0000	\$71.50	\$7,145.87	\$5,902.95	\$1,242.92	
01/03/14	ISHARES RUSSELL 2000 INDEX FD	500.0000	\$115.04	\$57,500.49	\$35,685.00		\$21,815.49
01/03/14	ISHARES HIGH YIELD CORP BND FND	300.0000	\$92.73	\$27,805.52	\$27,493.65	\$311.87	
01/03/14	MASTERCARD INC	10.0000	\$837.62	\$8,375.65	\$1,517.85		\$6,857.80
01/24/14	OCCIDENTAL PETE CORP	400.0000	\$89.75	\$35,884.37	\$39,714.74		\$(3,830.37)
01/28/14	ISHARES MSCI EMERGING MKTS IND F	1,500.0000	\$39.29	\$58,878.02	\$60,278.55	\$(1,400.53)	
02/06/14	TUPPERWARE BRANDS CORPORATION	400.0000	\$77.52	\$30,991.46	\$21,284.92		\$9,706.54
02/14/14	VANGUARD REIT ETF	425.0000	\$68.43	\$29,065.92	\$28,491.99	\$21.49	\$552.44
02/20/14	AMERICAN EXPRESS CO	50.0000	\$88.44	\$4,419.92	\$2,090.50		\$2,329.42
02/20/14	APPLE INC	10.0000	\$542.64	\$5,425.91	\$4,230.50	\$1,195.41	
02/20/14	BERKSHIRE HATHAWAY INC DEL	50.0000	\$114.54	\$5,724.90	\$5,606.93	\$117.97	
02/20/14	GOOGLE INC-CL A	10.0000	\$1,200.51	\$12,004.49	\$6,135.85		\$5,868.64
02/20/14	UNION PAC CORP	25.0000	\$179.02	\$4,474.42	\$3,814.25	\$660.17	
04/08/14	ANHEUSER BUSCH INBEV SA/NV	50.0000	\$106.99	\$5,347.38	\$5,231.00	\$116.38	
04/08/14	NORFOLK SOUTHN CORP	50.0000	\$97.40	\$4,867.89	\$4,594.50	\$273.39	
04/08/14	QUALCOMM INC	75.0000	\$80.79	\$6,056.11	\$4,236.71		\$1,819.40
04/11/14	ISHARES RUSSELL 2000 INDEX FD	250.0000	\$113.40	\$28,339.37	\$10,918.78		\$17,420.59
04/17/14	GOOGLE INC	30.0000	\$534.27	\$16,026.54	\$9,169.93		\$6,856.61
06/09/14	HUSSMAN STRATEGIC GROWTH FUND	74.6360	\$9.67	\$721.73	\$978.85	\$(0.18)	\$(256.94)
06/09/14	PIMCO ALL ASSET ALL AUTH FUND	241.8950	\$10.41	\$2,518.13	\$2,479.42		\$38.71
06/11/14	BANK AMER CORP	2,500.0000	\$15.62	\$38,940.13	\$42,029.90	\$(3,089.77)	
06/11/14	GOLDMAN SACHS GROUP	250.0000	\$164.25	\$41,052.42	\$42,138.50	\$(1,086.08)	
06/11/14	SPDR GOLD TRUST	750.0000	\$120.31	\$90,200.88	\$98,468.00	\$(8,267.12)	
06/26/14	EATON VANCE MUT FDS TR	5,464.5900	\$9.15	\$50,001.00	\$50,164.94	\$(163.94)	
06/30/14	DUKE ENERGY CORP NEW	600.0000	\$72.85	\$43,684.79	\$43,718.75	\$209.80	\$(243.76)
06/30/14	INTERNATIONAL BUSINESS MACHS	250.0000	\$180.58	\$45,134.00	\$45,073.50	\$60.50	
07/18/14	EATON VANCE MUT FDS TR	5,464.5900	\$9.15	\$50,001.00	\$50,164.93	\$(163.93)	
07/22/14	NOW INC	125.0000	\$34.17	\$4,265.57	\$2,575.41		\$1,690.16
Net Gain/(Loss) on Securities Sold				\$1,814,451.78	\$1,716,168.73	\$(6,137.59)	\$104,420.64

* * * End of statement for Investment Account 70-70-000-7786387 * * * *