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Form **990-PF****Return of Private Foundation**  
or Section 4947(a)(1) Trust Treated as Private Foundation

OMB No 1545-0052

**2013**

Open to Public Inspection

Department of the Treasury  
Internal Revenue Service▶ Do not enter Social Security numbers on this form as it may be made public.  
▶ Information about Form 990-PF and its separate instructions is at [www.irs.gov/form990pf](http://www.irs.gov/form990pf).

For calendar year 2013 or tax year beginning 12/01/13, and ending 11/30/14

Name of foundation <b>MAX &amp; RIKA KNOFF FOUNDATION</b>		A Employer identification number <b>13-3523504</b>
Number and street (or P.O. box number if mail is not delivered to street address) <b>3535 INDIAN CREEK DR</b>		B Telephone number (see instructions) <b>212-962-6100</b>
City or town, state or province, country, and ZIP or foreign postal code <b>MIAMI BEACH FL 33140</b>		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) ▶ \$ <b>1,892,210</b>	J Accounting method: <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify)	F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>
(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)
<b>Revenue</b>	1 Contributions, gifts, grants, etc., received (attach schedule)	25,000			
	2 Check <input type="checkbox"/> if the foundation is not required to attach Sch. B				
	3 Interest on savings and temporary cash investments	13,699	13,699		
	4 Dividends and interest from securities	38,325	38,325		
	5a Gross rents	18,250	18,250		
	b Net rental income or (loss)	11,840			
	6a Net gain or (loss) from sale of assets not on line 10	-134,397			
	b Gross sales price for all assets on line 6a	314,012			
	7 Capital gain net income (from Part IV, line 2)		0		
	8 Net short-term capital gain			0	
	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 <b>Total. Add lines 1 through 11</b>	-39,123	70,274	0		
<b>Operating and Administrative Expenses</b>	13 Compensation of officers, directors, trustees, etc	0			
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees (attach schedule)				
	b Accounting fees (attach schedule) Stmt 1	6,300			6,300
	c Other professional fees (attach schedule)				
	17 Interest				
	18 Taxes (attach schedule) (see instructions) Stmt 2	219	219		
	19 Depreciation (attach schedule) and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses (att sch) Stmt 3	7,121	6,871		250
	24 <b>Total operating and administrative expenses. Add lines 13 through 23</b>	13,640	7,090	0	6,550
	25 Contributions, gifts, grants paid	216,431			216,431
26 <b>Total expenses and disbursements. Add lines 24 and 25</b>	230,071	7,090	0	222,981	
27 Subtract line 26 from line 12					
a <b>Excess of revenue over expenses and disbursements</b>	-269,194				
b <b>Net investment income</b> (if negative, enter -0-)		63,184			
c <b>Adjusted net income</b> (if negative, enter -0-)			0		

For Paperwork Reduction Act Notice, see instructions.

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Form 990-PF (2013)

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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		443,245	259,837	259,838
	2	Savings and temporary cash investments		584,564	497,464	497,464
	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 (att. schedule) ▶				
		Less allowance for doubtful accounts ▶	0			
	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) See Stmt 4		1,186,820	1,188,134	1,112,908
	c	Investments – corporate bonds (attach schedule) See Stmt 5		22,000	22,000	22,000
	11	Investments – land, buildings, and equipment basis ▶				
	Less accumulated depreciation (attach sch.) ▶					
12	Investments – mortgage loans					
13	Investments – other (attach schedule)					
14	Land, buildings, and equipment basis ▶					
	Less accumulated depreciation (attach sch.) ▶					
15	Other assets (describe ▶)	)				
16	<b>Total assets</b> (to be completed by all filers – see the instructions. Also, see page 1, item I)		2,236,629	1,967,435	1,892,210	
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	<b>Total liabilities</b> (add lines 17 through 22)		0	0	
Net Assets or Fund Balances		<b>Foundations that follow SFAS 117, check here and complete lines 24 through 26 and lines 30 and 31.</b> ▶ <input checked="" type="checkbox"/>				
	24	Unrestricted		2,236,629	1,967,435	
	25	Temporarily restricted				
	26	Permanently restricted				
		<b>Foundations that do not follow SFAS 117, check here and complete lines 27 through 31.</b> ▶ <input type="checkbox"/>				
	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				
	30	<b>Total net assets or fund balances</b> (see instructions)		2,236,629	1,967,435	
	31	<b>Total liabilities and net assets/fund balances</b> (see instructions)		2,236,629	1,967,435	

## 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	2,236,629
2	Enter amount from Part I, line 27a	2	-269,194
3	Other increases not included in line 2 (itemize) ▶	3	
4	Add lines 1, 2, and 3	4	1,967,435
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	1,967,435

**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.)
<b>1a</b>	JP MORGAN CHASE SEE ATTACHED	P	Various	Various
<b>b</b>	JP MORGAN CHASE SEE ATTACHED	P	Various	Various
<b>c</b>	SALE OF K-1 PIONEER NATURAL RESERVE	P	Various	Various
<b>d</b>				
<b>e</b>				

(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)
<b>a</b> 238,732		409,955	-171,223
<b>b</b> 68,464		38,454	30,010
<b>c</b> 6,816			6,816
<b>d</b>			
<b>e</b>			

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
<b>a</b>			-171,223
<b>b</b>			30,010
<b>c</b>			6,816
<b>d</b>			
<b>e</b>			

<b>2</b> Capital gain net income or (net capital loss)	<div style="border: 1px solid black; padding: 2px;">           If gain, also enter in Part I, line 7            If (loss), enter -0- in Part I, line 7         </div>	<b>2</b>	-134,397
<b>3</b> 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		<b>3</b>	30,010

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

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

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

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period?

☐ Yes ☒ No

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2012	245,312	1,965,857	0.124786
2011	381,539	1,901,490	0.200653
2010	487,772	2,137,028	0.228248
2009	564,748	1,867,297	0.302441
2008	923,021	1,386,710	0.665619

<b>2</b> Total of line 1, column (d)	<b>2</b>	1.521747
<b>3</b> 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	<b>3</b>	0.304349
<b>4</b> Enter the net value of noncharitable-use assets for 2013 from Part X, line 5	<b>4</b>	1,870,453
<b>5</b> Multiply line 4 by line 3	<b>5</b>	569,271
<b>6</b> Enter 1% of net investment income (1% of Part I, line 27b)	<b>6</b>	632
<b>7</b> Add lines 5 and 6	<b>7</b>	569,903
<b>8</b> 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.	<b>8</b>	222,981

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

<b>1a</b>	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>b</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	<b>1</b>	1,264
<b>c</b>	All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col (b)		
<b>2</b>	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	<b>2</b>	0
<b>3</b>	Add lines 1 and 2	<b>3</b>	1,264
<b>4</b>	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	<b>4</b>	0
<b>5</b>	<b>Tax based on investment income.</b> Subtract line 4 from line 3. If zero or less, enter -0-	<b>5</b>	1,264
<b>6</b>	<b>Credits/Payments</b>		
<b>a</b>	2013 estimated tax payments and 2012 overpayment credited to 2013	<b>6a</b>	781
<b>b</b>	Exempt foreign organizations – tax withheld at source	<b>6b</b>	
<b>c</b>	Tax paid with application for extension of time to file (Form 8868)	<b>6c</b>	1,500
<b>d</b>	Backup withholding erroneously withheld	<b>6d</b>	
<b>7</b>	Total credits and payments. Add lines 6a through 6d	<b>7</b>	2,281
<b>8</b>	Enter any <b>penalty</b> for underpayment of estimated tax. Check here <input checked="" type="checkbox"/> if Form 2220 is attached	<b>8</b>	7
<b>9</b>	<b>Tax due.</b> If the total of lines 5 and 8 is more than line 7, enter <b>amount owed</b>	<b>9</b>	
<b>10</b>	<b>Overpayment.</b> If line 7 is more than the total of lines 5 and 8, enter the <b>amount overpaid</b>	<b>10</b>	1,010
<b>11</b>	Enter the amount of line 10 to be <b>Credited to 2014 estimated tax</b> <b>1,010</b> <b>Refunded</b>	<b>11</b>	

**Part VII-A Statements Regarding Activities**

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

N/A

**Part VII-A Statements Regarding Activities (continued)**

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)	11		X
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► N/A	13	X	
14	The books are in care of ► MAX WASSER 132 NASSAU ST #300 Located at ► NEW YORK NY ZIP+4 ► 10038	Telephone no ► 212-962-6100		
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	► <input type="checkbox"/>	
16	At any time during calendar year 2013, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? See the instructions for exceptions and filing requirements for Form TD F 90-22.1 If "Yes," enter the name of the foreign country ►	16	Yes	No X

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

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

		Yes	No
1a	During the year did the foundation (either directly or indirectly)		
(1)	Engage in the sale or exchange, or leasing of property with a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(2)	Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(3)	Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(4)	Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(5)	Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(6)	Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b	If any answer is "Yes" to 1a(1)–(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? Organizations relying on a current notice regarding disaster assistance check here	N/A	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?	N/A	1c
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))		
a	At the end of tax year 2013, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2013? If "Yes," list the years ► 20 , 20 , 20 , 20	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
b	Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement – see instructions)	N/A	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? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2013)	N/A	3b
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?		X
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2013?		X

**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)? ☐ N/A **5b**

Organizations relying on a current notice regarding disaster assistance check here ☐ 

**c** If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? ☐ N/A ☐ Yes ☐ No

If "Yes," attach the statement required by Regulations section 53.4945–5(d)

**6a** Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? ☐ Yes ☒ No

**b** Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? **6b** ☐ Yes ☒ 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? ☐ N/A **7b**


**Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors****1 List all officers, directors, trustees, foundation managers and their compensation (see instructions).**

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
SOLOMON KNOFF 951 WEST KENNEDY BLVD LAKEWOOD NJ 08701	MANAGER 0.00	0	0	0
RIKA KNOFF 3535 INDIAN CREEK DR # 204 MIAMI BEACH FL 33140	MANAGER 0.00	0	0	0

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

(a) Name and address of each employee paid more than \$50,000	(b) Title, and average hours per week devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
NONE				

Total number of other employees paid over \$50,000

 0

**Part 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		
<b>Total</b> number of others receiving over \$50,000 for professional services		

**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 N/A	
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 N/A	
2	
All other program-related investments. See instructions.	
3	
<b>Total.</b> Add lines 1 through 3	



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

<b>1</b>	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes		
<b>a</b>	Average monthly fair market value of securities	<b>1a</b>	992,768
<b>b</b>	Average of monthly cash balances	<b>1b</b>	906,169
<b>c</b>	Fair market value of all other assets (see instructions)	<b>1c</b>	0
<b>d</b>	<b>Total</b> (add lines 1a, b, and c)	<b>1d</b>	1,898,937
<b>e</b>	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	<b>1e</b>	0
<b>2</b>	Acquisition indebtedness applicable to line 1 assets	<b>2</b>	0
<b>3</b>	Subtract line 2 from line 1d	<b>3</b>	1,898,937
<b>4</b>	Cash deemed held for charitable activities. Enter 1½% of line 3 (for greater amount, see instructions)	<b>4</b>	28,484
<b>5</b>	<b>Net value of noncharitable-use assets.</b> Subtract line 4 from line 3. Enter here and on Part V, line 4	<b>5</b>	1,870,453
<b>6</b>	<b>Minimum investment return.</b> Enter 5% of line 5	<b>6</b>	93,523

**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.)

<b>1</b>	Minimum investment return from Part X, line 6	<b>1</b>	93,523
<b>2a</b>	Tax on investment income for 2013 from Part VI, line 5	<b>2a</b>	1,264
<b>b</b>	Income tax for 2013 (This does not include the tax from Part VI)	<b>2b</b>	
<b>c</b>	Add lines 2a and 2b	<b>2c</b>	1,264
<b>3</b>	Distributable amount before adjustments. Subtract line 2c from line 1	<b>3</b>	92,259
<b>4</b>	Recoveries of amounts treated as qualifying distributions	<b>4</b>	
<b>5</b>	Add lines 3 and 4	<b>5</b>	92,259
<b>6</b>	Deduction from distributable amount (see instructions)	<b>6</b>	
<b>7</b>	<b>Distributable amount as adjusted.</b> Subtract line 6 from line 5. Enter here and on Part XIII, line 1	<b>7</b>	92,259

**Part XII Qualifying Distributions** (see instructions)

<b>1</b>	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes		
<b>a</b>	Expenses, contributions, gifts, etc. – total from Part I, column (d), line 26	<b>1a</b>	222,981
<b>b</b>	Program-related investments – total from Part IX-B	<b>1b</b>	
<b>2</b>	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	<b>2</b>	
<b>3</b>	Amounts set aside for specific charitable projects that satisfy the		
<b>a</b>	Suitability test (prior IRS approval required)	<b>3a</b>	
<b>b</b>	Cash distribution test (attach the required schedule)	<b>3b</b>	
<b>4</b>	<b>Qualifying distributions.</b> Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	<b>4</b>	222,981
<b>5</b>	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)	<b>5</b>	0
<b>6</b>	<b>Adjusted qualifying distributions.</b> Subtract line 5 from line 4	<b>6</b>	222,981

**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
<b>1</b> Distributable amount for 2013 from Part XI, line 7				92,259
<b>2</b> Undistributed income, if any, as of the end of 2013				
<b>a</b> Enter amount for 2012 only				
<b>b</b> Total for prior years 20____, 20____, 20____				
<b>3</b> Excess distributions carryover, if any, to 2013				
<b>a</b> From 2008	855,079			
<b>b</b> From 2009	472,551			
<b>c</b> From 2010	382,144			
<b>d</b> From 2011	287,708			
<b>e</b> From 2012	148,466			
<b>f</b> Total of lines 3a through e	2,145,948			
<b>4</b> Qualifying distributions for 2013 from Part XII, line 4 ▶ \$ 222,981				
<b>a</b> Applied to 2012, but not more than line 2a				
<b>b</b> Applied to undistributed income of prior years (Election required – see instructions)				
<b>c</b> Treated as distributions out of corpus (Election required – see instructions)				
<b>d</b> Applied to 2013 distributable amount				92,259
<b>e</b> Remaining amount distributed out of corpus	130,722			
<b>5</b> Excess distributions carryover applied to 2013 (If an amount appears in column (d), the same amount must be shown in column (a) )				
<b>6</b> Enter the net total of each column as indicated below:				
<b>a</b> Corpus Add lines 3f, 4c, and 4e Subtract line 5	2,276,670			
<b>b</b> Prior years' undistributed income Subtract line 4b from line 2b				
<b>c</b> 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				
<b>d</b> Subtract line 6c from line 6b Taxable amount – see instructions				
<b>e</b> Undistributed income for 2012 Subtract line 4a from line 2a Taxable amount – see instructions				
<b>f</b> Undistributed income for 2013 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2014				0
<b>7</b> Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions)				
<b>8</b> Excess distributions carryover from 2008 not applied on line 5 or line 7 (see instructions)	855,079			
<b>9</b> Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a	1,421,591			
<b>10</b> Analysis of line 9				
<b>a</b> Excess from 2009	472,551			
<b>b</b> Excess from 2010	382,144			
<b>c</b> Excess from 2011	287,708			
<b>d</b> Excess from 2012	148,466			
<b>e</b> Excess from 2013	130,722			

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

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

N/A

**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

N/A

**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

N/A

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

N/A

**c** Any submission deadlines

N/A

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

N/A

**Part XV Supplementary Information (continued)****3 Grants and Contributions Paid During the Year or Approved for Future Payment**

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a Paid during the year SEE ATTACHED			CHARITABLE	216,431
<b>Total</b>				<b>216,431</b>
b Approved for future payment N/A				
<b>Total</b>				



**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)		X
1a(2)		X
1b(1)		X
1b(2)		X
1b(3)		X
1b(4)		X
1b(5)		X
1b(6)		X
1c		X

[illegible]

- 2a** Is the foundation directly or indirectly affiliated with, or related to, one or more tax-exempt organizations described in section 501(c) of the Code (other than section 501(c)(3)) or in section 527?

☐ Yes ☒ No

- b** If "Yes," complete the following schedule

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

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

**Sign  
Here**

Rita Knapp  
Signature of officer or trustee

8.26.15  
Date

TRUSTEE

Title

May the IRS discuss this return with the preparer shown below (see instructions)? ☒ Yes

**Paid**  
**Preparer**  
**Use Only**

Pnnt/Type preparer's name

Preparer's signature

Date \_\_\_\_\_

Check ☐ if  
self-employed

MICHAEL LIPSTEIN

MICHAEL LIPSTEIN

Firm's name ▶ WASSER, BRETTLER, KLAR & LIPSTEIN, LLP CPA

PTIN	P01069367
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Firm's address ► 132 NASSAU STREET SUITE 300  
NEW YORK, NY 10038

Firm's EIN ▶ 13-2659310

Phone no	212-962-6100
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**Schedule B**  
(Form 990, 990-EZ,  
or 990-PF)

Department of the Treasury  
Internal Revenue Service

**Schedule of Contributors**

OMB No 1545-0047

**2013**

▶ Attach to Form 990, Form 990-EZ, or Form 990-PF.

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

Name of the organization

Employer identification number

MAX & RIKA KNOFF FOUNDATION

13-3523504

Organization type (check one)

Filers of:

Section:

Form 990 or 990-EZ

☐ 501(c)( ) (enter number) organization

☐ 4947(a)(1) nonexempt charitable trust not treated as a private foundation

☐ 527 political organization

Form 990-PF

☒ 501(c)(3) exempt private foundation

☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation

☐ 501(c)(3) taxable private foundation

Check if your organization is covered by the **General Rule** or a **Special Rule**.

**Note.** Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule. See instructions.

**General Rule**

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

**Special Rules**

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

▶ \$

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

## Name of organization

MAX &amp; RIKA KNOPF FOUNDATION

## Employer identification number

13-3523504

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

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	ELI KNOPF 2182 GOYER STREET MONTREAL QUEBEC CANADA QC H351G9	\$ 12,000	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions )
2	SOLOMON KNOPF 951 KENNEDY BLVD LAKEWOOD NJ 08701	\$ 5,000	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions )
(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions )
(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions )
(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions )
(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions )
(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions )



## CAP GAINS / losses

Qty	Company Description	Type	Bought	Sold	Sale Amount	Cost	Gain (Loss)
1,332	AMERICAN CAPITAL LTD	LT	12/01/11	11/13/14	\$20,232.91	\$45,172.81	(\$24,940)
2,000	ADVANTAGE OIL	LT	12/01/11	11/19/14	\$9,166.80	\$9,180.00	(\$13)
150	DEERFIELD TRIAC CAPITAL	LT	12/01/11	11/19/14	\$1,326.96	\$21,918.50	(\$20,592)
0.509	FELCORE LODGING TRU	LT	12/01/11	11/19/14	\$5.38	\$7.00	(\$2)
161	PARAGON SHIPPING	LT	12/01/11	11/19/14	\$544.38	\$30,020.69	(\$29,476)
14.85208	CALAMOS	LT	12/22/11	11/19/14	\$176.04	\$122.28	\$54
14.12004	CALAMOS	LT	01/12/12	11/19/14	\$167.36	\$123.06	\$44
17.36419	CALAMOS	LT	02/22/12	11/19/14	\$205.81	\$165.07	\$41
16.68806	CALAMOS	LT	03/22/12	11/19/14	\$197.80	\$166.29	\$32
17.34451	CALAMOS	LT	04/20/12	11/19/14	\$205.58	\$167.45	\$38
17.857	CALAMOS	LT	05/21/12	11/19/14	\$211.66	\$168.67	\$43
18.149	CALAMOS	LT	06/21/12	11/19/14	\$215.12	\$169.92	\$45
17.602	CALAMOS	LT	07/23/12	11/19/14	\$208.63	\$171.19	\$37
16.93	CALAMOS	LT	08/20/12	11/19/14	\$200.67	\$172.42	\$28
16.858	CALAMOS	LT	09/20/12	11/19/14	\$199.82	\$173.61	\$26
16.763	CALAMOS	LT	10/22/12	11/19/14	\$198.69	\$174.79	\$24
18.02591	CALAMOS	LT	11/21/12	11/19/14	\$213.66	\$175.96	\$38
17.71509	CALAMOS	LT	12/20/12	11/19/14	\$209.97	\$177.22	\$33
17.45645	CALAMOS	LT	01/11/13	11/19/14	\$206.91	\$178.46	\$28
17.05341	CALAMOS	LT	02/22/13	11/19/14	\$202.13	\$179.68	\$22
17.24407	CALAMOS	LT	03/22/13	11/19/14	\$204.39	\$180.88	\$24
17.43755	CALAMOS	LT	04/22/13	11/19/14	\$206.68	\$182.08	\$25
16.6833	CALAMOS	LT	05/22/13	11/19/14	\$197.74	\$183.31	\$14
17.83732	CALAMOS	LT	06/21/13	11/19/14	\$211.42	\$184.47	\$27
17.7651	CALAMOS	LT	07/23/13	11/19/14	\$210.57	\$185.72	\$25
18.51591	CALAMOS	LT	08/22/13	11/19/14	\$219.47	\$186.97	\$32
18.52679	CALAMOS	LT	09/23/13	11/19/14	\$219.59	\$188.26	\$31
18.56991	CALAMOS	LT	10/23/13	11/19/14	\$220.11	\$189.56	\$31
3.43041	DHT MARITIME	LT	02/15/12	11/19/14	\$21.99	\$51.87	(\$30)
4.57273	DHT MARITIME	LT	05/23/12	11/19/14	\$29.31	\$35.40	(\$6)
66.4995	EATON VANCE TX GLBL	LT	12/13/11	11/19/14	\$651.13	\$555.63	\$95
62.72161	EATON VANCE TX GLBL	LT	02/29/12	11/19/14	\$614.14	\$574.53	\$40
63.077	EATON VANCE TX GLBL	LT	05/31/12	11/19/14	\$617.62	\$508.40	\$109
60.631	EATON VANCE TX GLBL	LT	08/31/12	11/19/14	\$593.67	\$523.79	\$70
60.99553	EATON VANCE TX GLBL	LT	11/21/12	11/19/14	\$597.24	\$538.58	\$59
19.51435	EATON VANCE TX GLBL	LT	01/31/13	11/19/14	\$191.07	\$184.41	\$7
20.06472	EATON VANCE TX GLBL	LT	02/28/13	11/19/14	\$196.46	\$186.00	\$10
19.98189	EATON VANCE TX GLBL	LT	03/28/13	11/19/14	\$195.65	\$187.63	\$8
19.83754	EATON VANCE TX GLBL	LT	04/30/13	11/19/14	\$194.24	\$189.25	\$5
19.53633	EATON VANCE TX GLBL	LT	05/31/13	11/19/14	\$191.29	\$190.87	\$0
20.58395	EATON VANCE TX GLBL	LT	06/28/13	11/19/14	\$201.55	\$192.46	\$9
20.11708	EATON VANCE TX GLBL	LT	07/31/13	11/19/14	\$196.98	\$194.13	\$3
20.98223	EATON VANCE TX GLBL	LT	08/30/13	11/19/14	\$205.45	\$195.77	\$10
20.78616	EATON VANCE TX GLBL	LT	09/30/13	11/19/14	\$203.53	\$197.47	\$6
20.03621	EATON VANCE TX GLBL	LT	10/31/13	11/19/14	\$196.18	\$199.16	(\$3)
8.28501	PENGROWTH ENERGY LTD	LT	12/15/11	11/19/14	\$30.91	\$84.59	(\$54)

Qty	Company	Description	Type	Bought	Sold	Sale Amount	Cost	Gain (Loss)
8.27212	PENGROWTH ENERGY	1LT		01/17/12	11/19/14	\$30.86	\$86.94	(\$56)
8.896	PENGROWTH ENERGY	1LT		02/15/12	11/19/14	\$33.19	\$88.96	(\$56)
9.11054	PENGROWTH ENERGY	1LT		03/15/12	11/19/14	\$33.99	\$89.83	(\$56)
10.00558	PENGROWTH ENERGY	1LT		04/16/12	11/19/14	\$37.33	\$89.65	(\$52)
11.104	PENGROWTH ENERGY	1LT		05/15/12	11/19/14	\$41.43	\$89.94	(\$49)
12.973	PENGROWTH ENERGY	1LT		06/15/12	11/19/14	\$48.40	\$88.86	(\$40)
15.363	PENGROWTH ENERGY	1LT		07/24/12	11/19/14	\$57.32	\$90.40	(\$33)
8.568	PENGROWTH ENERGY	1LT		08/17/12	11/19/14	\$31.97	\$52.90	(\$21)
8.262	PENGROWTH ENERGY	1LT		09/20/12	11/19/14	\$30.82	\$54.75	(\$24)
8.671	PENGROWTH ENERGY	1LT		10/18/12	11/19/14	\$32.35	\$54.65	(\$22)
10.0091	PENGROWTH ENERGY	1LT		11/21/12	11/19/14	\$37.34	\$54.95	(\$18)
11.40499	PENGROWTH ENERGY	1LT		12/18/12	11/19/14	\$42.55	\$55.02	(\$12)
11.83252	PENGROWTH ENERGY	1LT		01/23/13	11/19/14	\$44.14	\$56.17	(\$12)
11.07101	PENGROWTH ENERGY	1LT		02/20/13	11/19/14	\$41.30	\$48.16	(\$7)
10.4721	PENGROWTH ENERGY	1LT		03/18/13	11/19/14	\$39.07	\$47.87	(\$9)
10.14353	PENGROWTH ENERGY	1LT		04/16/13	11/19/14	\$37.84	\$48.12	(\$10)
10.01402	PENGROWTH ENERGY	1LT		05/16/13	11/19/14	\$37.36	\$48.54	(\$11)
9.73134	PENGROWTH ENERGY	1LT		06/18/13	11/19/14	\$36.31	\$48.90	(\$13)
9.84093	PENGROWTH ENERGY	1LT		07/15/13	11/19/14	\$36.71	\$48.01	(\$11)
9.80286	PENGROWTH ENERGY	1LT		08/20/13	11/19/14	\$36.57	\$55.13	(\$19)
10.16788	PENGROWTH ENERGY	1LT		09/12/13	11/19/14	\$37.93	\$55.65	(\$18)
9.73387	PENGROWTH ENERGY	1LT		10/16/13	11/19/14	\$36.32	\$55.68	(\$19)
9.25728	PENGROWTH ENERGY	1LT		11/08/13	11/19/14	\$34.54	\$58.12	(\$24)
12.65539	PENN WEST ENERGY	TR LT		01/13/12	11/19/14	\$51.41	\$258.17	(\$207)
15.36322	PENN WEST ENERGY	TR LT		04/13/12	11/19/14	\$62.41	\$269.01	(\$207)
21.402	PENN WEST ENERGY	TR LT		07/13/12	11/19/14	\$86.94	\$266.87	(\$180)
21.379	PENN WEST ENERGY	TR LT		10/15/12	11/19/14	\$86.84	\$287.55	(\$201)
27.91803	PENN WEST ENERGY	TR LT		01/15/13	11/19/14	\$113.41	\$289.51	(\$176)
26.16526	PENN WEST ENERGY	TR LT		04/24/13	11/19/14	\$106.29	\$248.52	(\$142)
27.01098	PENN WEST ENERGY	TR LT		07/22/13	11/19/14	\$109.72	\$281.73	(\$172)
14.24236	PENN WEST ENERGY	TR LT		10/21/13	11/19/14	\$57.85	\$149.72	(\$92)
0.67699	CALAMOS	LT		n/a	11/19/14	\$8.04	\$9.12	(\$1)
2,328.51	CALAMOS	LT		n/a	11/19/14	\$27,599.40	\$31,374.54	(\$3,775)
143.9969	DHT MARITIME	LT		n/a	11/19/14	\$923.03	\$21,069.54	(\$20,147)
0.64839	EATON VANCE TX	GLBL LT		n/a	11/19/14	\$6.35	\$11.54	(\$5)
1,953.73	EATON VANCE TX	GLBL LT		n/a	11/19/14	\$19,129.86	\$34,786.43	(\$15,657)
1,699.49	FELCORE LODGING	TR ULT		n/a	11/19/14	\$17,939.73	\$23,368.55	(\$5,429)
0.17265	PENGROWTH ENERGY	1LT		n/a	11/19/14	\$0.64	\$3.53	(\$3)
1,475.44	PENGROWTH ENERGY	1LT		n/a	11/19/14	\$5,504.55	\$30,174.57	(\$24,670)
0.66822	PENN WEST ENERGY	TR LT		n/a	11/19/14	\$2.74	\$20.77	(\$18)
1,155.20	PENN WEST ENERGY	TR LT		n/a	11/19/14	\$4,692.60	\$35,901.76	(\$31,209)
1,604	PIONEER SOUTHWEST	I LT		n/a	12/17/13	\$31,953.00	\$31,953.00	\$0
85,000	BANK OF AMERICA	LT		n/a	11/18/14	\$88,307.35	\$82,707.55	\$5,600
						\$238,732.46	\$409,955.44	(\$171,226.00)
17.78966	CALAMOS	ST		11/22/13	11/19/14	\$210.86	\$190.86	\$20

Qty	Company	Description	Type	Bought	Sold	Sale Amount	Cost	Gain (Loss)
17.98201	CALAMOS		ST	12/20/13	11/19/14	\$213.14	\$192.10	\$21
17.74547	CALAMOS		ST	01/10/14	11/19/14	\$210.33	\$193.36	\$17
17.52143	CALAMOS		ST	02/20/14	11/19/14	\$207.68	\$194.60	\$13
17.63535	CALAMOS		ST	03/21/14	11/19/14	\$209.03	\$195.83	\$13
20.79878	CALAMOS		ST	04/21/14	11/19/14	\$246.52	\$232.26	\$14
20.43531	CALAMOS		ST	05/20/14	11/19/14	\$242.22	\$233.97	\$8
19.64701	CALAMOS		ST	06/18/14	11/19/14	\$232.87	\$235.66	(\$3)
19.75473	CALAMOS		ST	07/15/14	11/19/14	\$234.15	\$237.28	(\$3)
20.0077	CALAMOS		ST	08/15/14	11/19/14	\$237.15	\$238.91	(\$2)
19.99468	CALAMOS		ST	09/17/14	11/19/14	\$236.99	\$240.56	(\$4)
22.82201	CALAMOS		ST	10/21/14	11/19/14	\$270.51	\$242.21	\$28
20.22034	EATON VANCE TX	GLBL	ST	11/29/13	11/19/14	\$197.99	\$200.79	(\$3)
20.06243	EATON VANCE TX	GLBL	ST	12/31/13	11/19/14	\$196.44	\$202.43	(\$6)
20.84371	EATON VANCE TX	GLBL	ST	01/31/14	11/19/14	\$204.09	\$204.06	\$0
20.03493	EATON VANCE TX	GLBL	ST	02/28/14	11/19/14	\$196.17	\$205.76	(\$10)
20.49308	EATON VANCE TX	GLBL	ST	03/31/14	11/19/14	\$200.66	\$207.39	(\$7)
20.63672	EATON VANCE TX	GLBL	ST	04/30/14	11/19/14	\$202.06	\$209.05	(\$7)
20.34073	EATON VANCE TX	GLBL	ST	05/30/14	11/19/14	\$199.17	\$210.73	(\$12)
20.57407	EATON VANCE TX	GLBL	ST	06/30/14	11/19/14	\$201.45	\$212.39	(\$11)
20.62262	EATON VANCE TX	GLBL	ST	07/31/14	11/19/14	\$201.93	\$214.06	(\$12)
20.74416	EATON VANCE TX	GLBL	ST	08/29/14	11/19/14	\$203.12	\$215.74	(\$13)
21.3357	EATON VANCE TX	GLBL	ST	09/30/14	11/19/14	\$208.91	\$217.42	(\$9)
22.00093	EATON VANCE TX	GLBL	ST	10/31/14	11/19/14	\$215.42	\$219.16	(\$4)
4.1769	FELCORE LODGING TRUST			01/31/14	11/19/14	\$44.09	\$34.00	\$10
3.74094	FELCORE LODGING TRUST			04/30/14	11/19/14	\$39.49	\$34.08	\$5
3.399	FELCORE LODGING TRUST			07/31/14	11/19/14	\$35.88	\$34.16	\$2
3.19216	FELCORE LODGING TRUST			10/31/14	11/19/14	\$33.70	\$34.23	(\$1)
8.74873	PENGROWTH ENERGY	1ST		12/17/13	11/19/14	\$32.64	\$55.18	(\$23)
8.58843	PENGROWTH ENERGY	1ST		01/16/14	11/19/14	\$32.04	\$53.67	(\$22)
8.5978	PENGROWTH ENERGY	1ST		02/19/14	11/19/14	\$32.08	\$53.85	(\$22)
8.86085	PENGROWTH ENERGY	1ST		03/17/14	11/19/14	\$33.06	\$53.65	(\$21)
8.34051	PENGROWTH ENERGY	1ST		04/16/14	11/19/14	\$31.12	\$54.23	(\$23)
8.5054	PENGROWTH ENERGY	1ST		05/15/14	11/19/14	\$31.73	\$55.03	(\$23)
8.04789	PENGROWTH ENERGY	1ST		06/16/14	11/19/14	\$30.02	\$55.45	(\$25)
8.36458	PENGROWTH ENERGY	1ST		07/15/14	11/19/14	\$31.21	\$56.21	(\$25)
9.10652	PENGROWTH ENERGY	1ST		08/15/14	11/19/14	\$33.97	\$55.65	(\$22)
9.53713	PENGROWTH ENERGY	1ST		09/15/14	11/19/14	\$35.58	\$55.22	(\$20)
14.04404	PENGROWTH ENERGY	1ST		10/15/14	11/19/14	\$52.40	\$54.21	(\$2)
0.82705	PENGROWTH ENERGY	1ST		11/17/14	11/19/14	\$3.09	\$3.12	\$0
17.57643	PENN WEST ENERGY	TRST		01/22/14	11/19/14	\$71.40	\$143.77	(\$72)
17.71004	PENN WEST ENERGY	TRST		04/22/14	11/19/14	\$71.94	\$144.22	(\$72)
16.64079	PENN WEST ENERGY	TRST		07/15/14	11/19/14	\$67.60	\$150.10	(\$83)
30.73829	PENN WEST ENERGY	TRST		10/15/14	11/19/14	\$124.86	\$144.47	(\$20)
0.16549	PIONEER NATURAL RES	ST		12/17/13	11/19/14	\$27.70	\$14.18	\$14
372.8345	PIONEER NATURAL RES	ST		12/17/13	11/19/14	\$62,361.86	\$31,938.82	\$30,423
0.08186	PIONEER NATURAL RES	ST		04/11/14	11/19/14	\$13.69	\$14.92	(\$1)

Qty	Company Description	Type	Bought	Sold	Sale Amount	Cost	Gain (Loss)
0.08363	PIONEER NATURAL RES	ST	10/10/14	11/19/14	\$13.99	\$14.92	(\$1)
				<b>SHORT TERM</b>	\$68,464.00	\$38,453.92	\$30,004.00
				<b>LONG TERM</b>	\$238,732.46	\$409,955.44	(\$171,226.00)
				<b>TOTAL</b>	\$307,196.42	\$448,409.34	(\$141,212.92)

MAX & RIKA KNOPF FOUNDATION 990PF	PART XV GRANTS PAID		
EIN# 13-3523504	11/30/14 CONTRIBUTIONS PAID		
YESHIVAH TORAH VODAATH	1,000 00	CHARITABLE	
FRIENDS OF YESHIVAH HARAN	29,000 00	CHARITABLE	
AGUDATH YISROEL	12,000 00	CHARITABLE	
MIAMI BEACH KOLLEL	1,000 00	CHARITABLE	
BIKUR CHOLIM OF BORO PARK	1,000 00	CHARITABLE	
NECHOMAS YISROEL	2,490 00	CHARITABLE	
ZICHRON SHLOMO REFUAH	3,000 00	CHARITABLE	
SHAIRES YOSHER	2,000 00	CHARITABLE	
SHUVU	60,000 00	CHARITABLE	
CONG ZICHRON YITZCHOK	2,000 00	CHARITABLE	
TOMCHE SHABOS	2,860.00	CHARITABLE	
BETH MEDRASH ELYON	5,000 00	CHARITABLE	
BONEI OLAM	5,000 00	CHARITABLE	
MISASKIM	1,800 00	CHARITABLE	
YESH HARBOTZAH TORAH	1,000 00	CHARITABLE	
KEREN AHAVAS CHESED	2,500 00	CHARITABLE	
OHEV YISROEL	1,000 00	CHARITABLE	
VAAD HATZOLAS NIDCHEI YISROEL	2,000 00	CHARITABLE	
KHAL CHASIDIM	3,000 00	CHARITABLE	
MOSDOS OSTRWCE YESHIVAH	1,000 00	CHARITABLE	
TIKVAH HAYELED	1,800 00	CHARITABLE	
CHAI LIFELINE	500 00	CHARITABLE	
A F O YESH TORAS CHAIM	2,800 00	CHARITABLE	
BNOS BAIS YAKOV	2,500 00	CHARITABLE	
TIFERES ACHIM	1,000 00	CHARITABLE	
GATEWAYS	700 00	CHARITABLE	
BNOS PNINA	500 00	CHARITABLE	
A F O YESHIVAH GEDOLAH	12,000 00	CHARITABLE	
A F O NACHLAS BNEI SHIMON	500 00	CHARITABLE	
YESHIVAH PHILADELPHIA	720 00	CHARITABLE	
BETH MEDRASH TAHAROT	1,800 00	CHARITABLE	
KNESET BAIS SHRAGA	1,600 00	CHARITABLE	
YESH GEDOLAH BEER HATORAH	5,000 00	CHARITABLE	
KEREN HASHVIUS	1,000 00	CHARITABLE	
CONG SONS OF YISROEL OF THE BRONX	5,094 00	CHARITABLE	
YESHIVAS BRISK	5,000 00	CHARITABLE	
YESHIVAS MESORAS MORDECHAI	1,000 00	CHARITABLE	
YESHIVAS BIRCHAS CHAIM	25,000.00	CHARITABLE	
SCHI NY	1,000 00	CHARITABLE	
A F O MOSDOS MONTREAL	500 00	CHARITABLE	
LESS THAN \$500	7,767 00	CHARITABLE	
TOTAL CONTRIBUTIONS PAID	216,431 00		

## Federal Statements

Statement 1 - Form 990-PF, Part I, Line 16b - Accounting Fees

Description	Total	Net Investment	Adjusted Net	Charitable Purpose
Indirect Accounting Fees	\$ 6,300	\$	\$	\$ 6,300
Total	\$ 6,300	\$ 0	\$ 0	\$ 6,300

Statement 2 - Form 990-PF, Part I, Line 18 - Taxes

Description	Total	Net Investment	Adjusted Net	Charitable Purpose
FOREIGN TAXES	\$ 219	\$ 219	\$	\$
Total	\$ 219	\$ 219	\$ 0	\$ 0

Statement 3 - Form 990-PF, Part I, Line 23 - Other Expenses

Description	Total	Net Investment	Adjusted Net	Charitable Purpose
RENTAL	\$	\$	\$	
MAINTENANCE	6,410	6,410		
Expenses				
INVESTMENT EXPENSES	457	457		250
BANK CHARGES	4	4		
NYS DEPT OF LAW	250			
Total	\$ 7,121	\$ 6,871	\$ 0	\$ 250

Statement 4 - Form 990-PF, Part II, Line 10b - Corporate Stock Investments

Description	Beginning of Year	End of Year	Basis of Valuation	Fair Market Value
	\$ 1,186,820	\$ 1,188,134		\$ 1,112,908
Total	\$ 1,186,820	\$ 1,188,134		\$ 1,112,908

## Federal Statements

## Statement 5 - Form 990-PF, Part II, Line 10c - Corporate Bond Investments

Description	Beginning of Year	End of Year	Basis of Valuation	Fair Market Value
	\$ 22,000	\$ 22,000		\$ 22,000
Total	\$ 22,000	\$ 22,000		\$ 22,000

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

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

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

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

Type or print	Enter filer's identifying number, see instructions	
Name of exempt organization or other filer, see instructions	Employer identification number (EIN) or	
<b>MAX &amp; RIKA KNOFF FOUNDATION</b>	<b>13-3523504</b>	
Number, street, and room or suite no. If a P O box, see instructions	Social security number (SSN)	
<b>3535 INDIAN CREEK DR 204</b>		
City, town or post office, state, and ZIP code. For a foreign address, see instructions		
<b>MIAMI BEACH FL 33140</b>		

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

**04**

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

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

**MAX WASSER**  
**132 NASSAU ST #300**

- The books are in the care of **NEW YORK** NY **10038**  
 Telephone No **212-962-6100** FAX No

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

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

- I request an additional 3-month extension of time until **10/15/15**
- For calendar year , or other tax year beginning **12/01/13**, and ending **11/30/14**
- If the tax year entered in line 5 is for less than 12 months, check reason. ☐ Initial return ☐ Final return  
☐ Change in accounting period

- State in detail why you need the extension

**Additional time is requested to gather information to prepare a complete and accurate return.**

<b>8a</b> If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions	<b>8a</b>	\$	<b>0</b>
<b>b</b> If this application is for Form 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit and any amount paid previously with Form 8868	<b>8b</b>	\$	<b>2,281</b>
<b>c</b> <b>Balance due.</b> Subtract line 8b from line 8a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions	<b>8c</b>	\$	<b>0</b>

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

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

Signature  Title  Date **07/13/15**  
 Form **8868** (Rev 1-2014)



Form **8868**

(Rev. January 2014)

Department of the Treasury  
Internal Revenue Service**Application for Extension of Time To File an  
Exempt Organization Return**

OMB No 1545-1709

► **File a separate application for each return.**► **Information about Form 8868 and its instructions is at [www.irs.gov/form8868](http://www.irs.gov/form8868).**

- If you are filing for an **Automatic 3-Month Extension**, complete only **Part I** and check this box ☒
- If you are filing for an **Additional (Not Automatic) 3-Month Extension**, complete only **Part II** (on page 2 of this form)

**Do not complete Part II unless** you have already been granted an automatic 3-month extension on a previously filed Form 8868

**Electronic filing (e-file).** You can electronically file Form 8868 if you need a 3-month automatic extension of time to file (6 months for a corporation required to file Form 990-T), or an additional (not automatic) 3-month extension of time. You can electronically file Form 8868 to request an extension of time to file any of the forms listed in Part I or Part II with the exception of Form 8870, Information Return for Transfers Associated With Certain Personal Benefit Contracts, which must be sent to the IRS in paper format (see instructions). For more details on the electronic filing of this form, visit [www.irs.gov/efile](http://www.irs.gov/efile) and click on e-file for Charities & Nonprofits

**Part I Automatic 3-Month Extension of Time. Only submit original (no copies needed).**

A corporation required to file Form 990-T and requesting an automatic 6-month extension – check this box and complete

Part I only ☐

All other corporations (including 1120-C filers), partnerships, REMICs, and trusts must use Form 7004 to request an extension of time to file income tax returns

Enter filer's identifying number, see instructions

Type or print	Name of exempt organization or other filer, see instructions	Employer identification number (EIN) or
	MAX & RIKA KNOFF FOUNDATION	13-3523504
	Number, street, and room or suite no. If a P.O. box, see instructions	Social security number (SSN)
File by the due date for filing your return. See instructions	3535 INDIAN CREEK DR 204	
	City, town or post office, state, and ZIP code. For a foreign address, see instructions	
	MIAMI BEACH FL 33140	

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

04

Application Is For	Return Code	Application Is For	Return Code
Form 990 or Form 990-EZ	01	Form 990-T (corporation)	07
Form 990-BL	02	Form 1041-A	08
Form 4720 (individual)	03	Form 4720 (other than individual)	09
Form 990-PF	04	Form 5227	10
Form 990-T (sec. 401(a) or 408(a) trust)	05	Form 6069	11
Form 990-T (trust other than above)	06	Form 8870	12

MAX WASSER

132 NASSAU ST #300

- The books are in the care of ► NEW YORK

NY 10038

Telephone No ► 212-962-6100

FAX No ►

- If the organization does not have an office or place of business in the United States, check this box ☐
- If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) \_\_\_\_\_ If this is for the whole group, check this box ☐ If it is for part of the group, check this box ☐ and attach a list with the names and EINs of all members the extension is for

- 1 I request an automatic 3-month (6 months for a corporation required to file Form 990-T) extension of time until 07/15/15, to file the exempt organization return for the organization named above. The extension is for the organization's return for
- ☐ calendar year \_\_\_\_\_ or

► ☒ tax year beginning 12/01/13, and ending 11/30/14

- 2 If the tax year entered in line 1 is for less than 12 months, check reason ☐ Initial return ☐ Final return ☐ Change in accounting period

3a If this application is for Forms 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions.	3a	\$	2,281
b If this application is for Forms 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit.	3b	\$	781
c Balance due. Subtract line 3b from line 3a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions.	3c	\$	1,500

**Caution.** If you are going to make an electronic funds withdrawal (direct debit) with this Form 8868, see Form 8453-EO and Form 8879-EO for payment instructions.

For Privacy Act and Paperwork Reduction Act Notice, see instructions.

DAA

Form **8868** (Rev. 1-2014)