



See a Social Security Number? Say Something!
Report Privacy Problems to <https://public.resource.org/privacy>
Or call the IRS Identity Theft Hotline at 1-800-908-4490



Form **990-PF**

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

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

Do not enter Social Security numbers on this form as it may be made public. By law, the IRS cannot redact the information on the form.

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 10-01-2013, and ending 09-30-2014

Name of foundation THE ROSENTHAL FUND CO CHARLES ROSENTHAL		A Employer identification number 13-3919545
Number and street (or P O box number if mail is not delivered to street address) Room/suite 784 PARK AVENUE NO 19B		B Telephone number (see instructions) (646) 536-5120
City or town, state or province, country, and ZIP or foreign postal code NEW YORK, NY 10021		C If exemption application is pending, check here <input type="checkbox"/>
G Check all that apply: <input type="checkbox"/> Initial return <input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Final return <input type="checkbox"/> Amended return <input type="checkbox"/> Address change <input type="checkbox"/> Name change		D 1. Foreign organizations, check here <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/>
H Check type of organization: <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/>
I Fair market value of all assets at end of year (from Part II, col. (c), line 16) \$ 10,587,588	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.)	F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>

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)	1,276,216			
	2 Check <input checked="" type="checkbox"/> if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments				
	4 Dividends and interest from securities	182,870	182,870		
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	235,732			
	b Gross sales price for all assets on line 6a 720,074				
	7 Capital gain net income (from Part IV, line 2)		235,732		
	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) (attach schedule)					
11 Other income (attach schedule)					
12 Total. Add lines 1 through 11	1,694,818	418,602			
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc	0	0		0
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees (attach schedule)	4,240	4,240		0
	b Accounting fees (attach schedule)	7,250	3,625		3,625
	c Other professional fees (attach schedule)				
	17 Interest				
	18 Taxes (attach schedule) (see instructions)	14,590	4,490		0
	19 Depreciation (attach schedule) and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses (attach schedule)	485	187		298
	24 Total operating and administrative expenses. Add lines 13 through 23	26,565	12,542		3,923
25 Contributions, gifts, grants paid	1,145,515			1,145,515	
26 Total expenses and disbursements. Add lines 24 and 25	1,172,080	12,542		1,149,438	
27 Subtract line 26 from line 12					
a Excess of revenue over expenses and disbursements	522,738				
b Net investment income (if negative, enter -0-)		406,060			
c Adjusted net income (if negative, enter -0-)					

Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)

Part II Balance Sheets		Beginning of year		End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value	
Assets	1 Cash—non-interest-bearing	71,716	104,288	104,288	
	2 Savings and temporary cash investments	1,464,328	238,478	238,478	
	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)	4,739,469 <input checked="" type="checkbox"/>	6,455,485	10,244,822	
	c Investments—corporate bonds (attach schedule)				
	11 Investments—land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____				
	12 Investments—mortgage loans				
	13 Investments—other (attach schedule)				
	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)	6,275,513	6,798,251	10,587,588		
Liabilities	17 Accounts payable and accrued expenses				
	18 Grants payable				
	19 Deferred revenue				
	20 Loans from officers, directors, trustees, and other disqualified persons				
	21 Mortgages and other notes payable (attach schedule)				
	22 Other liabilities (describe ▶ _____)				
23 Total liabilities (add lines 17 through 22)	0	0			
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here <input type="checkbox"/> and complete lines 24 through 26 and lines 30 and 31.				
	24 Unrestricted				
	25 Temporarily restricted				
	26 Permanently restricted				
	Foundations that do not follow SFAS 117, check here <input checked="" type="checkbox"/> and complete lines 27 through 31.				
	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	6,275,513	6,798,251		
	30 Total net assets or fund balances (see page 17 of the instructions)	6,275,513	6,798,251		
31 Total liabilities and net assets/fund balances (see page 17 of the instructions)	6,275,513	6,798,251			

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	6,275,513
2	Enter amount from Part I, line 27a	2	522,738
3	Other increases not included in line 2 (itemize) ▶ _____	3	0
4	Add lines 1, 2, and 3	4	6,798,251
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	6,798,251

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			(i) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))	
(i) FMV 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	235,732
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	408,023	8,467,431	0.048187
2011	595,379	6,542,889	0.090996
2010	549,695	6,552,393	0.083892
2009	716,865	6,077,956	0.117945
2008	308,980	5,589,269	0.055281
2	Total of line 1, column (d).		2 0.396301
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 0.079260
4	Enter the net value of noncharitable-use assets for 2013 from Part X, line 5.		4 10,456,437
5	Multiply line 4 by line 3.		5 828,777
6	Enter 1% of net investment income (1% of Part I, line 27b).		6 4,061
7	Add lines 5 and 6.		7 832,838
8	Enter qualifying distributions from Part XII, line 4.		8 1,149,438

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)

Table with 11 rows for excise tax calculations. Includes categories like Exempt operating foundations, Domestic foundations, Tax under section 511, Credits/Payments, and Tax due. Values range from 0 to 4,061.

Part VII-A Statements Regarding Activities

Table with 10 rows for activity statements. Includes questions about influencing legislation, political expenditures, and reporting requirements. Columns for Yes/No and numerical responses.

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? Website address N/A	13	Yes	
14 The books are in care of WOLF MARYLES ASSOCIATES LLC Telephone no (646) 536-5120 Located at 220 EAST 42ND STREET SUITE 2201 NEW YORK NY ZIP +4 10017			
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? See instructions for exceptions and filing requirements for Form TD F 90-22.1 If "Yes", enter the name of the foreign country N/A	16	Yes	No

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 page 20 of the instructions)? . . . Organizations relying on a current notice regarding disaster assistance check here. <input type="checkbox"/>	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? <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			
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 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	0

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc , purposes		
a	Average monthly fair market value of securities.	1a	9,795,911
b	Average of monthly cash balances.	1b	819,761
c	Fair market value of all other assets (see instructions).	1c	0
d	Total (add lines 1a, b, and c).	1d	10,615,672
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	10,615,672
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	159,235
5	Net value of noncharitable-use assets. Subtract line 4 from line 3 Enter here and on Part V, line 4	5	10,456,437
6	Minimum investment return. Enter 5% of line 5.	6	522,822

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	522,822
2a	Tax on investment income for 2013 from Part VI, line 5.	2a	4,061
b	Income tax for 2013 (This does not include the tax from Part VI).	2b	
c	Add lines 2a and 2b.	2c	4,061
3	Distributable amount before adjustments Subtract line 2c from line 1.	3	518,761
4	Recoveries of amounts treated as qualifying distributions.	4	0
5	Add lines 3 and 4.	5	518,761
6	Deduction from distributable amount (see instructions).	6	0
7	Distributable amount as adjusted Subtract line 6 from line 5 Enter here and on Part XIII, line 1.	7	518,761

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	1,149,438
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	Qualifying distributions. Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4	4	1,149,438
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	4,061
6	Adjusted qualifying distributions. Subtract line 5 from line 4.	6	1,145,377

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				518,761
2 Undistributed income, if any, as of the end of 2013				
a Enter amount for 2012 only.			0	
b Total for prior years 20__ , 20__ , 20__		0		
3 Excess distributions carryover, if any, to 2013				
a From 2008.	35,431			
b From 2009.	421,787			
c From 2010.	226,381			
d From 2011.	276,237			
e From 2012.				
f Total of lines 3a through e.	959,836			
4 Qualifying distributions for 2013 from Part XII, line 4 ▶ \$ <u>1,149,438</u>				
a Applied to 2012, but not more than line 2a			0	
b Applied to undistributed income of prior years (Election required—see instructions).		0		
c Treated as distributions out of corpus (Election required—see instructions).	0			
d Applied to 2013 distributable amount.				518,761
e Remaining amount distributed out of corpus	630,677			
5 Excess distributions carryover applied to 2013 <i>(If an amount appears in column (d), the same amount must be shown in column (a).)</i>	0			0
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	1,590,513			
b Prior years' undistributed income Subtract line 4b from line 2b.		0		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed.		0		
d Subtract line 6c from line 6b Taxable amount—see instructions		0		
e Undistributed income for 2012 Subtract line 4a from line 2a Taxable amount—see instructions			0	
f Undistributed income for 2013 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2014				0
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions).	0			
8 Excess distributions carryover from 2008 not applied on line 5 or line 7 (see instructions).	35,431			
9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a	1,555,082			
10 Analysis of line 9				
a Excess from 2009.	421,787			
b Excess from 2010.	226,381			
c Excess from 2011.	276,237			
d Excess from 2012.				
e Excess from 2013.	630,677			

Part XIV Private 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)

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

Part XV Supplementary Information (Complete this part only if the 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))

See Additional Data Table

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

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

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)				
a <i>Paid during the year</i> See Additional Data Table				
Total				▶ 3a 1,145,515
b <i>Approved for future payment</i>				
Total				▶ 3b 0

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)
1,000 SHS ZIMMER HOLDINGS	P	2014-06-17	2014-09-25
200 SHS SIEMENS AG SP ADR	P	2013-10-10	2014-02-12
5,000 SHS ALLISON TRANSMISSION HOLDINGS	P	2012-11-12	2014-09-15
1,000 SHS MUELLER INDS INC	P	2010-05-13	2013-10-25
4,000 SHS MUELLER INDS INC	P	2010-05-13	2013-11-22
3,000 SHS LEUCADIA NATL CORP	P	2006-09-07	2013-10-17
2,000 SHS LEUCADIA NATL CORP	P	2003-08-26	2013-10-17

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)
101,468		104,821	-3,353
25,621		24,526	1,095
146,578		105,767	40,811
60,038		29,742	30,296
244,196		118,966	125,230
85,304		76,237	9,067
56,869		24,283	32,586

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	
			-3,353
			1,095
			40,811
			30,296
			125,230
			9,067
			32,586

Form 990PF Part XV Line 1a - 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).

CHARLES ROSENTHAL
EVA ROSENTHAL

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>				
CARNEGIE HALL SOCIETY INC 881 7TH AVENUE NEW YORK, NY 10019			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	360,000
SAINT ANN'S SCHOOL 129 PIERREPONT STREET BROOKLYN, NY 11201			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	105,000
WNET 825 EIGHTH AVENUE NEW YORK, NY 10019			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	1,500
LADIES VILLAGE IMPROVEMENT SOCIETY INC OF E HAMPTON NY 95 MAIN STREET EAST HAMPTON, NY 11937			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	250
BROOKLYN FRIENDS SCHOOL 375 PEARL STREET BROOKLYN, NY 11201			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	1,000
NEW YORK RESTORATION PROJECT 254 W 31ST STREET 10 NEW YORK, NY 10001			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	10,000
ACKERMAN INSTITUTE FOR THE FAMILY 936 BROADWAY NEW YORK, NY 10010			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	1,000
THE CHILDREN'S AID SOCIETY 105 EAST 22ND STREET NEW YORK, NY 10010			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	1,000
METROPOLITAN MUSEUM OF ART 1000 5TH AVENUE NEW YORK, NY 10028			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	550
BROWN UNIVERSITY 69 BROWN STREET PROVIDENCE, RI 02912			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	107,500
VILLAGE PRESERVATION SOCIETY OF EAST HAMPTON 44 COSDREW LANE EAST HAMPTON, NY 11937			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	500
ORCHESTRA OF ST LUKES 450 WEST 37TH STREET NEW YORK, NY 10018			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	2,000
HUMANE SOCIETY OF NEW YORK 306 EAST 59TH STREET NEW YORK, NY 10022			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	500
BEST FRIENDS ANIMAL SOCIETY 5001 ANGEL CANYON ROAD KANAB, UT 84741			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	10,000
ROUND TABLE OF CULTURAL SEMINARS LTD 45 EAST 78TH STREET NEW YORK, NY 10075			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	1,700
Total				1,145,515

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>				
CHARLEY'S FUND 36 MAIN STREET STOCKBRIDGE,MA 01262			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	10,000
WOMEN IN NEED INC 115 WEST 31ST STREET NEW YORK,NY 10001			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	500
MT SINAI HOSPITAL 1 GUSTAVE L LEVY PLACE NEW YORK,NY 10029			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	1,000
MARINE BIOLOGICAL LABORATORY 7 M B L STREET WOODS HOLE,MA 02543			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	500,000
MIGHTY MUTTS INC 430 EAST 9TH STREET NEW YORK,NY 10009			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	500
JEWISH BOARD OF FAMILY & CHILDREN'S SERVICES 135 WEST 50TH STREET NEW YORK,NY 10020			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	500
HENRY STREET SETTLEMENT 265 HENRY STREET NEW YORK,NY 10002			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	1,000
FRIENDS OF MOSTLY MOZART 10 LINCOLN CENTER PLAZA NEW YORK,NY 10023			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	500
PROJECT YESS 1011 1ST AVENUE NEW YORK,NY 10022			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	5,000
TEMPLE BETH EL 510 EAST 77TH STREET NEW YORK,NY 10001			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	1,000
RANDALL'S ISLAND SPORTS FOUNDATION 24 WEST 61ST STREET NEW YORK,NY 10023			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	1,000
KIDS OF NYU FOUNDATION INC 462 1ST AVENUE NEW YORK,NY 10016			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	5,000
CHILDREN'S HOSPITAL FOUNDATION 100 WOODS ROAD VALHALLA,NY 10595			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	100
CHECKERBOARD FILM FOUNDATION 1 EAST 53RD STREET 1400 NEW YORK,NY 10022			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	1,600
UNITED JEWISH APPEAL FEDERATION OF JEWISH PHILANTHROPIES OF NY INC 130 EAST 59TH STREET NEW YORK,NY 10022			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	1,000
Total				1,145,515

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>				
FRIENDS OF EAST SIDE 966 LEXINGTON AVENUE 35 NEW YORK, NY 10021			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	250
BRIDGEHAMPTON CHAMBER MUSIC FESTIVAL 850 7TH AVENUE SUITE 700 NEW YORK, NY 10019			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	2,300
NEUE GALERIE NEW YORK 1048 5TH AVENUE NEW YORK, NY 10028			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	500
CONGREGATION EMANU-EL 1 EAST 65TH STREET NEW YORK, NY 10065			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	2,950
LEUKEMIA AND LYMPHOMA SOCIETY 1311 MAMARONECK AVENUE SUITE 310 WHITE PLAINS, NY 10605			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	500
NEW YORK PUBLIC RADIO 160 VARICK STREET NEW YORK, NY 10013			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	2,000
JEWISH GUILD HEALTHCARE 15 WEST 65TH STREET NEW YORK, NY 10023			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	1,000
MASSACHUSETTS GENERAL CANCER CENTER 55 FRUIT STREET BOSTON, MA 02114			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	1,000
ROOSEVELT INSTITUTE 570 LEXINGTON AVENUE NEW YORK, NY 10022			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	500
CHARITIES AID FOUNDATION OF AMERICA 1800 DIAGONAL ROAD SUITE 150 ALEXANDRIA, VA 22314			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	1,000
GUILD HALL OF EAST HAMPTON 158 MAIN STREET EAST HAMPTON, NY 11937			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	100
AMERICAN ASSOCIATES OF THE NATIONAL THEATRE 268 WEST 44TH STREET 4TH FLOOR NEW YORK, NY 10036			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	1,000
DECODA INC PO BOX 3252 NEW YORK, NY 10163			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	250
THE FUND FOR PARK AVENUE 445 PARK AVENUE SUITE 1000 NEW YORK, NY 10022			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	250
RAMAPO FOR CHILDREN 49 WEST 38TH STREET NEW YORK, NY 10018			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	215
Total				1,145,515

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>				
JEWISH COMMUNAL FUND 575 MADISON AVENUE SUITE 703 NEW YORK, NY 10022			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	500
Total				3a 1,145,515

TY 2013 Accounting Fees Schedule

Name: THE ROSENTHAL FUND CO CHARLES ROSENTHAL

EIN: 13-3919545

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
ACCOUNTING FEES	7,250	3,625		3,625

**TY 2013 Investments Corporate
Stock Schedule****Name:** THE ROSENTHAL FUND CO CHARLES ROSENTHAL**EIN:** 13-3919545

Name of Stock	End of Year Book Value	End of Year Fair Market Value
MARKETABLE SECURITIES	6,455,485	10,244,822

TY 2013 Legal Fees Schedule

Name: THE ROSENTHAL FUND CO CHARLES ROSENTHAL

EIN: 13-3919545

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
PROFESSIONAL FEES	4,240	4,240		0

TY 2013 Other Expenses Schedule

Name: THE ROSENTHAL FUND CO CHARLES ROSENTHAL

EIN: 13-3919545

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
NYS FILING FEE	250	0		250
BANK CHARGES	187	187		0
PUBLIC NOTICE AD	48	0		48

TY 2013 Taxes Schedule

Name: THE ROSENTHAL FUND CO CHARLES ROSENTHAL

EIN: 13-3919545

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FOREIGN TAX WITHHELD - FIRST MANHATTAN	4,490	4,490		0
EXCISE TAX	10,100	0		0