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EXTENDED TO AUGUST 17, 2015  
Return of Private Foundation

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

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OMB No 1545-0052

2014

Open to Public Inspection

Form 990-PF

Department of the Treasury  
Internal Revenue Service

For calendar year 2014 or tax year beginning

, and ending

Name of foundation <b>THE ROBERT AND DOROTHY GOLDBERG CHARITABLE FOUNDATION</b>		A Employer identification number <b>31-1622560</b>
Number and street (or P O box number if mail is not delivered to street address) <b>C/O BSSN; PO BOX 9729</b>		B Telephone number <b>(207) 774-1200</b>
City or town, state or province, country, and ZIP or foreign postal code <b>PORTLAND, ME 04104-5029</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>\$ 4,909,787.</b> (Part I, column (d) must be on cash basis.)	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 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				N/A	
2 Check <input checked="" type="checkbox"/> if the foundation is not required to attach Sch B					
3 Interest on savings and temporary cash investments		11.	11.		STATEMENT 1
4 Dividends and interest from securities		46,382.	46,382.		STATEMENT 2
5a Gross rents		233,649.	233,649.		STATEMENT 3
b Net rental income or (loss) 57,555.					STATEMENT 4
6a Net gain or (loss) from sale of assets not on line 10		184,038.			
b Gross sales price for all assets on line 6a 628,430.					
7 Capital gain net income (from Part IV, line 2)			184,038.		
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		1,507.	1,507.		STATEMENT 5
12 Total. Add lines 1 through 11		465,587.	465,587.		
13 Compensation of officers, directors, trustees, etc		32,794.	7,013.		25,781.
14 Other employee salaries and wages					
15 Pension plans, employee benefits					
16a Legal fees STMT 6		10,795.	953.		3,290.
b Accounting fees STMT 7		1,500.	750.		750.
c Other professional fees STMT 8		14,799.	14,799.		0.
17 Interest					
18 Taxes STMT 9		7,413.	577.		0.
19 Depreciation and depletion		24,872.	24,872.		
20 Occupancy					
21 Travel, conferences, and meetings					
22 Printing and publications					
23 Other expenses STMT 10		151,414.	151,222.		0.
24 Total operating and administrative expenses. Add lines 13 through 23		243,587.	200,186.		29,821.
25 Contributions, gifts, grants paid		195,900.			195,900.
26 Total expenses and disbursements. Add lines 24 and 25		439,487.	200,186.		225,721.
27 Subtract line 26 from line 12:					
a Excess of revenue over expenses and disbursements		26,100.			
b Net investment income (if negative, enter -0-)			265,401.		
c Adjusted net income (if negative, enter -0-)				N/A	

423501 11-24-14 LHA For Paperwork Reduction Act Notice, see instructions.

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**THE ROBERT AND DOROTHY GOLDBERG  
CHARITABLE FOUNDATION**

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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
<b>Assets</b>	1 Cash - non-interest-bearing			
	2 Savings and temporary cash investments	77,308.	233,083.	233,084.
	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 STMT 11	63,142.	63,142.	75,806.
	b Investments - corporate stock STMT 12	1,511,150.	1,507,969.	2,191,807.
	c Investments - corporate bonds STMT 13	384,953.	283,331.	281,030.
	11 Investments - land, buildings, and equipment basis ▶ 1,838,915. Less: accumulated depreciation STMT 14 ▶ 374,116.	1,489,671.	1,464,799.	2,128,060.
	12 Investments - mortgage loans			
	13 Investments - other			
	14 Land, buildings, and equipment basis ▶ Less: accumulated depreciation ▶			
15 Other assets (describe ▶ )				
16 <b>Total assets</b> (to be completed by all filers - see the instructions. Also, see page 1, item I)	3,526,224.	3,552,324.	4,909,787.	
<b>Liabilities</b>	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 <b>Total liabilities</b> (add lines 17 through 22)	0.	0.		
<b>Net Assets or Fund Balances</b>	Foundations that follow SFAS 117, check here ▶ <input type="checkbox"/> and complete lines 24 through 26 and lines 30 and 31			
	24 Unrestricted			
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ <input checked="" type="checkbox"/> and complete lines 27 through 31.			
	27 Capital stock, trust principal, or current funds	3,485,578.	3,485,578.	
	28 Paid-in or capital surplus, or land, bldg., and equipment fund	0.	0.	
	29 Retained earnings, accumulated income, endowment, or other funds	40,646.	66,746.	
30 <b>Total net assets or fund balances</b>	3,526,224.	3,552,324.		
31 <b>Total liabilities and net assets/fund balances</b>	3,526,224.	3,552,324.		

**Part III Analysis of Changes in Net Assets or Fund Balances**

1 Total net assets or fund balances at beginning of year - Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return)	1	3,526,224.
2 Enter amount from Part I, line 27a	2	26,100.
3 Other increases not included in line 2 (itemize) ▶	3	0.
4 Add lines 1, 2, and 3	4	3,552,324.
5 Decreases not included in line 2 (itemize) ▶	5	0.
6 <b>Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30</b>	6	3,552,324.

**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 REPORT	P		
b SEE ATTACHED REPORT	P		
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 127,183.		121,366.	5,817.
b 496,409.		323,026.	173,383.
c 4,838.			4,838.
d			
e			

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(i) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
a			5,817.
b			173,383.
c			4,838.
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	184,038.
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	N/A

**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	215,450.	4,597,849.	.046859
2012	214,383.	4,430,717.	.048386
2011	210,351.	4,351,770.	.048337
2010	206,026.	4,278,388.	.048155
2009	220,575.	4,157,761.	.053051

2 Total of line 1, column (d)	2	.244788
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	.048958
4 Enter the net value of noncharitable-use assets for 2014 from Part X, line 5	4	4,799,074.
5 Multiply line 4 by line 3	5	234,953.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	2,654.
7 Add lines 5 and 6	7	237,607.
8 Enter qualifying distributions from Part XII, line 4	8	225,721.

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

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

1a Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1. Date of ruling or determination letter: _____ (attach copy of letter if necessary-see instructions)			
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input type="checkbox"/> and enter 1% of Part I, line 27b		1	5,308.
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	5,308.
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	5,308.
6 Credits/Payments:			
a 2014 estimated tax payments and 2013 overpayment credited to 2014	6a	5,600.	
b Exempt foreign organizations - tax withheld at source	6b		
c Tax paid with application for extension of time to file (Form 8868)	6c	1,400.	
d Backup withholding erroneously withheld	6d		
7 Total credits and payments. Add lines 6a through 6d	7	7,000.	
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	1,692.	
11 Enter the amount of line 10 to be: Credited to 2015 estimated tax	11	0.	

**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
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 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
c 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
b 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>ME, NH</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 ► <u>N/A</u>	13	X	
14	The books are in care of ► <u>LEONARD M. NELSON, ESQ</u> Telephone no. ► <u>(207) 774-1200</u> Located at ► <u>BERNSTEIN SHUR SAWYER &amp; NELSON, PORTLAND, ME</u> ZIP+4 ► <u>04104-5029</u>			
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 <u>N/A</u>			
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 checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
(5)	Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(6)	Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b	If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? Organizations relying on a current notice regarding disaster assistance check here ► <input type="checkbox"/>	1b	X
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 <b>not</b> 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.) <u>N/A</u>	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.) <u>N/A</u>	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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CHARITABLE FOUNDATION**

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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

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
LEONARD M. NELSON, ESQUIRE	TRUSTEE			
C/O BSSN PO BOX 9729				
PORTLAND, ME 04104-5029	1.00	26,574.	0.	0.
MICHAEL S. KING	TRUSTEE			
C/O BSSN PO BOX 9729				
PORTLAND, ME 04104-5029	3.00	6,220.	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  
 Form 990-PF (2014)

<b>Part VIII</b>	<b>Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors</b> <i>(continued)</i>
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**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**

<b>Part IX-A</b>	<b>Summary of Direct Charitable Activities</b>
------------------	--

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.

1	N/A	
2		
3		
4		

<b>Part IX-B</b>	<b>Summary of Program-Related Investments</b>
------------------	---

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2.

1	N/A	
2		
3	All other program-related investments. See instructions.	
Total. Add lines 1 through 3.		0.

**Total. Add lines 1 through 3**

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**THE ROBERT AND DOROTHY GOLDBERG  
CHARITABLE FOUNDATION**

**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>	2,588,662.
<b>b</b>	Average of monthly cash balances	<b>1b</b>	155,434.
<b>c</b>	Fair market value of all other assets	<b>1c</b>	2,128,060.
<b>d</b>	<b>Total</b> (add lines 1a, b, and c)	<b>1d</b>	4,872,156.
<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>	4,872,156.
<b>4</b>	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	<b>4</b>	73,082.
<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>	4,799,074.
<b>6</b>	<b>Minimum investment return.</b> Enter 5% of line 5	<b>6</b>	239,954.

**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>	239,954.
<b>2a</b>	Tax on investment income for 2014 from Part VI, line 5	<b>2a</b>	5,308.
<b>b</b>	Income tax for 2014. (This does not include the tax from Part VI.)	<b>2b</b>	
<b>c</b>	Add lines 2a and 2b	<b>2c</b>	5,308.
<b>3</b>	Distributable amount before adjustments. Subtract line 2c from line 1	<b>3</b>	234,646.
<b>4</b>	Recoveries of amounts treated as qualifying distributions	<b>4</b>	0.
<b>5</b>	Add lines 3 and 4	<b>5</b>	234,646.
<b>6</b>	Deduction from distributable amount (see instructions)	<b>6</b>	0.
<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>	234,646.

**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>	225,721.
<b>b</b>	Program-related investments - total from Part IX-B	<b>1b</b>	0.
<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>	225,721.
<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	<b>5</b>	0.
<b>6</b>	<b>Adjusted qualifying distributions.</b> Subtract line 5 from line 4	<b>6</b>	225,721.

**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.

**THE ROBERT AND DOROTHY GOLDBERG  
CHARITABLE FOUNDATION**

**Part XIII Undistributed Income** (see instructions)

	(a) Corpus	(b) Years prior to 2013	(c) 2013	(d) 2014
<b>1</b> Distributable amount for 2014 from Part XI, line 7				234,646.
<b>2</b> Undistributed income, if any, as of the end of 2014				
<b>a</b> Enter amount for 2013 only			223,951.	
<b>b</b> Total for prior years:		0.		
<b>3</b> Excess distributions carryover, if any, to 2014:				
<b>a</b> From 2009				
<b>b</b> From 2010				
<b>c</b> From 2011				
<b>d</b> From 2012				
<b>e</b> From 2013				
<b>f</b> Total of lines 3a through e	0.			
<b>4</b> Qualifying distributions for 2014 from Part XII, line 4: ▶ \$ 225,721.				
<b>a</b> Applied to 2013, but not more than line 2a			223,951.	
<b>b</b> Applied to undistributed income of prior years (Election required - see instructions)		0.		
<b>c</b> Treated as distributions out of corpus (Election required - see instructions)	0.			
<b>d</b> Applied to 2014 distributable amount				1,770.
<b>e</b> Remaining amount distributed out of corpus	0.			
<b>5</b> Excess distributions carryover applied to 2014 (If an amount appears in column (d), the same amount must be shown in column (a))	0.			0.
<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	0.			
<b>b</b> Prior years' undistributed income. Subtract line 4b from line 2b		0.		
<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		0.		
<b>d</b> Subtract line 6c from line 6b. Taxable amount - see instructions		0.		
<b>e</b> Undistributed income for 2013. Subtract line 4a from line 2a. Taxable amount - see instr.			0.	
<b>f</b> Undistributed income for 2014. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2015				232,876.
<b>7</b> 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.			
<b>8</b> Excess distributions carryover from 2009 not applied on line 5 or line 7	0.			
<b>9</b> Excess distributions carryover to 2015. Subtract lines 7 and 8 from line 6a	0.			
<b>10</b> Analysis of line 9:				
<b>a</b> Excess from 2010				
<b>b</b> Excess from 2011				
<b>c</b> Excess from 2012				
<b>d</b> Excess from 2013				
<b>e</b> Excess from 2014				

**Part XIV Private Operating Foundations** (see instructions and Part VII-A, question 9) **N/A**

1 a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2014, 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)

	Prior 3 years				(e) Total
	(a) 2014	(b) 2013	(c) 2012	(d) 2011	
2 a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed					
b 85% of line 2a					
c Qualifying distributions from Part XII, line 4 for each year listed					
d Amounts included in line 2c not used directly for active conduct of exempt activities					
e Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c					
3 Complete 3a, b, or c for the alternative test relied upon.					
a "Assets" alternative test - enter:					
(1) Value of all assets					
(2) Value of assets qualifying under section 4942(j)(3)(B)(i)					
b "Endowment" alternative test - enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed					
c "Support" alternative test - enter:					
(1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)					
(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii)					
(3) Largest amount of support from an exempt organization					
(4) Gross investment income					

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

**NONE**

b List any managers of the foundation who own 10% or more of the stock of a corporation (or an equally large portion of the ownership of a partnership or other entity) of which the foundation has a 10% or greater interest.

**NONE**

2 **Information Regarding Contribution, Grant, Gift, Loan, Scholarship, etc., Programs:**

Check here ☐ if the foundation only makes contributions to preselected charitable organizations and does not accept unsolicited requests for funds. If the foundation makes gifts, grants, etc. (see instructions) to individuals or organizations under other conditions, complete items 2a, b, c, and d.

a The name, address, and telephone number or e-mail address of the person to whom applications should be addressed:  
**LEONARD M. NELSON, ESQUIRE BERNSTEIN, SHUR, SAWYER & NELSON, (207) 774-1127**  
**100 MIDDLE ST, PORTLAND, ME 04104-5029**

b The form in which applications should be submitted and information and materials they should include:  
**SEE ATTACHED GRANT APPLICATION**

c Any submission deadlines:  
**SEE ATTACHED GRANT APPLICATION**

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

**Part XV** **Supplementary Information** (continued)

<b>3 Grants and Contributions Paid During the Year or Approved for Future Payment</b>				
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)				
<b>a Paid during the year</b>				
SEE STATEMENT ATTACHED C/O BSSN; PO BOX 9729 PORTLAND, ME 04104	NONE	PUBLIC	SEE STATEMENT ATTACHED	195,900.
<b>Total</b>			<b>3a</b>	195,900.
<b>b Approved for future payment</b>				
NONE				
<b>Total</b>			<b>3b</b>	0.





## 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
NORTHWAY BANK	11.	11.	
TOTAL TO PART I, LINE 3	11.	11.	

## 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
DIVIDENDS	37,079.	4,838.	32,241.	32,241.	
FTC W/H 2014	283.	0.	283.	283.	
INTEREST	13,644.	0.	13,644.	13,644.	
PD IN 2015 FOR 2014	214.	0.	214.	214.	
TO PART I, LINE 4	51,220.	4,838.	46,382.	46,382.	

## FORM 990-PF RENTAL INCOME STATEMENT 3

KIND AND LOCATION OF PROPERTY	ACTIVITY NUMBER	GROSS RENTAL INCOME
	1	233,649.
TOTAL TO FORM 990-PF, PART I, LINE 5A		233,649.

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FORM 990-PF	RENTAL EXPENSES	STATEMENT	4
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DESCRIPTION	ACTIVITY NUMBER	AMOUNT	TOTAL
DEPRECIATION		24,872.	
POSTAGE		172.	
INSURANCE		14,112.	
MANAGEMENT FEES		6,500.	
REPAIRS		86,453.	
OFFICE EXPENSES		110.	
TAXES		34,380.	
UTILITIES		9,495.	
- SUBTOTAL -	1		176,094.
TOTAL RENTAL EXPENSES			176,094.
NET RENTAL INCOME TO FORM 990-PF, PART I, LINE 5B			57,555.

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FORM 990-PF	OTHER INCOME	STATEMENT	5
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DESCRIPTION	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
KJT SETTLEMENT	750.	750.	
LOCHCARRON	24.	24.	
BALANCING	733.	733.	
TOTAL TO FORM 990-PF, PART I, LINE 11	1,507.	1,507.	

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FORM 990-PF	LEGAL FEES	STATEMENT	6
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
BSSN-INVEST	953.	953.		0.
BSSN-GRANT RELATED	3,290.	0.		3,290.
BSSN-G&A	6,552.	0.		0.
TO FM 990-PF, PG 1, LN 16A	10,795.	953.		3,290.



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FORM 990-PF ACCOUNTING FEES STATEMENT 7

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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
MACDONALD PAGE & CO.	1,500.	750.		750.
TO FORM 990-PF, PG 1, LN 16B	1,500.	750.		750.

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FORM 990-PF OTHER PROFESSIONAL FEES STATEMENT 8

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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
INVESTMENT MANAGEMENT FEES	14,799.	14,799.		0.
TO FORM 990-PF, PG 1, LN 16C	14,799.	14,799.		0.

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FORM 990-PF TAXES STATEMENT 9

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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FOREIGN TAXES PAID	577.	577.		0.
990-PF BALANCE DUE	1,236.	0.		0.
990-PF ESTIMATED TAX	5,600.	0.		0.
TO FORM 990-PF, PG 1, LN 18	7,413.	577.		0.

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FORM 990-PF OTHER EXPENSES STATEMENT 10

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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
NH FILING FEE	75.	0.		0.
MISCELLANEOUS	16.	0.		0.
ADR FEES	101.	0.		0.
POSTAGE	172.	172.		0.
INSURANCE	14,112.	14,112.		0.

MANAGEMENT FEES	6,500.	6,500.	0.
REPAIRS	86,453.	86,453.	0.
OFFICE EXPENSES	110.	110.	0.
TAXES	34,380.	34,380.	0.
UTILITIES	9,495.	9,495.	0.
TO FORM 990-PF, PG 1, LN 23	151,414.	151,222.	0.

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FORM 990-PF	U.S. AND STATE/CITY GOVERNMENT OBLIGATIONS	STATEMENT 11
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DESCRIPTION	U.S. GOV'T	OTHER GOV'T	BOOK VALUE	FAIR MARKET VALUE
U S GOVT OBLIGATIONS	X		63,142.	75,806.
TOTAL U.S. GOVERNMENT OBLIGATIONS			63,142.	75,806.
TOTAL STATE AND MUNICIPAL GOVERNMENT OBLIGATIONS				
TOTAL TO FORM 990-PF, PART II, LINE 10A			63,142.	75,806.

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FORM 990-PF	CORPORATE STOCK	STATEMENT 12
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DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
CORPORATE STOCKS	1,507,969.	2,191,807.
TOTAL TO FORM 990-PF, PART II, LINE 10B	1,507,969.	2,191,807.

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FORM 990-PF	CORPORATE BONDS	STATEMENT 13
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DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
CORPORATE BONDS	283,331.	281,030.
TOTAL TO FORM 990-PF, PART II, LINE 10C	283,331.	281,030.

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FORM 990-PF      DEPRECIATION OF ASSETS HELD FOR INVESTMENT      STATEMENT 14

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DESCRIPTION	COST OR OTHER BASIS	ACCUMULATED DEPRECIATION	BOOK VALUE
HQ-LAND	308,720.	0.	308,720.
HQ-BUILDING	780,000.	300,833.	479,167.
GARNEAU-LAND	282,675.	0.	282,675.
GARNEAU-BUILDING	190,000.	73,283.	116,717.
SCHOOL-LAND	25,520.	0.	25,520.
PO-LAND	252,000.	0.	252,000.
TOTAL TO FM 990-PF, PART II, LN 11	1,838,915.	374,116.	1,464,799.

# GAINS AND LOSSES ON SALES AND OTHER DISPOSITIONS

Page 1

The Robert & Dorothy Goldberg Charitable Foundation  
For Period 1/1/2014 Through 12/31/2014

		Gain	Loss
01/13/2014	Sale 600 shares Sandisk Corp 600 Units		
	Net Proceeds	\$ 43,946.87	
	Fiduciary Acquisition Value	19,741.60	
	Net Gain	\$ 24,205.27	
01/31/2014	Sale 190 shares American Express Company 190 Units		
	Net Proceeds	\$ 16,460.31	
	Fiduciary Acquisition Value	14,422.58	
	Net Gain	2,037.73	
01/31/2014	Sale 335 shares Wells Fargo & Co New 335 Units		
	Net Proceeds	\$ 15,420.89	
	Fiduciary Acquisition Value	11,670.40	
	Net Gain	3,750.49	
02/10/2014	Sale 250 shares Nike Inc Cl B 250 Units		
	Net Proceeds	\$ 17,634.94	
	Fiduciary Acquisition Value	5,241.45	
	Net Gain	12,393.49	
04/11/2014	Sold 801.122 shares Harding Loevner Emb Mkts 801.122 Units		
	Net Proceeds	\$ 40,000.00	
	Fiduciary Acquisition Value	40,311.95	
	Net Loss		\$ 311.95
04/11/2014	Sold 1,061.571 shares Oppenheimer Developing Markets Fund 1,061.571 Units		
	Net Proceeds	\$ 40,000.00	
	Fiduciary Acquisition Value	39,087.40	
	Net Gain	912.60	

# GAINS AND LOSSES ON SALES AND OTHER DISPOSITIONS

Page 2

The Robert & Dorothy Goldberg Charitable Foundation  
For Period 1/1/2014 Through 12/31/2014

		Gain	Loss
05/05/2014	Matured - Citigroup 5 125% 50,000 Units		
	Net Proceeds	\$ 50,000 00	
	Fiduciary Acquisition Value	51,498.25	
	Net Loss		\$ 1,498.25
05/23/2014	Sold 200 shares Starbucks Corp 200 Units		
	Net Proceeds	\$ 13,976 09	
	Fiduciary Acquisition Value	7,944 27	
	Net Gain	\$ 6,031.82	
05/23/2014	Sold 200 shares VF Corp 200 Units		
	Net Proceeds	\$ 12,358 93	
	Fiduciary Acquisition Value	4,352.73	
	Net Gain	8,006.20	
06/03/2014	Sold 0.5 shares NOW Inc (cash-in-lieu) 0.5 Units		
	Net Proceeds	\$ 17.36	
	Fiduciary Acquisition Value	8 78	
	Net Gain	8 58	
08/05/2014	Sold 137 shares NOW Inc 137 Units		
	Net Proceeds	\$ 4,423 22	
	Fiduciary Acquisition Value	2,404.50	
	Net Gain	2,018 72	
10/01/2014	Full Redemption, Goldman Sachs 5% due 10/01/2014 50,000 Units		
	Net Proceeds	\$ 50,000 00	
	Fiduciary Acquisition Value	50,124.75	
	Net Loss		124 75

# GAINS AND LOSSES ON SALES AND OTHER DISPOSITIONS

Page 3

The Robert & Dorothy Goldberg Charitable Foundation  
For Period 1/1/2014 Through 12/31/2014

		Gain	Loss
11/04/2014	Sale 1,730.62 shares Scout Intl Fd 1,730.62 Units		
	Net Proceeds	\$ 61,229.34	
	Fiduciary Acquisition Value	58,392.46	
	Net Gain		\$ 2,836.88
11/04/2014	Sale 420.81 shares Scout Intl Fd 11.894 Units		
	Net Proceeds	\$ 420.81	
	Fiduciary Acquisition Value	321.72	
	Net Gain		99.09
11/04/2014	Sale 9.676 shares Scout Intl Fd 9.676 Units		
	Net Proceeds	\$ 342.34	
	Fiduciary Acquisition Value	276.44	
	Net Gain		65.90
11/04/2014	Sale 12.56 shares Scout Intl Fd 12.56 Units		
	Net Proceeds	\$ 444.37	
	Fiduciary Acquisition Value	412.46	
	Net Gain		31.91
11/06/2014	Sale 100 shares Apple 130 Units		
	Net Proceeds	\$ 14,174.52	
	Fiduciary Acquisition Value	6,485.84	
	Net Gain		7,688.68
11/06/2014	Sale 225 shares Covdrien PLC 225 Units		
	Net Proceeds	\$ 20,756.27	
	Fiduciary Acquisition Value	9,457.24	
	Net Gain		11,299.03

# GAINS AND LOSSES ON SALES AND OTHER DISPOSITIONS

Page 4

The Robert & Dorothy Goldberg Charitable Foundation  
For Period 1/1/2014 Through 12/31/2014

		Gain	Loss
11/06/2014	Sale 100 shares Plum Creek Timber 100 Units		
	Net Proceeds	\$ 4,111 01	
	Fiduciary Acquisition Value	4,823 70	
	Net Loss		\$ 712.69
12/24/2014	Sale 300 shares Amphenol Corp 300 Units		
	Net Proceeds	\$ 16,323 04	
	Fiduciary Acquisition Value	5,277 83	
	Net Gain	\$ 11,045.21	
12/24/2014	Sale 150 shares Idexx Labs 150 Units		
	Net Proceeds	\$ 22,339 56	
	Fiduciary Acquisition Value	13,066 85	
	Net Gain	9,272.71	
12/24/2014	Sale 375 shares Nike 375 Units		
	Net Proceeds	\$ 35,407 68	
	Fiduciary Acquisition Value	7,862.17	
	Net Gain	27,545 51	
12/24/2014	Sale 1700 shares Roche Hodg Ltd Spon Adrf 1,700 Units		
	Net Proceeds	\$ 58,164.21	
	Fiduciary Acquisition Value	35,490 50	
	Net Gain	22,673 71	
12/24/2014	Sale 455 shares Wells Fargo & Co New 455 Units		
	Net Proceeds	\$ 24,827.46	
	Fiduciary Acquisition Value	15,850.83	
	Net Gain	8,976 63	

## GAINS AND LOSSES ON SALES AND OTHER DISPOSITIONS

Page 5

The Robert & Dorothy Goldberg Charitable Foundation  
For Period 1/1/2014 Through 12/31/2014

		Gain	Loss
12/26/2014	Sale 250 shares Dresser Rand Group Inc 250 Units		
	Net Proceeds	\$ 20,278.03	
	Fiduciary Acquisition Value	13,286.42	
	Net Gain	\$ 6,991.61	
12/26/2014	Sale 100 shares Dresser Rand Group Inc 100 Units		
	Net Proceeds	\$ 8,111.21	
	Fiduciary Acquisition Value	5,314.67	
	Net Gain	2,796.54	
12/26/2014	Sale 200 shares Dresser Rand Group Inc 200 Units		
	Net Proceeds	\$ 16,222.42	
	Fiduciary Acquisition Value	10,628.33	
	Net Gain	5,594.09	
12/26/2014	Sale 100 shares Dresser Rand Group Inc 100 Units		
	Net Proceeds	\$ 8,111.21	
	Fiduciary Acquisition Value	5,315.17	
	Net Gain	2,796.04	
12/26/2014	Sale 100 shares Dresser Rand Group Inc 100 Units		
	Net Proceeds	\$ 8,089.87	
	Fiduciary Acquisition Value	5,320.86	
	Net Gain	2,769.01	
	Total Gains and Losses	181,847.45	2,647.64
	Less Loss	(2,647.64)	
	Net Gain	\$ 179,199.81	



Last Revised: September 22, 2014

## **GRANT APPLICATION PACKAGE**

**The Robert and Dorothy Goldberg Charitable Foundation**

## **GRANT APPLICATION PACKAGE**

### **THE ROBERT AND DOROTHY GOLDBERG CHARITABLE FOUNDATION**

Established 1999

The Robert and Dorothy Goldberg Charitable Foundation (sometimes called “The Goldberg Foundation”), was funded by Robert and Dorothy Goldberg and first became operational in mid 1999 following Mrs. Goldberg’s death on May 1, 1997 and Mr. Goldberg’s death on August 10, 1997. The Trustees of The Goldberg Foundation are Leonard M. Nelson, the senior partner of Bernstein, Shur, Sawyer & Nelson in Portland, Maine, the Goldberg family attorney for thirty years, and Michael S. King of Conway, New Hampshire, the son of Mrs. Goldberg’s niece, Barbara Ann King, also of North Conway. Mr. King was formerly the Town Clerk/Tax Collector for the Town of Conway (New Hampshire) and is currently a financial executive in the Conway area. Mr. King was close to Mr. and Mrs. Goldberg for most of their lives. Mr. Nelson, in addition to his professional responsibilities as an attorney, has been the President of the Board of Trustees of both the Portland Symphony Orchestra and the Portland Museum of Art. He also served as the Chairman of the Maine Arts and Humanities Commission for eight years. Mr. Nelson currently serves as a fiduciary for a number of well-known American families.

The Goldberg Foundation is a tax-exempt charitable organization. The Trustees are responsible for managing The Goldberg Foundation’s assets and for approving requests for grants to be used for charitable purposes. There are two grant application cycles annually. The semi-annual deadlines for submission of grant applications are March 30 and September 30. It is unlikely that any specific grant will exceed \$10,000 for the immediate future except in very special circumstances. Since its establishment in 1999, the Goldberg Foundation has awarded over \$2.5 Million in grants through December 31, 2013.

The Goldberg Foundation has a broad mission to assist charitable organizations in their activities, especially those in geographical locations and activities that were of interest to Mr. and Mrs. Goldberg during their lifetimes. The Trustees achieve this mission by favoring: (1) a broad variety of tax-exempt organizations located in the Conway, Bartlett, Jackson, Eaton, Madison, Albany and Chatham municipalities in New Hampshire and in Fryeburg, Stow, Lovell and Brownfield municipalities in Maine, and (2) a narrower range of tax-exempt endeavors undertaken in the general geographic area between Conway and Portland, Maine, which involve activities that were of interest to Mr. and Mrs. Goldberg during their lifetimes; such as the preservation of historic buildings, the display of fine art (particularly visual arts dealing with the White Mountain region of New Hampshire and adjacent Maine areas), the collection and preservation of American art and artifacts that are of historic significance to New Hampshire and Maine, and activities pertaining to social welfare and to the general welfare of children in either state.

## ABOUT THE DONORS

### Robert A. Goldberg

Robert A. Goldberg was born in Conway, New Hampshire on July 31, 1918. He graduated from Kennett High School in Conway in 1936, then matriculated at Duke University, earning a Bachelor's Degree in 1940. On June 4, 1940, the day after his graduation, Mr. Goldberg married Dorothy Huffman. He next served in the U.S. Army Air Corps during World War II and attained the rank of Captain. Following the war, he and Dorothy returned to Duke University where he earned his law degree in 1949. Although Mr. Goldberg obtained a law degree, he never intended to practice law, but only to use his legal skills in his business career. For the next five decades, through Gralyn Enterprises, Gralyn Antiques and Gralyn Furniture (which included canoe sales and rentals), Mr. Goldberg established the business framework which led to his financial success and enabled him to pursue his passion — paintings of the White Mountains and surroundings. The Goldbergs gave a major portion of their White Mountain Collection to Dartmouth College's Hood Museum in 1987, and they frequently loaned their remaining White Mountain Collection to museums and historical societies for exhibitions. Mr. Goldberg's other collection passions included antique American furniture, colonial lighting devices, antique coins and watches, and pre-Columbian sculpture.

Mr. Goldberg's furniture business store and the related antiques business store were full of paintings and antiques that were always on display, often more as a private museum than as a business. Visiting Bob Goldberg at Gralyn Furniture or Gralyn Antiques was similar to visiting the home of a good friend who collected art. He loved to explain the history of any painting with friends and customers. He shared his passion with all who would listen and learn.

### Dorothy H. Goldberg

Dorothy Huffman Goldberg was born in Ashville, North Carolina in 1917. She graduated from high school in Ashville in 1935. She met Robert Goldberg as an undergraduate at Duke University, and she graduated from Duke with a bachelor's degree in 1939. Following graduation, she taught elementary school in North Carolina. Robert and Dorothy were married on June 4, 1940, one day after Robert's graduation. While Mr. Goldberg served in the Army Air Corps, Mrs. Goldberg taught school in Texas. Following Mr. Goldberg's discharge as a Captain with the U.S. Army Air Corps, they moved back to Durham, North Carolina, so Mr. Goldberg could pursue a law degree at Duke University. After relocating to Conway, New Hampshire, Mrs. Goldberg continued to teach school in Redstone. Mrs. Goldberg earned her LPN Certificate during World War II, and she practiced that career while in North Conway. She was a Charter Member of the Mount Washington Valley American Association of University Women.

## ADVISORY COMMITTEE

In evaluating applications for grants, the Trustees are assisted by an Advisory Committee of volunteers who are located in the Mount Washington Valley region of New Hampshire. Current Committee members are:

**Glenn R. Saunders**, CEO, White Mountain Oil & Propane, Inc.

P.O. Box 690, North Conway, NH 03860 (Use for mailings)

Telephone: 603-356-6386; Fax: 603-356-4572

Residence: 822 Kearsage Road, North Conway, NH 03860-0690

Telephone: 603-356-2384.

Mr. Saunders was born and grew up in North Conway, New Hampshire; he graduated from Bowdoin College and then served in the U.S. Army as a Captain from 1965-1968. Since 1968 he has been affiliated with White Mountain Oil & Propane, Inc. where he is an owner and serves as its President and Chief Executive Officer. Over the years he has served on numerous local committees and boards, including the North Conway Community Center, the Gibson Center for Senior Services, the Appalachian Mountain Club North Country Board, the Town of Conway Planning Board, the West Main Recreation Corporation and the Mount Washington Valley Youth Hockey Association.

**Gail Paine**

Box 40, Intervale, NH 03845

Telephone: 603-356-5159

E-mail: [gpaine@roadrunner.com](mailto:gpaine@roadrunner.com)

Gail Paine believes in working to provide children with resources and opportunities for learning. Since 1961 she has lived in New Hampshire and worked in many capacities for the betterment of the lives of children in the State of New Hampshire. She is the past chairman of the Bartlett School Board, SAU #9 and served on the State Board of Education. She was a member of the New Hampshire Commission of Human Rights from 1964-1996 and served as the chairman for three terms. She has served as a Director of the New Hampshire Electric Cooperative, the National Association of Rural Electric Cooperatives, the Northern New Hampshire Charitable Foundation and as a past director and president of the Memorial Hospital in North Conway and the Intervale Preschool. She currently serves as a Trustee of the Mount Washington Observatory. She is a graduate of the University of Michigan with a Bachelor of Science degree in Nursing.

**Carl Lindblade**

Business: P.O. Box 995, North Conway, NH 03860

Telephone: 603-731-0650

Residence: 500 Stow Road, Stow, ME 04058

Telephone: 207-697-2353

Mr. Lindblade has worked in New Hampshire for 40 years and is a resident of Stow, Maine. He is an Affiliate Professor in the Department of Hospitality Management at Paul College at the University of New Hampshire. He has extensive experience in the tourist industry. Mr. Lindblade was the former Director of Tourism for the State of New Hampshire. He has

served as past president of the Memorial Hospital in North Conway, past president of the Mount Washington Valley Chamber of Commerce, and past president of the New Hampshire Lodging and Restaurant Association. He is currently the Moderator of the First Church of Christ, Congregational, North Conway. He is a graduate of Tufts University.

**Terry M. O'Brien**, COO, Treasurer, The Red Parka Steakhouse & Pub  
P.O. Box 173, Glen, NH 03838  
Telephone: 603-383-4344; Fax: 603-383-9127  
Residence: 171 US Route 16/302, PO Box 388, Intervale, NH 03845  
Telephone: 603-356-8178; 603-387-4946

Ms. O'Brien is the second generation owner and operator of the 43-year-old Red Parka Steakhouse & Pub in beautiful downtown Glen, NH. She has been involved in the family business for the better part of those 43 years. She served on the Bartlett Planning Board in the early 1980's and during that time was involved in creating the Master Plan which implemented the zoning ordinances in Bartlett. She served on the Executive Board of the NH Lodging & Restaurant Association for six years including her year as President in 1990. She served on the Executive Board of the Mount Washington Valley Chamber of Commerce for six years as well. Ms. O'Brien currently serves on the Executive Board of The Valley Originals, which is a group of 23 independently owned and operated restaurants in the Mt. Washington Valley area. She was voted New Hampshire Restaurateur of the Year in 2009.

#### **APPLYING FOR GRANTS**

Application forms are attached to this summary of The Goldberg Foundation. When a request for a grant is for a special project, the experience and demonstrated ability of the requesting organization to successfully carry out the submitted proposal will be an important criteria by which the proposal will be judged. Other important criteria will be whether other funds (including matching funds) have been obtained or will be sought to finance the proposed charitable activity. Grants will not exceed \$10,000, except for unusually merit-worthy applications. Grants are awarded semi-annually, but in extraordinary circumstances, individual grant application will be considered outside the normal semi-annual cycle.

Application deadlines are March 30 and September 30 for the semi-annual grant awards. Applicants must be non-profit organizations recognized as tax-exempt under Section 501(c)(3) and as a public charity under Section 509(a) of the Internal Revenue Code in order to be considered for a grant. Applications must be submitted on the standard form provided and must be executed by a duly authorized officer of the applicant organization. SIX (6) DUPLICATE COPIES OF THE APPLICATION AND ENCLOSURES MUST BE SUBMITTED. If you have any questions about the purposes of The Goldberg Foundation or the application process, please submit your written questions to The Goldberg Foundation, Attn: Leonard M. Nelson and Michael S. King, Co-Trustees, c/o Bernstein, Shur, Sawyer & Nelson, 100 Middle St., P.O. Box 9729, Portland, ME 04104-5029.

**THE ROBERT AND DOROTHY GOLDBERG CHARITABLE FOUNDATION**

Attn: Leonard M. Nelson and Michael S. King, Trustees

c/o Bernstein, Shur, Sawyer & Nelson

100 Middle Street, P.O. Box 9729

Portland, ME 04104-5029

Phone: (207) 774-1200 ▪ Fax: (207) 774-1127

***Application for Grant***

Date of this Application: \_\_\_\_\_. This Application is for: March/September (circle one).

Full Legal Name of Applicant Organization: \_\_\_\_\_

Address: \_\_\_\_\_

Tel. No: \_\_\_\_\_ E-mail: \_\_\_\_\_ Website: \_\_\_\_\_

Nature of Request: General Operating Purposes \_\_\_\_\_ (or) Special Project \_\_\_\_\_

Amount Sought From Foundation (generally not to exceed \$10,000): \_\_\_\_\_

Officers of Your Organization:

President or Executive Director: \_\_\_\_\_

Address: \_\_\_\_\_

Treasurer: \_\_\_\_\_

Address: \_\_\_\_\_

Other Officer (*indicate title*): \_\_\_\_\_

Address: \_\_\_\_\_

Other Officer (*indicate title*): \_\_\_\_\_

Address: \_\_\_\_\_

Board of Directors (or Board of Trustees) of Applicant Organization:

(*Attach separate schedule if necessary.*)

Full Name: Address:

_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

Applicant's Accountant: *(If you do not have an accountant, specify below who prepares your organization's financial information.)*

Name: \_\_\_\_\_

Address: \_\_\_\_\_

Tel. No.: \_\_\_\_\_

Describe the purpose for which a grant is sought. *(If needed, attach additional pages up to a maximum of four.)* \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**You must attach to this Application the information specified below. Applications that do not have the requested information attached will not qualify for grants.**

a) A proposed budget for the project for which the grant is sought. The proposed budget must show all sources of expected income and include a detailed description of the anticipated expenditures that will be made with the requested grant. The proposed budget should not exceed a maximum of four pages.

b) A copy of the most recent letter from the Internal Revenue Service which recognizes your organization as tax exempt under Section 501(c)(3) or other provision of the Internal Revenue Code; and a copy of your most recent Federal tax return; i.e., Form 990.

c) A general description of your organization's mission and history, its geographic service area and its perceived constituency.

***Send SIX (6) SETS of this completed application with attachments to Leonard M. Nelson and Michael S. King, Trustees, at the address appearing at the top of this application.***

The applicant represents that all information in this application is true and accurate.

\_\_\_\_\_  
*Print or type name of Applicant Organization*

By: \_\_\_\_\_

\_\_\_\_\_  
*Print or type name of signing officer*

Title of Officer: \_\_\_\_\_

**The Robert & Dorothy Goldberg Charitable Foundation**  
**For Period 01/01/2014 – 12/31/2014**

5/23/2014	Cash	\$	4,000.00
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5/23/14	Cash	\$	5,000.00
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5/23/14	Cash	\$	3,000.00
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5/23/14	Cash	\$	7,500.00
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5/23/14	Cash	\$	2,000.00
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## **DISTRIBUTIONS OF PRINCIPAL TO BENEFICIARIES**

**The Robert & Dorothy Goldberg Charitable Foundation  
For Period 01/01/2014 – 12/31/2014**

To:	Kismet Rock Foundation PO Box 1744 N. Conway, NH 03860 Purpose: Spring Scholarship Fund and Challenge Grant		
	5/23/14	Cash	\$ 6,000.00
To:	Laura Foundation 1251 Eaton Road Madison, NH 03849 Purpose: Disabled Children		
	5/23/14	Cash	\$ 2,500.00
To:	Let's Get Ready 50 Broadway, Suite 806 New York, NY 10004 Purpose: High School Programs in Portland, Maine		
	5/23/14	Cash	\$ 4,000.00
To:	Madison Library Village Road Madison, NH 03849 Purpose: Renovation Project		
	5/23/14	Cash	\$ 2,000.00
To:	Maine Historical Society 489 Congress Street Portland, ME 04101 Purpose: Local History/Local School Programs		
	5/23/14	Cash	\$ 5,000.00
To:	Mt. Washington Valley Arts Association 16 Norcross Circle N. Conway, NH 03860 Purpose: Mt. Washington Valley Arts Jubilee		
	5/23/14	Cash	\$ 5,000.00

## **DISTRIBUTIONS OF PRINCIPAL TO BENEFICIARIES**

**The Robert & Dorothy Goldberg Charitable Foundation  
For Period 01/01/2014 – 12/31/2014**

To:	Mt. Washington Valley Preservation Association 2617 Village Square North Conway Village, NH 03860 Purpose: MWVPA 250 <sup>th</sup> Conway Anniversary Commission		
	5/23/14	Cash	\$ 3,000.00
To:	North Conway Community Center PO Box 487 N. Conway, NH 03860 Purpose: Boiler Project		
	5/23/2014	Cash	\$ 5,000.00
To:	Portland Ovations 50 Monument Way Portland, ME 04101 Purpose: "Summer King" author		
	5/23/14	Cash	\$ 5,000.00
To:	Portland Stage Company 25 Forest Avenue Portland, ME 04101 Purpose: 9 <sup>th</sup> – 12 <sup>th</sup> Grade Education		
	5/23/14	Cash	\$ 5,000.00
To:	Robert Frost Charter School Foundation PO Box 967 N. Conway, NH 03860 Purpose: Multi-Media Center		
	5/23/14	Cash	\$ 5,000.00
To:	St. Joseph's College of Maine 278 Whites Bridge Road Standish, ME 04084 Purpose: Kids K-6		
	5/23/14	Cash	\$ 5,000.00

## DISTRIBUTIONS OF PRINCIPAL TO BENEFICIARIES

The Robert & Dorothy Goldberg Charitable Foundation

For Period 01/01/2014 – 12/31/2014

To; Tin Mountain Conservation Center  
1245 Bald Hill Road  
Albany, NH 03818  
Purpose: Domestic Solar Hot Water System

5/23/14      Cash      \$      4,000.00

To: United Society of Shakers  
707 Shaker Road  
New Gloucester, ME 04260-2652  
Purpose: Maine Festival of American Music

5/23/14      Cash      \$      1,400.00

To: Upper Saco Valley Land Trust  
PO Box 424  
N. Conway, NH 03860  
Purpose: Easement Exploration Services

5/23/14      Cash      \$      5,000.00

To: White Mountain Musical Arts  
PO Box 2753  
N. Conway, NH 03860  
Purpose: Annual Bach Festival

5/23/14      Cash      \$      10,000.00

**Total Spring Cycle:      \$      94,400.00**

**The Robert & Dorothy Goldberg Charitable Foundation**  
**For Period 01/01/2014 – 12/31/2014**

**To:** Friends of Casco Bay  
43 Slocum Drive  
S. Portland, ME 04106  
**Purpose:** General Operating Expenses

**To:** Gulf of Maine Research Institute  
350 Commercial Street  
Portland, ME 04101  
**Purpose:** Lab Venture

To: Kid's First Center  
222 St. John Street, #101  
Portland, ME 04102  
Purpose: Parenting Education

To: MSAD #72  
124 Portland Street  
Fryeburg, ME 04037  
Purpose: Kinder Concerts at Fryeburg Academy

To: North Conway Community Center  
PO Box 487  
N. Conway, NH 03860  
Purpose: New Building

11/07/14	Cash	\$	10,000.00
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## **DISTRIBUTIONS OF PRINCIPAL TO BENEFICIARIES**

**The Robert & Dorothy Goldberg Charitable Foundation  
For Period 01/01/2014 – 12/31/2014**

To:	Opportunity Alliance 50 Monument Way Portland, ME 04101 Purpose: After School Programs – Portland		
	11/07/14	Cash	\$ 2,500.00
To:	Portland Community Squash 71 Hanover Street Portland, ME 04101 Purpose: Planning Grant		
	11/07/14	Cash	\$ 1,000.00
To:	Portland Museum of Art 7 Congress Street Portland, ME 04101 Purpose: Robert Indiana Acquisition		
	11/07/14	Cash	\$ 7,500.00
To:	Preble Street Resource Center 5 Portland Street Portland, ME 04101 Purpose: Soup Kitchens		
	11/7/14	Cash	\$ 5,000.00
To:	Rippleeffect, Inc. 400 Commercial Street, Suite 303 Portland, ME 04101 Purpose: Outdoor Leadership		
	11/07/14	Cash	\$ 5,000.00
To:	Seeds of Peace 370 Lexington Avenue, Suite 1201 New York, NH 10017 Purpose: Portland Immigrant Project		
	11/07/14	Cash	\$ 5,000.00

**The Robert & Dorothy Goldberg Charitable Foundation**  
**For Period 01/01/2014 – 12/31/2014**

11/07/14	Cash	\$	6,000.00
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11/07/14	Cash	\$	5,000.00
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11/7/14	Cash	\$	10,000.00
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11/7/14	Cash	\$	2,500.00
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11/7/14	Cash	\$ 10,000.00
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**Total Fall Cycle:                      \$     86,500.00**

**The Robert & Dorothy Goldberg Charitable Foundation**  
**For Period 01/01/2014 – 12/31/2014**

**Total 2014 Grants:                   \$   195,900.00**