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Return of Private Foundation

OMB No 1545-0052

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

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.

2014

Open to Public Inspection

For calendar year 2014 or tax year beginning

, and ending

Name of foundation

CAPRICORN FOUNDATION CHARITABLE TRUST
C/O ALLEN STEINBOCK

A Employer identification number

31-1096396

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

Room/suite

P.O. BOX 17183

B Telephone number

502-637-1451

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

LOUISVILLE, KY 40217

C If exemption application is pending, check here ☐

G Check all that apply:

☐ Initial return☐ Initial return of a former public charity☐ Final return☐ Amended return☐ Address change☐ Name changeD 1. Foreign organizations, check here ☐2 Foreign organizations meeting the 85% test, check here and attach computation ☐

H Check type of organization:

☒ Section 501(c)(3) exempt private foundation☐ Section 4947(a)(1) nonexempt charitable trust☐ Other taxable private foundationE If private foundation status was terminated under section 507(b)(1)(A), check here ☐

I Fair market value of all assets at end of year

J Accounting method:

☒ Cash☐ Accrual

(from Part II, col. (c), line 16)

☐ Other (specify) _____F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐

\$ 2,236,931. (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).)

(a) Revenue and expenses per books

(b) Net investment income

(c) Adjusted net income

(d) Disbursements for charitable purposes (cash basis only)

1 Contributions, gifts, grants, etc., received

2 Check ☒ if the foundation is not required to attach Sch. B

3 Interest on savings and temporary cash investments

7.

7.

7.

STATEMENT 1

4 Dividends and interest from securities

55,806.

55,806.

55,806.

STATEMENT 2

5a Gross rents

b Net rental income or (loss)

6a Net gain or (loss) from sale of assets not on line 10

232,006.

b Gross sales price for all assets on line 6a 1,940,537.

7 Capital gain net income (from Part IV, line 2)

232,006.

8 Net short-term capital gain

9 Income modifications

10a Gross sales less returns and allowances

b Less Cost of goods sold

c Gross profit or (loss)

11 Other income

12 Total Add lines 1 through 11

287,819.

287,819.

55,813.

13 Compensation of officers, directors, trustees, etc

0.

0.

0.

0.

14 Other employee salaries and wages

15 Pension plans, employee benefits

16a Legal fees

b Accounting fees

STMT 3

3,957.

3,957.

0.

0.

c Other professional fees

STMT 4

28,267.

19,787.

8,480.

0.

17 Interest

4.

4.

0.

0.

18 Taxes

STMT 5

6,937.

582.

249.

0.

19 Depreciation and depletion

20 Occupancy

21 Travel, conferences, and meetings

22 Printing and publications

23 Other expenses

STMT 6

1,129.

0.

0.

0.

24 Total operating and administrative expenses Add lines 13 through 23

40,294.

24,330.

8,729.

0.

25 Contributions, gifts, grants paid

131,318.

26 Total expenses and disbursements.

Add lines 24 and 25

171,612.

24,330.

8,729.

131,318.

27 Subtract line 26 from line 12.

a Excess of revenue over expenses and disbursements

116,207.

b Net investment income (if negative, enter -0-)

263,489.

c Adjusted net income (if negative, enter -0-)

47,084.

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Part II Balance Sheets

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

		Beginning of year	End of year		
		(a) Book Value	(b) Book Value	(c) Fair Market Value	
Assets	1 Cash - non-interest-bearing	72,982.	67,074.	67,074.	
	2 Savings and temporary cash investments	42,477.	-11,996.	-11,996.	
	3 Accounts receivable ▶ Less: allowance for doubtful accounts ▶				
	4 Pledges receivable ▶ Less: allowance for doubtful accounts ▶				
	5 Grants receivable				
	6 Receivables due from officers, directors, trustees, and other disqualified persons				
	7 Other notes and loans receivable ▶ Less: allowance for doubtful accounts ▶				
	8 Inventories for sale or use				
	9 Prepaid expenses and deferred charges				
	10a Investments - U.S. and state government obligations				
	b Investments - corporate stock				
	c Investments - corporate bonds				
	11 Investments - land, buildings, and equipment basis ▶ Less: accumulated depreciation ▶				
	12 Investments - mortgage loans				
	13 Investments - other	STMT 7	1,358,393.	1,534,981.	2,181,853.
	14 Land, buildings, and equipment: basis ▶ Less: accumulated depreciation ▶				
15 Other assets (describe ▶)					
16 Total assets (to be completed by all filers - see the instructions. Also, see page 1, item I)		1,473,852.	1,590,059.	2,236,931.	
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				
	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	943,689.	943,689.		
	28 Paid-in or capital surplus, or land, bldg., and equipment fund	0.	0.		
	29 Retained earnings, accumulated income, endowment, or other funds	530,163.	646,370.		
30 Total net assets or fund balances	1,473,852.	1,590,059.			
31 Total liabilities and net assets/fund balances	1,473,852.	1,590,059.			

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	1,473,852.
2 Enter amount from Part I, line 27a	2	116,207.
3 Other increases not included in line 2 (itemize) ▶	3	0.
4 Add lines 1, 2, and 3	4	1,590,059.
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	1,590,059.

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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 ATTACHED	P	VARIOUS	VARIOUS
b SEE ATTACHED	P	VARIOUS	VARIOUS
c CAPITAL GAINS DIVIDENDS			
d			
e			

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a 1,335,532.		1,388,452.	-52,920.
b 581,004.		320,079.	260,925.
c 24,001.			24,001.
d			
e			

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
a			-52,920.
b			260,925.
c			24,001.
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	232,006.
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter -0- in Part I, line 8	{ }	3	-52,920.

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))
2013	101,100.	1,807,011.	.055949
2012	67,600.	1,550,485.	.043599
2011	78,100.	1,565,872.	.049876
2010	79,500.	1,647,262.	.048262
2009	112,740.	1,329,390.	.084806

2 Total of line 1, column (d)	2	.282492
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	.056498
4 Enter the net value of noncharitable-use assets for 2014 from Part X, line 5	4	2,033,743.
5 Multiply line 4 by line 3	5	114,902.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	2,635.
7 Add lines 5 and 6	7	117,537.
8 Enter qualifying distributions from Part XII, line 4	8	131,318.

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.

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

1a Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1. Date of ruling or determination letter: _____ (attach copy of letter if necessary-see instructions)			
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input checked="" type="checkbox"/> and enter 1% of Part I, line 27b		1	2,635.
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b).			
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		2	0.
3 Add lines 1 and 2		3	2,635.
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		4	0.
5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-		5	2,635.
6 Credits/Payments:			
a 2014 estimated tax payments and 2013 overpayment credited to 2014	6a	4,960.	
b Exempt foreign organizations - tax withheld at source	6b		
c Tax paid with application for extension of time to file (Form 8868)	6c		
d Backup withholding erroneously withheld	6d		
7 Total credits and payments. Add lines 6a through 6d	7	4,960.	
8 Enter any penalty for underpayment of estimated tax. Check here <input type="checkbox"/> if Form 2220 is attached	8		
9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9		
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	2,325.	
11 Enter the amount of line 10 to be Credited to 2015 estimated tax	11	2,325.	Refunded

Part VII-A Statements Regarding Activities

	Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		X
1b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for the definition)? If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities		X
1c Did the foundation file Form 1120-POL for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. \$ 0. (2) On foundation managers. \$ 0.		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. \$ 0.		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? If "Yes," attach a detailed description of the activities		X
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes		X
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		X
4b If "Yes," has it filed a tax return on Form 990-T for this year?		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by General Instruction T		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	X	
7 Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col. (c), and Part XV	X	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) <u>KY</u>		
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation	X	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2014 or the taxable year beginning in 2014 (see instructions for Part XIV)? If "Yes," complete Part XIV		X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses		X

N/A

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Part VII-A Statements Regarding Activities (continued)

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)	11		X
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► N/A	13	X	
14	The books are in care of ► ALLEN F. STEINBOCK, TRUSTEE Telephone no ► 502-584-9793 Located at ► 943 SOUTH FIRST STREET, LOUISVILLE, KY ZIP+4 ► 40203			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here and enter the amount of tax-exempt interest received or accrued during the year ► 15 N/A			
16	At any time during calendar year 2014, 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 FinCEN Form 114, (formerly 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 2014?	1c	X
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)):		
a	At the end of tax year 2014, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2014? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If "Yes," list the years ►		
b	Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see instructions.) N/A	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. ►		
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 2014 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 2014) N/A	3b	
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a	X
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2014?	4b	X

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Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required (continued)

5a During the year did the foundation pay or incur any amount to:

(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?

☐ Yes ☒ No

(2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive?

☐ Yes ☒ No

(3) Provide a grant to an individual for travel, study, or other similar purposes?

☐ Yes ☒ No

(4) Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? (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

X

If "Yes" to 6b, file Form 8870

7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?

☐ Yes ☒ No

b If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction?

N/A

7b

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

1 List all officers, directors, trustees, foundation managers and their compensation.

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
SEE STATEMENT 8		0.	0.	0.

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

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

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

0

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Part VIII

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

3 Five highest-paid independent contractors for professional services. If none, enter "NONE."

[illegible]

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	N/A	
2		
3		
4		

Part IX-B

Summary of Program-Related Investments

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		

Total. Add lines 1 through 3

0.

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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	1,979,444.
b	Average of monthly cash balances	1b	85,270.
c	Fair market value of all other assets	1c	
d	Total (add lines 1a, b, and c)	1d	2,064,714.
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	2,064,714.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	30,971.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	2,033,743.
6	Minimum investment return. Enter 5% of line 5	6	101,687.

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	101,687.
2a	Tax on investment income for 2014 from Part VI, line 5	2a	2,635.
b	Income tax for 2014. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	2,635.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	99,052.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	99,052.
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	99,052.

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	131,318.
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	131,318.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b	5	2,635.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	128,683.

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.

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Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2013	(c) 2013	(d) 2014
1 Distributable amount for 2014 from Part XI, line 7				99,052.
2 Undistributed income, if any, as of the end of 2014				
a Enter amount for 2013 only			0.	
b Total for prior years:		0.		
3 Excess distributions carryover, if any, to 2014:				
a From 2009	46,790.			
b From 2010				
c From 2011	121.			
d From 2012				
e From 2013	15,690.			
f Total of lines 3a through e	62,601.			
4 Qualifying distributions for 2014 from Part XII, line 4: ▶ \$	131,318.			
a Applied to 2013, 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 2014 distributable amount				99,052.
e Remaining amount distributed out of corpus	32,266.			
5 Excess distributions carryover applied to 2014 (If an amount appears in column (d), the same amount must be shown in column (a))	0.			0.
6 Enter the net total of each column as indicated below:	94,867.			
a Corpus. Add lines 3f, 4c, and 4e. Subtract line 5				
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 2013. Subtract line 4a from line 2a. Taxable amount - see instr.			0.	
f Undistributed income for 2014. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2015				0.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions)	0.			
8 Excess distributions carryover from 2009 not applied on line 5 or line 7	46,790.			
9 Excess distributions carryover to 2015. Subtract lines 7 and 8 from line 6a	48,077.			
10 Analysis of line 9:				
a Excess from 2010				
b Excess from 2011	121.			
c Excess from 2012				
d Excess from 2013	15,690.			
e Excess from 2014	32,266.			

423581
11-24-14

Form 990-PF (2014)

Page 10

N/A

☐ 4942(1)(3) or ☐ 4942(1)(5)

(4) Gross investment income

[illegible]

2014.03020 CAPRICORN FOUNDATION CHARIT 01070 1

CAPRICORN FOUNDATION CHARITABLE TRUST

Form 990-PF (2014)

C/O ALLEN STEINBOCK

31-1096396

Page 11

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 Paid during the year				
SEE ATTACHED SCHEDULE OF CONTRIBUTIONS FOR THE 12 MONTHS ENDED 12/31/14.		501(C)(3)		131,318.
Total			3a	131,318.
b Approved for future payment				
NONE				
Total			3b	0.

Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income
(a) Business code	(b) Amount	(c) Exclu- sion code	(d) Amount	
		14	7.	
		14	55,806.	
		18	232,006.	
	0.		287,819.	0.
		13		287,819.

[illegible]

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? | | Yes | No |
| | | | | |
| a | Transfers from the reporting foundation to a noncharitable exempt organization of: | | | |
| | (1) Cash | 1a(1) | | X |
| | (2) Other assets | 1a(2) | | X |
| b | Other transactions: | | | |
| | (1) Sales of assets to a noncharitable exempt organization | 1b(1) | | X |
| | (2) Purchases of assets from a noncharitable exempt organization | 1b(2) | | X |
| | (3) Rental of facilities, equipment, or other assets | 1b(3) | | X |
| | (4) Reimbursement arrangements | 1b(4) | | X |
| | (5) Loans or loan guarantees | 1b(5) | | X |
| | (6) Performance of services or membership or fundraising solicitations | 1b(6) | | X |
| c | Sharing of facilities, equipment, mailing lists, other assets, or paid employees | 1c | | X |
| 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. | | | |

[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		

**Sign
Here**

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.

Signature of officer or trustee

5/21/15
Date

TRUSTEE
Title

May the IRS discuss this return with the preparer

☒ Yes ☐ No

**Paid
Preparer
Use Only**

Print/Type preparer's name

MARGARET H.
ANDERSON

Preparer's signature

Margulies ch 5715

Date _____

8-5715

Check ☐ self-employed

PTIN

P00016882

Firm's name ▶ **ANDERSON, BRYANT, LASKY & WINSLOW, PSC**

Firm's EIN ▶ 61-1227965

Firm's address ► 943 SOUTH FIRST STREET
LOUISVILLE, KY 40203

Phone no. (502) 584-9793

Form **990-PF** (2014)

FORM 990-PF INTEREST ON SAVINGS AND TEMPORARY CASH INVESTMENTS STATEMENT 1

SOURCE	(A) REVENUE PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME
THRU INVESTMENT ACCOUNTS	7.	7.	7.
TOTAL TO PART I, LINE 3	7.	7.	7.

FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 2

SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
NEW PERSPECTIVE FUND	26,412.	24,001.	2,411.	2,411.	2,411.
THRU FIDELITY	52,683.	0.	52,683.	52,683.	52,683.
THRU SCHWAB	712.	0.	712.	712.	712.
TO PART I, LINE 4	79,807.	24,001.	55,806.	55,806.	55,806.

FORM 990-PF ACCOUNTING FEES STATEMENT 3

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ACCOUNTING FEES	3,957.	3,957.	0.	0.
TO FORM 990-PF, PG 1, LN 16B	3,957.	3,957.	0.	0.

FORM 990-PF	OTHER PROFESSIONAL FEES	STATEMENT	4
-------------	-------------------------	-----------	---

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
INVESTMENT MANAGEMENT FEE	28,267.	19,787.	8,480.	0.
TO FORM 990-PF, PG 1, LN 16C	28,267.	19,787.	8,480.	0.

FORM 990-PF	TAXES	STATEMENT	5
-------------	-------	-----------	---

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FOREIGN TAXES	832.	582.	249.	0.
TAX LIABILITY PAYMENT	1,145.	0.	0.	0.
ESTIMATED TAX PAYMENTS	4,960.	0.	0.	0.
TO FORM 990-PF, PG 1, LN 18	6,937.	582.	249.	0.

FORM 990-PF	OTHER EXPENSES	STATEMENT	6
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
BANK SERVICE CHARGES	8.	0.	0.	0.
DUES/MEMBERSHIPS	800.	0.	0.	0.
OFFICE	321.	0.	0.	0.
TO FORM 990-PF, PG 1, LN 23	1,129.	0.	0.	0.

FORM 990-PF	OTHER INVESTMENTS	STATEMENT	7
DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
SCHEDULED	COST	1,534,981.	2,181,853.
TOTAL TO FORM 990-PF, PART II, LINE 13		1,534,981.	2,181,853.

FORM 990-PF	PART VIII - LIST OF OFFICERS, DIRECTORS TRUSTEES AND FOUNDATION MANAGERS	STATEMENT	8
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NAME AND ADDRESS	TITLE AND AVRG HRS/WK	COMPEN- SATION	EMPLOYEE BEN PLAN CONTRIB	EXPENSE ACCOUNT
ALLEN F. STEINBOCK 1700 CHEROKEE ROAD LOUISVILLE, KY 40205	TRUSTEE 0.00	0.	0.	0.
DAVID J. STEINBOCK 2332 BROOKSIDE DRIVE LOUISVILLE, KY 40205	TRUSTEE 0.00	0.	0.	0.
ANNE STEINBOCK 5801 S. WATTERSON TRAIL LOUISVILLE, KY 40291	TRUSTEE 0.00	0.	0.	0.
STUART STEINBOCK 2311 RALIEGH COURT LOUISVILLE, KY 40206	TRUSTEE 0.00	0.	0.	0.
GROVER POTTS 500 W. JEFFERSON ST, STE 2800 LOUISVILLE, KY 40202	TRUSTEE 0.00	0.	0.	0.
R. TED STEINBOCK, MD 3311 ZORN PLACE, #5 LOUISVILLE, KY 40206	TRUSTEE 0.00	0.	0.	0.
TOTALS INCLUDED ON 990-PF, PAGE 6, PART VIII		0.	0.	0.

FORM 990-PF

GRANT APPLICATION SUBMISSION INFORMATION
PART XV, LINES 2A THROUGH 2D

STATEMENT 9

NAME AND ADDRESS OF PERSON TO WHOM APPLICATIONS SHOULD BE SUBMITTED

MARGARET H. ANDERSON, CPA C/O ANDERSON, BRYANT, LASKY & WINSLOW, PSC
943 SOUTH FIRST STREET
LOUISVILLE, KY 40203

TELEPHONE NUMBER

502-584-9793

EMAIL ADDRESS

MANDERSON@ABLW-CPAS.COM

FORM AND CONTENT OF APPLICATIONS

SEE ATTACHED.

ANY SUBMISSION DEADLINES

NONE

RESTRICTIONS AND LIMITATIONS ON AWARDS

NONE

Capricorn Foundation Charitable Trust
Statement of Assets, Liabilities and Net Assets -
Cash Basis
December 31, 2014

ASSETS

CASH	
CASH	\$ 55,078.54
INVESTMENTS, at cost	
NEW PERSPECTIVE FUND	261,793.82
RITE AID CORP.	153,881.90
APPLE COMPUTER INC.	2,111.05
DOW CHEMICAL CO	91,310.14
CRESUD SACIF YA SP ADR	4,943.40
ROGERS COMMUNICATIONS	9,190.38
VERISIGN, INC	161,769.78
REVLON INC	94,325.87
HARTFORD FINANCIAL SERVICES	119,545.74
PPL CORPORATION	2,976.97
HUNTSMAN CORP	20,510.70
WALGREEN COMPANY	3,440.10
SKILLED HEALTHCARE GROUP INC.	123,853.60
T J X COS INC	3,790.95
MCKESSON CORP	2,568.58
INT'L BUSINESS MACHINES	2,888.70
GILEAD SCIENCES INC	3,330.90
ARMOUR RESIDENTIAL	112,171.57
HEALTH NET INC	28,591.77
DIAGEO PLC	3,771.45
HALLIBURTON CO	3,820.45
GOOGLE INC	2,331.95
KINDER MORGAN	3,998.95
AETHLON MED INC	133,826.00
DAVITA INC	74,665.42
CREDIT SUISSE	109,570.70
TOTAL INVESTMENTS	<u>1,534,980.84</u>
TOTAL ASSETS	<u>\$ 1,590,059.38</u>

LIABILITIES AND NET ASSETS

LIABILITIES

NET ASSETS

UNRESTRICTED NET ASSETS	1,590,059.38
TOTAL NET ASSETS	<u>1,590,059.38</u>
TOTAL LIABILITIES & NET ASSETS	<u>\$ 1,590,059.38</u>

Capricorn Foundation Charitable Trust
Schedule of Charitable Disbursements
Cash Basis
For the Quarter Ended December 31, 2014

	First Quarter	Second Quarter	Third Quarter	Fourth Quarter	12 Months Ended Dec. 31, 2014
DTA FOUNDATION	\$ 0.00	\$ 3,000.00	\$ 0.00	\$ 0.00	\$ 3,000.00
FAMILY & CHILDREN'S AGENCY	0.00	0.00	0.00	1,000.00	1,000.00
FDTN. FOR DENTAL LABORATORY TECHNOLOGY	0.00	0.00	0.00	1,000.00	1,000.00
FILSON CLUB HISTORICAL SOCTY	0.00	0.00	0.00	2,000.00	2,000.00
FUND FOR THE ARTS	0.00	0.00	0.00	200.00	200.00
HEALING PLACE	0.00	0.00	0.00	2,000.00	2,000.00
HOLY SPIRIT CHURCH	0.00	0.00	0.00	500.00	500.00
HOLY TRINITY CHURCH	0.00	0.00	0.00	500.00	500.00
IN UNIVERSITY SCHOOL OF DENTISTRY	0.00	0.00	0.00	2,000.00	2,000.00
JUNIOR ACHIEVEMENT	0.00	3,000.00	0.00	0.00	3,000.00
LEUKEMIA AND LYMPHOMA SOCIETY	0.00	5,000.00	0.00	0.00	5,000.00
LIBRARY FOUNDATION	0.00	0.00	0.00	5,000.00	5,000.00
LIGHT HOUSE PROMISE, INC.	0.00	2,000.00	0.00	0.00	2,000.00
LINCOLN HERITAGE COUNCIL BSA	0.00	0.00	0.00	25,000.00	25,000.00
LOUISVILLE TREE FUND	0.00	0.00	0.00	2,000.00	2,000.00
LOUISVILLE VISUAL ART ASSOCIATION	0.00	0.00	0.00	2,000.00	2,000.00
LUPUS FOUNDATION OF AMERICA	0.00	0.00	500.00	0.00	500.00
MARYHURST	0.00	0.00	0.00	1,000.00	1,000.00
METRO UNITED WAY	0.00	14,000.00	0.00	1,118.40	15,118.40
NATIONAL STEM CELL	0.00	0.00	0.00	10,000.00	10,000.00
NATURE CONSERVANCY	0.00	0.00	0.00	400.00	400.00
NEW DIRECTION HOUSING CORP	0.00	0.00	0.00	10,000.00	10,000.00
ORAL HEALTH AMERICA	0.00	0.00	0.00	3,000.00	3,000.00
PARKLAND OF FLOYDS FORK	0.00	0.00	0.00	20,000.00	20,000.00
PLANNED PARENTHOOD OF LOUISVILLE	0.00	0.00	1,600.00	1,000.00	2,600.00
ST. FRANCIS OF ASSISI CHURCH	0.00	0.00	0.00	500.00	500.00
ST. FRANCIS XAVIER SOCIETY	0.00	0.00	0.00	2,500.00	2,500.00

Capricorn Foundation Charitable Trust
Schedule of Charitable Disbursements
Cash Basis
For the Quarter Ended December 31, 2014

	First Quarter	Second Quarter	Third Quarter	Fourth Quarter	12 Months Ended Dec. 31, 2014
U OF K COLLEGE OF DENTISTRY	0.00	0.00	0.00	1,000.00	1,000.00
U OF L SCHOOL OF DENTISTRY	0.00	0.00	0.00	5,000.00	5,000.00
UNITED WAY OF LARIMER COUNTY	0.00	0.00	0.00	2,000.00	2,000.00
UNIVERSITY OF LOUISVILLE	0.00	0.00	500.00	0.00	500.00
USPIRITUS	0.00	0.00	0.00	1,000.00	1,000.00
TOTAL CHARITABLE DISBURSEMENTS	\$ 0.00	\$ 27,000.00	\$ 2,600.00	\$ 101,718.40	\$ 131,318.40

Capricorn Foundation
FEIN: 31-1096396
Schedule of Gain/Loss From Sale
2014

Trade Date	Purchase Date	Company/Shrs	Term	Proceeds	Basis	Gain (Loss)	Brokerage
1/10/2014	Various	3,000 Shrs Potash Corp	S	97,839 27	90,193 98	7,645 29	Fidelity
1/6/2014	1/2/2013	50 00 Shrs Abbvie Inc	L	2,582 50	1,095 11	1,487 39	Schwab
2/6/2014	Various	20,000 Shrs Genco Shipping	S	36,903 95	44,712 10	(7,808 15)	Fidelity
2/21/2014	Various	2,000 Shrs Diana Shipping	S	24,858 66	19,828 08	5,030 58	Fidelity
2/24/2014	Various	10,000 Shrs Dryships Inc	L	35,095 98	23,064 40	12,031 58	Fidelity
2/24/2014	Various	3,000 Shrs Navios Maritime	S	26,803 51	11,512 35	15,291 16	Fidelity
4/19/2014	Various	3,000 Shrs Cliffs Nat Res Inc	S	62,223 15	55,181 89	7,041 26	Fidelity
4/10/2014	Various	10,000 Shrs Dryships Inc	L	31,765 29	20,500 70	11,264 59	Fidelity
4/11/2014	Various	5,000 Shrs B&G Foods	S	164,137 97	146,893 55	17,244 42	Fidelity
4/15/2014	4/9/2014	2,000 Shrs Voxeljet AG	S	40,642 26	51,767 92	(11,125 66)	Fidelity
4/28/2014	4/9/2014	2,000 Shrs Cliffs National Res	S	36,367 67	54,993 94	(18,626 27)	Fidelity
5/5/2014	Various	3,000 Shrs Diana Shipping Inc	S	33,920 25	32,914 14	1,006 11	Fidelity
6/10/2014	5/13/2014	2,000 Shrs Lions Gate	S	53,630 37	53,049 02	581 35	Fidelity
6/30/2014	Various	2,000 Shrs Navios Maritime	L	19,939 93	8,260 12	11,679 81	Fidelity
6/30/2014	Various	20 00 Shrs McKesson	L	3,729 37	2,054 87	1,674 50	Schwab
6/30/2014	Various	50 00 Shrs Walgreen Company	L	3,687 47	1,720 05	1,967 42	Schwab
7/8/2014	12/27/2013	1,000 Shrs Health Net Inc	s	42,584 49	28,591 77	13,992 72	Fidelity
7/14/2014	Various	10,000 Shrs Dryships Inc	L	30,352 02	21,132 20	9,219 82	Fidelity
7/14/2014	Various	3,000 shrs Navios Maritime	L	27,449 69	12,390 18	15,059 51	Fidelity
7/23/2014	Various	5,000 Shrs Kindred Healthcare	L	120,447 33	55,444 10	65,003 23	Fidelity
7/25/2014	Various	1,000 Shrs 3D Systems Corp	S	55,163 08	56,650 61	(1,487 53)	Fidelity
8/4/2014	Various	10,000 Shrs Dryships Inc	L	29,612 24	21,132 20	8,480 04	Fidelity
8/4/2014	Various	5,000 shrs Navios Maritime	L	40,258 11	20,650 30	19,607 81	Fidelity
8/6/2014	Various	10,000 Shrs Dryships Inc	L	27,511 79	21,756 80	5,754 99	Fidelity
8/7/2014	Various	10,000 Shrs Dryships Inc	S	27,553 39	20,629 40	6,923 99	Fidelity
8/15/2014	Various	Brookfield High	S	5 91	-	5 91	Fidelity
8/15/2014	Various	Brookfield High	S	1 34	-	1 34	Fidelity
9/5/2014	Various	3,000 Shrs MGM Resorts	S	71,399 83	72,886 14	(1,486 31)	Fidelity
9/10/2014	Various	1,500 Shrs Eaton Corp	S	102,869 79	101,419 17	1,450 62	Fidelity
9/23/2014	Various	1,000 Shrs Valero Energy Corp	S	48,041 63	50,630 62	(2,588 99)	Fidelity
9/2/2014	12/10/2013	40 Shrs Gilead Sciences	S	4,269 96	2,961 20	1,308 76	Schwab
8/29/2014	12/25/2011	30 Shrs Apple Inc	L	3,014 48	1,583 40	1,431 08	Schwab
10/7/2014	Various	10,000 Shrs Dryships Inc	S	22,223 30	30,247 40	(8,024 10)	Fidelity
10/7/2014	8/4/2014	3,000 Shrs Cliffs Nat Res Inc	S	28,447 86	51,565 26	(23,117 40)	Fidelity
10/7/2014	7/8/2014	1,000 Shrs Valero Energy Corp	S	44,972 24	49,231 25	(4,259 01)	Fidelity
10/7/2014	9/5/2014	1,000 Shrs Walgreens	S	58,870 49	60,367 32	(1,496 83)	Fidelity
10/8/2014	8/4/2014	2,000 Shrs Cliffs Nat Res Inc	S	17,131 12	34,376 84	(17,245 72)	Fidelity
10/10/2014	Various	10,000 Shrs Dryships Inc	S	22,356 70	35,001 90	(12,645 20)	Fidelity
10/10/2014	Various	1,000 Shrs Goodyear Tire & Rubber	L	21,894 51	12,613 75	9,280 76	Fidelity
10/16/2014	Various	5,000 Shrs Freds Inc	S	67,151 91	73,313 70	(6,161 79)	Fidelity
12/1/2014	Various	5,000 Shrs Pixelworks, Inc	S	24,206 16	25,377 10	(1,170 94)	Fidelity
12/2/2014	Various	10,000 Shrs Pixelworks, Inc	S	47,768 24	51,050 65	(3,282 41)	Fidelity
12/16/2014	Various	10,000 Shrs Armour Residential	L	37,097 38	39,781 99	(2,684 61)	Fidelity
12/22/2014	Various	6,504 Shrs Brookfield High	L	55,384 10	38,010 01	17,374 09	Fidelity
12/22/2014	Various	3,000 Shrs Huntsman Corp	L	66,181 53	9,067 10	57,114 43	Fidelity
12/29/2014	Various	10,000 Shrs Armour Residential	S	36,487 79	41,188 63	(4,700 84)	Fidelity
12/31/2014	Various	10,000 Shrs Armour Residential	S	36,699 48	41,915 69	(5,216 21)	Fidelity
12/16/2014	Various	665 08 Shrs New Perspective FD A	L	25,000 00	9,821 64	15,178 36	Wells Fargo
12/29/2014	Capital Gain	654 873 Shrs New Perspective FD A	L	24,001 08	-	24,001 08	Wells Fargo

1,940,536 57	1,708,530 54	232,006 03
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Short Term

1,335,531 77	1,388,451 62	(52,919 85)
--------------	--------------	-------------

Long Term

605,004 80	320,078 92	284,925 88
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Net Gain/(Loss)

1,940,536.57	1,708,530.54	232,006.03
--------------	--------------	------------

Fidelity Totals

1,874,251 71	1,689,294 27	184,957 44
--------------	--------------	------------

Schwab Totals

17,283.78	9,414 63	7,869 15
-----------	----------	----------

Wells Fargo

49,001 08	9,821 64	39,179 44
-----------	----------	-----------

1,940,536.57	1,708,530.54	232,006.03
--------------	--------------	------------

The Capricorn Foundation Charitable Trust was established in 1983 for the purpose of assisting charitable organizations exempt from federal income tax under Section 501 (c) (3) of the Internal Revenue Code of 1954, as now in force or afterwards amended.

We welcome requests for funding from not-for-profit organizations, particularly those supporting child development, education and the arts. Organizations should complete this request to the best of their ability. Please use the enclosed form to allow the trustees to evaluate your request.

The limited resources of the Foundation make it impossible to fund all deserving applications. Funding decisions are made on a regular basis by the trustees of the Foundation. You can expect a reply within 6 to 8 weeks.

CAPRICORN FOUNDATION CHARITABLE TRUST

REQUEST FOR FUNDS

Short Form

Complete the following: (Print or Type)

Name of organization _____

Contact person _____

Address of organization _____

Phone number _____

Submission date _____

Federal ID # _____

501(c)(3) organization _____ Yes _____ No Exempt number _____

Purpose of organization _____

Amount requested _____ Total drive _____

Purpose of request _____

Submitted by: _____ Date: _____

For office use only:

Date received: _____

Approval granted: _____ yes _____ no

Amount approved: _____

By (trustee): _____

Date: _____

CAPRICORN FOUNDATION CHARITABLE TRUST

REQUEST FOR FUNDS

Long Form

Complete the following: (Print or Type)

Name of organization _____

Contact person _____

Phone number _____

Submission date _____

Federal ID # _____

501(c)(3) organization _____ Yes _____ No Exempt number _____

Purpose of organization _____

Amount requested _____ Total drive _____

Purpose of request _____

What target group will be served by funds requested?

How do you plan to measure the results of grant usage?

What percentage of your budget is used for fundraising? _____

What percentage of your budget is used for administrative costs? _____

Submitted by: _____ Date: _____

For office use only:

Date received: _____

Approval granted: _____ yes _____ no

Amount approved: _____

By (trustee): _____

Date: _____

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.

- 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 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
Type or print File by the due date for filing your return. See instructions	Name of exempt organization or other filer, see instructions CAPRICORN FOUNDATION CHARITABLE TRUST C/O ALLEN STEINBOCK	Employer identification number (EIN) or 31-1096396
	Number, street, and room or suite no. If a P O box, see instructions P.O. BOX 17183	Social security number (SSN)
	City, town or post office, state, and ZIP code. For a foreign address, see instructions LOUISVILLE, KY 40217	

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

ALLEN F. STEINBOCK, TRUSTEE

- The books are in the care of ► **943 SOUTH FIRST STREET - LOUISVILLE, KY 40203**
Telephone No ► **502-584-9793** Fax No ► **502-584-9796**
- 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 **AUGUST 15, 2015**, to file the exempt organization return for the organization named above. The extension is for the organization's return for.
- ☒ calendar year **2014** or
- ☐ tax year beginning _____, and ending _____

- 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	\$	2,635.
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	\$	4,960.
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	\$	0.

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