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

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2015

Open to Public Inspection

For calendar year 2015, or tax year beginning , 2015, and ending ,

The Lenore & Howard Klein Foundation Inc
c/o Ivey Barnum etc. 170 Mason St.
Greenwich, CT 06830

A Employer identification number
13-3673818

B Telephone number (see instructions)
(203) 661-6000

C If exemption application is pending, check here ► ☐

D 1 Foreign organizations, check here ► ☐

2 Foreign organizations meeting the 85% test, check here and attach computation ► ☐

E If private foundation status was terminated under section 507(b)(1)(A), check here ► ☐

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

G Check all that apply: ☐ Initial return ☐ Initial return of a former public charity
☐ Final return ☐ Amended return
☐ Address change ☐ Name change

H Check type of organization ☒ Section 501(c)(3) exempt private foundation
☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation

I Fair market value of all assets at end of year (from Part II, column (c), line 16)
► \$ 2,772,802.

J Accounting method ☒ Cash ☐ Accrual
☐ Other (specify) _____
(Part I, column (d) must be on cash basis)

Part I Analysis of Revenue and Expenses

(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions))

(a) Revenue and expenses per books

(b) Net investment income

(c) Adjusted net income

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

1 Contributions, gifts, grants, etc. received (attach schedule)

2 Ck ► ☒ if the foundation is not required to attach Sch B

3 Interest on savings and temporary cash investments

4 Dividends and interest from securities

5a Gross rents

b Net rental income or (loss)

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

b Gross sales price for all assets on line 6a 2,237,929.

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

8 Net short-term capital gain

9 Income modifications

10a Gross sales less returns and allowances

b Less Cost of goods sold

c Gross profit or (loss) (attach schedule)

11 Other income (attach schedule)

See Statement 1

12 Total. Add lines 1 through 11

13 Compensation of officers, directors, trustees, etc

14 Other employee salaries and wages

15 Pension plans, employee benefits

16a Legal fees (attach schedule) See St 2

b Accounting fees (attach sch)

c Other prof fees (attach sch) See St 3

17 Interest

18 Taxes (attach schedule)(see instrs) See Stm 4

19 Depreciation (attach schedule) and depletion

20 Occupancy

21 Travel, conferences, and meetings

22 Printing and publications

23 Other expenses (attach schedule)

See Statement 5

24 Total operating and administrative expenses. Add lines 13 through 23

25 Contributions, gifts, grants paid Part XV

26 Total expenses and disbursements. Add lines 24 and 25

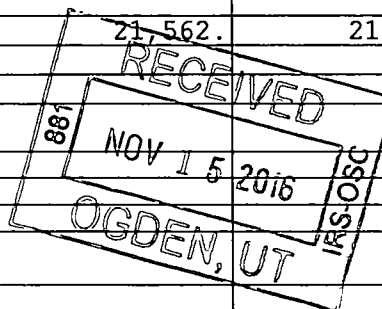
27 Subtract line 26 from line 12:

a Excess of revenue over expenses and disbursements

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

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

ADMINISTRATIVE AND OPERATING EXPENSES



Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions.)		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value		
ASSETS	1	Cash — non-interest-bearing		7,487.		
	2	Savings and temporary cash investments		104,854.	82,316.	82,316.
	3	Accounts receivable				
		Less: allowance for doubtful accounts				
	4	Pledges receivable				
		Less: allowance for doubtful accounts				
	5	Grants receivable				
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)				
	7	Other notes and loans receivable (attach sch)				
		Less: allowance for doubtful accounts				
	8	Inventories for sale or use				
	9	Prepaid expenses and deferred charges				
	10a	Investments — U.S. and state government obligations (attach schedule)				
	b	Investments — corporate stock (attach schedule)		2,756,889.	2,748,276.	2,690,486.
	c	Investments — corporate bonds (attach schedule)				
	11	Investments — land, buildings, and equipment: basis				
	Less: accumulated depreciation (attach schedule)					
12	Investments — mortgage loans					
13	Investments — other (attach schedule)					
14	Land, buildings, and equipment: basis					
	Less: accumulated depreciation (attach schedule)					
15	Other assets (describe)		1.			
16	Total assets (to be completed by all filers— see the instructions. Also, see page 1, item I)		2,869,231.	2,830,592.	2,772,802.	
LIABILITIES	17	Accounts payable and accrued expenses				
	18	Grants payable				
	19	Deferred revenue				
	20	Loans from officers, directors, trustees, & other disqualified persons				
	21	Mortgages and other notes payable (attach schedule)				
	22	Other liabilities (describe)				
	23	Total liabilities (add lines 17 through 22)		0.	0.	
NET ASSETS OR FUND BALANCES	Foundations that follow SFAS 117, check here 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 and complete lines 27 through 31.		☒			
	27	Capital stock, trust principal, or current funds		2,869,231.	2,830,592.	
	28	Paid-in or capital surplus, or land, bldg, and equipment fund				
	29	Retained earnings, accumulated income, endowment, or other funds				
	30	Total net assets or fund balances (see instructions)		2,869,231.	2,830,592.	
	31	Total liabilities and net assets/fund balances (see instructions)		2,869,231.	2,830,592.	

Part III Analysis of Changes in Net Assets or Fund Balances

1	Total net assets or fund balances at beginning of year— Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return)	1	2,869,231.
2	Enter amount from Part I, line 27a	2	-38,639.
3	Other increases not included in line 2 (itemize)	3	
4	Add lines 1, 2, and 3	4	2,830,592.
5	Decreases not included in line 2 (itemize)	5	
6	Total net assets or fund balances at end of year (line 4 minus line 5)— Part II, column (b), line 30	6	2,830,592.

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 shares MLC Company)		(b) How acquired P — Purchase D — Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1 a Capital Gains See Schedule Attached		P	Various	Various
b Capital Losses See Schedule Attached		P	Various	Various
c				
d				
e				

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a 926,699.		824,674.	102,025.
b 1,311,230.		1,352,621.	-41,391.
c			
d			
e			

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
a			102,025.
b			-41,391.
c			
d			
e			

2 Capital gain net income or (net capital loss). If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7		2	60,634.
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6). If gain, also enter in Part I, line 8, column (c) (see instructions). If (loss), enter -0- in Part I, line 8 		3	60,634.

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))
2014	178,600.	3,187,110.	0.056038
2013	171,559.	2,870,605.	0.059764
2012	156,912.	2,708,712.	0.057929
2011	175,580.	2,817,162.	0.062325
2010	147,096.	2,713,496.	0.054209

2 Total of line 1, column (d)	2	0.290265
3 Average distribution ratio for the 5-year base period— divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years	3	0.058053
4 Enter the net value of noncharitable-use assets for 2015 from Part X, line 5	4	2,907,767.
5 Multiply line 4 by line 3	5	168,805.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	992.
7 Add lines 5 and 6	7	169,797.
8 Enter qualifying distributions from Part XII, line 4	8	159,432.

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)

1 a Exempt operating foundations described in section 4940(d)(2), check here ☐ and enter 'N/A' on line 1. Date of ruling or determination letter: _____ (attach copy of letter if necessary— see instrs)			
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here. ☐ and enter 1% of Part I, line 27b		1	1,985.
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	1,985.
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	1,985.
6 Credits/Payments:			
a 2015 estimated tax pmts and 2014 overpayment credited to 2015	6 a		
b Exempt foreign organizations— tax withheld at source	6 b		
c Tax paid with application for extension of time to file (Form 8868)	6 c		
d Backup withholding erroneously withheld	6 d		
7 Total credits and payments. Add lines 6a through 6d	7		0.
8 Enter any penalty for underpayment of estimated tax. Check here ☒ if Form 2220 is attached	8		37.
9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9		2,022.
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10		
11 Enter the amount of line 10 to be: Credited to 2016 estimated tax. Refunded	11		

Part VII-A Statements Regarding Activities

	Yes	No
1 a 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)? <i>If the answer is 'Yes' to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities</i>		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? <i>If 'Yes,' attach a detailed description of the activities</i>		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? <i>If 'Yes,' attach a conformed copy of the changes</i>		X
4 a 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?	N/A	
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? <i>If 'Yes,' attach the statement required by General Instruction T</i>		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? <i>If 'Yes,' complete Part II, col. (c), and Part XV</i>	X	
8 a Enter the states to which the foundation reports or with which it is registered (see instructions) NY		
b If the answer is 'Yes' to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? <i>If 'No,' attach explanation</i>	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 2015 or the taxable year beginning in 2015 (see instructions for Part XIV)? <i>If 'Yes,' complete Part XIV</i>		X
10 Did any persons become substantial contributors during the tax year? <i>If 'Yes,' attach a schedule listing their names and addresses</i>		X

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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>Jennifer D. Port, Esq.</u> Telephone no. <u>(203) 661-6000</u> Located at <u>170 Mason St. Greenwich CT</u> ZIP + 4 <u>06830</u>			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here <u>N/A</u> and enter the amount of tax-exempt interest received or accrued during the year <u>15</u> <u>N/A</u>			
16	At any time during calendar year 2015, 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. If 'Yes,' enter the name of the foreign country <u></u>	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
1 a 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?	☐ Yes ☒ No	
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?	☐ Yes ☒ No	
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?	☐ Yes ☒ No	
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?	☐ Yes ☒ 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)?	☐ Yes ☒ 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.)	☐ Yes ☒ 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 <u></u>	1 b	N/A
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 2015?	1 c	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 2015, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2015? If 'Yes,' list the years <u>20__ , 20__ , 20__ , 20__</u>	☐ Yes ☒ No	
b Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer 'No' and attach statement— see instructions.)	2 b	N/A
c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. <u>20__ , 20__ , 20__ , 20__</u>		
3 a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?	☐ Yes ☒ No	
b If 'Yes,' did it have excess business holdings in 2015 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 2015)	3 b	N/A
4 a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4 a	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 2015?	4 b	X

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Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required (continued)**5 a** 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)?

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)

6 a 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?

If 'Yes' to 6b, file Form 8870

6 b

X

7 a 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

7 b

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

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
Janice Levinson Gillman 2405 Rancho Cabeba Santa Rosa, CA 95404	VP, Dir & Of 10.00	0.	0.	0.
Jane Laffend 10 Lantern Lane Media, PA 19063	Pres, Dir & 10.00	0.	0.	0.
Jennifer D. Port One Dewart Road Greenwich, CT 06830	VP, Sec & Tr 15.00	8,000.*	0.	0.
*The \$8,000.00 is paid to Ivey, Barnum & O'Mara, LLC and not Jennifer D. Port personally.				

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

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

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

0

Part 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	1 a	2,876,263.
b	Average of monthly cash balances	1 b	75,785.
c	Fair market value of all other assets (see instructions)	1 c	
d	Total (add lines 1a, b, and c)	1 d	2,952,048.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1 e	0.
2	Acquisition indebtedness applicable to line 1 assets	2	0.
3	Subtract line 2 from line 1d	3	2,952,048.
4	Cash deemed held for charitable activities. Enter 1-1/2% of line 3 (for greater amount, see instructions)	4	44,281.
5	Net value of noncharitable-use assets Subtract line 4 from line 3. Enter here and on Part V, line 4	5	2,907,767.
6	Minimum investment return Enter 5% of line 5	6	145,388.

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	145,388.
2 a	Tax on investment income for 2015 from Part VI, line 5	2 a	1,985.
b	Income tax for 2015. (This does not include the tax from Part VI.)	2 b	
c	Add lines 2a and 2b	2 c	1,985.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	143,403.
4	Recoveries of amounts treated as qualifying distributions	4	
5	Add lines 3 and 4	5	143,403.
6	Deduction from distributable amount (see instructions)	6	
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	143,403.

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	1 a	159,432.
b	Program-related investments— total from Part IX-B	1 b	
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)	3 a	
b	Cash distribution test (attach the required schedule)	3 b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	159,432.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b (see instructions)	5	
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	159,432.

Note. The amount on line 6 will be used in Part V, column (b), in subsequent years when calculating whether the foundation qualifies for the section 4940(e) reduction of tax in those years.

Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2014	(c) 2014	(d) 2015
1 Distributable amount for 2015 from Part XI, line 7				143,403.
2 Undistributed income, if any, as of the end of 2015:				
a Enter amount for 2014 only			0.	
b Total for prior years. 20 __, 20 __, 20 __		0.		
3 Excess distributions carryover, if any, to 2015				
a From 2010	13,118.			
b From 2011	35,712.			
c From 2012	22,376.			
d From 2013	30,765.			
e From 2014	27,304.			
f Total of lines 3a through e	129,275.			
4 Qualifying distributions for 2015 from Part XII, line 4 ▶ \$ 159,432.				
a Applied to 2014, 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 2015 distributable amount				143,403.
e Remaining amount distributed out of corpus	16,029.			
5 Excess distributions carryover applied to 2015 (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:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	145,304.			
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 2014 Subtract line 4a from line 2a. Taxable amount – see instructions			0.	
f Undistributed income for 2015. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2016				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 2010 not applied on line 5 or line 7 (see instructions)	13,118.			
9 Excess distributions carryover to 2016. Subtract lines 7 and 8 from line 6a	132,186.			
10 Analysis of line 9:				
a Excess from 2011	35,712.			
b Excess from 2012	22,376.			
c Excess from 2013	30,765.			
d Excess from 2014	27,304.			
e Excess from 2015	16,029.			

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N/A

- b** Check box to indicate whether the foundation is a private operating foundation described in section ☐ 4942(j)(3) or ☐ 4942(j)(5)

- (4) Gross investment income**

[illegible]

1 Information Regarding Foundation Managers:

- None

- None

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

a The name, address, and telephone number or e-mail address of the person to whom applications should be addressed:

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

- c Any submission deadlines:

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

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a Paid during the year See Exhibit Attached	None			118,500.
Total			3 a	118,500.
b Approved for future payment				
Total			3 b	

Client 15225-01

The Lenore & Howard Klein Foundation Inc

13-3673818

Statement 1
Form 990-PF, Part I, Line 11
Other Income

	(a) Revenue per Books	(b) Net Investment Income	(c) Adjusted Net Income
Capital Gain Distribution	\$ 5,553.	\$ 5,553.	\$ 5,553.
Class action proceeds	842.	842.	842.
Google Adjustment	-37.	-37.	-37.
Reclassification of Eaton	-108.	-108.	-108.
Total	<u>\$ 6,250.</u>	<u>\$ 6,250.</u>	<u>\$ 6,250.</u>

Statement 2
Form 990-PF, Part I, Line 16a
Legal Fees

	(a) Expenses Per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes
Ivey Barnum & O'Mara, LLC	\$ 12,209.	\$ 7,325.	\$ 7,325.	\$ 4,884.
Total	<u>\$ 12,209.</u>	<u>\$ 7,325.</u>	<u>\$ 7,325.</u>	<u>\$ 4,884.</u>

Statement 3
Form 990-PF, Part I, Line 16c
Other Professional Fees

	(a) Expenses per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes
Northern Trust Company-Investment Fee	\$ 16,766.	\$ 16,766.	\$ 16,766.	\$ 16,766.
Northern Trust Company-London Account	1,356.	1,356.	1,356.	1,356.
Northern Trust Company-Polen Account	1,673.	1,673.	1,673.	1,673.
Polen Capital Management Fee	936.	936.	936.	936.
The London Company	831.	831.	831.	831.
Total	<u>\$ 21,562.</u>	<u>\$ 21,562.</u>	<u>\$ 21,562.</u>	<u>\$ 21,562.</u>

Statement 4
Form 990-PF, Part I, Line 18
Taxes

	(a) Expenses per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes
Excise Tax - 2014	\$ 8,091.			\$ 8,091.
Total	<u>\$ 8,091.</u>	<u>\$ 0.</u>	<u>\$ 0.</u>	<u>\$ 8,091.</u>

2015 .

Federal Statements

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Client 15225-01

The Lenore & Howard Klein Foundation Inc

13-3673818

Statement 5
Form 990-PF, Part I, Line 23
Other Expenses

	(a) Expenses per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes
NYS Dept of Law - Filing Fee	\$ 250.			\$ 250.
Total	<u>\$ 250.</u>	<u>\$ 0.</u>	<u>\$ 0.</u>	<u>\$ 250.</u>

2015

Federal Supporting Detail

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Client 15225-01

The Lenore & Howard Klein Foundation Inc

13-3673818

Net Investment Income / Adj. Net Income
Interest on savings & cash investments (see Screen 18) [O]

London Money Market Account	\$	1.
Polen Money Market Account		8.
Northern Trust Money Market Account		1.
Total	\$	<u>10.</u>

Net Investment Income / Adj. Net Income
Dividends & interest from securities (see Screen 18) [O]

London Account	\$	6,383.
Polen Account		2,384.
Northern Trust Account		54,350.
Northern Trust		107.
Total	\$	<u>63,224.</u>

Operating & Administrative Exp. (990-PF)
Printing and publications

ALM Media - Publication fee	\$	145.
Total	\$	<u>145.</u>

Operating & Administrative Exp. (990-PF)
Printing and publications

Alm Media - Publication fee	\$	145.
Total	\$	<u>145.</u>

Lenore and Howard Klein Foundation
Annual Report for year ended December 31, 2015
Balance Sheet
E.I.N. 13-3673818

Part II - Itemized Statement of Securities and All Other Assets <u>Asset Description</u>	Beginning of Fiscal Year <u>Book Value</u>	End of the Fiscal Year <u>Book Value</u>	End of the Year Fair <u>Market Value</u>
<u>Publically Traded Stocks</u>			
320 shares, Abbott Laboratories, common	\$ 12,326.94 \$	12,326.94 \$	14,371.20
432 shares, Abbott Laboratories, common	16,488.33	Sold During Year	Sold During Year
432 shares, Abbott Laboratories, common	Purchased During Year	19,899.85	19,401.12
162 shares, Accenture PLC, common	Purchased During Year	14,734.50	16,929.00
240 shares, Adobe Systems, Inc., common	16,041.65	Sold During Year	Sold During Year
172 shares, Adobe Systems, Inc., common	Purchased During Year	13,750.13	16,157.68
230 shares, Aflac, Inc., common	14,408.73	Sold During Year	Sold During Year
21 shares, Alphabet, Inc., Class A common	Purchased During Year	11,559.18	16,338.21
21 shares, Alphabet, Inc., Class C common	Purchased During Year	16,869.12	23,525.28
312 shares, Altria Group, Inc., common	Purchased During Year	17,435.79	18,161.52
39 shares, Amazon.com, Inc., common (shares and basis have been adjusted due to the sale of shares of stock)	13,926.73	11,084.54	26,359.71

Lenore and Howard Klein Foundation
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<u>Part II - Itemized Statement of Securities and All Other Assets Asset Description</u>	<u>Beginning of Fiscal Year Book Value</u>	<u>End of the Fiscal Year Book Value</u>	<u>End of the Year Fair Market Value</u>
51 shares, Amgen, Inc., common	6,406.52	Sold During Year	Sold During Year
425 shares, Apple Computer, Inc., common	\$ 16,483.51	\$ 16,483.51	\$ 44,735.50
128 shares, Apple, Inc., common	Purchased During Year	16,062.16	13,473.28
150 shares, AT&T Inc., common	5,503.41	Sold During Year	Sold During Year
191 shares, Automatic Data Processing, Inc., common	Purchased During Year	16,339.87	16,181.52
28 shares, Biogen Indec, Inc., common	9,768.86	Sold During Year	Sold During Year
25 shares, Blackrock, Inc., common	Purchased During Year	9,269.25	8,513.00
160 shares, Bristol-Myers Squibb Co., common	8,775.68	Sold During Year	Sold During Year
118 shares, Bristol Myers Squibb Co., common	Purchased During Year	6,997.40	8,117.22
254 shares, CA, Inc., common	Purchased During Year	8,181.34	7,254.24
230 shares, Capital One Financialcorp, common	16,988.15	Sold During Year	Sold During Year
170 shares, Cardinal Health, Inc., common	12,079.36	12,079.36	15,175.90
163 shares, Carnival Corp., common	Purchased During Year	7,198.13	8,880.24

Lenore and Howard Klein Foundation
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<u>Part II - Itemized Statement of Securities and All Other Assets Asset Description</u>	<u>Beginning of Fiscal Year Book Value</u>	<u>End of the Fiscal Year Book Value</u>	<u>End of the Year Fair Market Value</u>
120 shares, Caterpillar, Inc., common	\$ 11,519.72	Sold During Year	Sold During Year
102 shares, Celgene Corp., common	Purchased During Year \$	12,419.74 \$	12,215.52
170 shares, Chevron Corporation, common	20,238.04	Sold During Year	Sold During Year
44 shares, Chevron Corp., common	Purchased During Year	4,834.72	3,958.24
123 shares, Cincinnati Financial Corp., common	Purchased During Year	6,381.24	7,277.91
257 shares, Cisco Systems, Inc., common	Purchased During Year	6,976.26	6,978.83
106 shares, Coca Cola Co., com	Purchased During Year	4,499.26	4,553.76
310 shares, Comcast Corp., Class A common	15,623.38	Sold During Year	Sold During Year
122 shares, Communications Sales & Leasing, Inc., com	Purchased During Year	4,099.44	2,280.18
99 shares, Conocophillips, common	Purchased During Year	6,724.92	4,622.31
169 shares, Corrections Corp., common	Purchased During Year	6,516.64	4,476.81
104 shares, Costco Wholesale Corp., common	11,926.05	Sold During Year	Sold During Year
130 shares, Disney Walt Co., common	6,484.94	6,484.94	13,660.40

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<u>Part II - Itemized Statement of Securities and All Other Assets Asset Description</u>	<u>Beginning of Fiscal Year Book Value</u>	<u>End of the Fiscal Year Book Value</u>	<u>End of the Year Fair Market Value</u>
50 shares, Dominion Resources, Inc., common	Purchased During Year \$	3,723.50 \$	3,382.00
62 shares, Duke Energy Corp., common	Purchased During Year	5,036.02	4,426.18
220 shares, Eaton Corp., PLC	\$ 9,981.42	Sold During Year	Sold During Year
112 shares, Eli Lilly & Co., common	Purchased During Year	7,851.20	9,437.12
280 shares, ExxonMobil Corp., common	11,171.63	Sold During Year	Sold During Year
250 shares, Facebook, Inc., common	11,535.15	Sold During Year	Sold During Year
126 shares, Facebook, Inc., Class A common	Purchased During Year	10,425.50	13,187.16
316 shares, Fastental Co., common	Purchased During Year	13,337.90	12,899.12
220 shares, Freeport-McMoran Copper & Gold Corp., Class A common	6,902.90	Sold During Year	Sold During Year
134 shares, Gartner, Inc., common	Purchased During Year	10,791.21	12,153.80
74 shares, General Dynamics Corp, common	Purchased During Year	10,161.68	10,164.64
391 shares, General Electric Company, common	Purchased During Year	10,747.12	12,179.65

Lenore and Howard Klein Foundation
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Part II - Itemized Statement of Securities and All Other Assets <u>Asset Description</u>		Beginning of Fiscal Year <u>Book Value</u>	End of the Fiscal Year <u>Book Value</u>	End of the Year Fair <u>Market Value</u>
140 shares, Gilead Sciences, Inc., common	\$	10,748.40	\$ 10,748.40	\$ 14,166.60
39 shares, Google, Inc., Class A common		22,844.44	Sold During Year	Sold During Year
11 shares, Google, Inc., common		6,598.38	Sold During Year	Sold During Year
200 shares, H&R Block, Inc., common	Purchased During Year		7,383.33	6,662.00
200 shares, Halliburton Co., common		11,340.58	Sold During Year	Sold During Year
152 shares, Hasbro, Inc., common	Purchased During Year		9,308.34	10,238.72
160 shares, Hca, Inc., common		8,653.21	Sold During Year	Sold During Year
150 shares, Home Depot, Inc., common		12,000.47	Sold During Year	Sold During Year
180 shares, Honeywell International, Inc., common		16,867.85	Sold During Year	Sold During Year
580 shares, Intel Corp., common		20,109.96	Sold During Year	Sold During Year
247 shares, Intel Corp., common	Purchased During Year		8,301.67	8,509.15
101 shares, Intercontinentalexchange, Inc., common		16,248.43	16,248.43	25,882.26
113 shares, Johnson & Johnson, common		11,085.51	Sold During Year	Sold During Year

Lenore and Howard Klein Foundation
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Part II - Itemized Statement of Securities and All Other Assets <u>Asset Description</u>	Beginning of Fiscal Year <u>Book Value</u>	End of the Fiscal Year <u>Book Value</u>	End of the Year Fair <u>Market Value</u>
250 shares, Johnson Controls, Inc., common	\$ 11,705.28	Sold During Year	Sold During Year
346 shs., JP Morgan Chase Corporation,	13,993.00	Sold During Year	Sold During Year
303 shares, Kinder Morgan, Inc., common	Purchased During Year \$	12,507.84 \$	4,520.76
133 shares, Lowes Cos., Inc., common	Purchased During Year	9,510.83	10,113.32
349 shares, Mastercard, Inc., common	Purchased During Year	30,338.31	33,978.64
130 shares, Mead Johnson Nutrition, common	11,990.59	Sold During Year	Sold During Year
125 shares, Microsoft Corp., common	Purchased During Year	5,296.25	6,935.00
263 shares, Merck & Co., common	7,686.66	Sold During Year	Sold During Year
360 shares, Mondelez International, common	12,322.26	Sold During Year	Sold During Year
161 shares, Mosaic Company, common	Purchased During Year	8,037.61	4,441.99
90 shares, National Oilwell Varco, Inc., common	5,774.30	Sold During Year	Sold During Year
209 shares, Nestle ADR	Purchased During Year	15,901.31	15,553.78
15 shares, Newmarket Corp., common	Purchased During Year	6,934.12	5,710.95

Lenore and Howard Klein Foundation
Annual Report for year ended December 31, 2015
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<u>Part II - Itemized Statement of Securities and All Other Assets Asset Description</u>	<u>Beginning of Fiscal Year Book Value</u>	<u>End of the Fiscal Year Book Value</u>	<u>End of the Year Fair Market Value</u>
418 shares, Nike, Inc., Class B common	Purchased During Year \$	20,039.30 \$	26,125.00
106 shares, Norfolk Southern Corp., common	Purchased During Year	8,650.14	8,966.54
210 shares, Nucor Corp., common	\$ 10,353.55	Sold During Year	Sold During Year
55 shares, O Reilly Automotive, Inc., common	Purchased During Year	11,838.91	13,938.10
432 shares, Oracle Corp., common	Purchased During Year	18,492.00	15,780.96
117 shares, Paychex, Inc., common	Purchased During Year	5,635.94	6,188.13
220 shares, Pepsico, Inc., common	15,032.40	Sold During Year	Sold During Year
274 shares, Pfizer, Inc., common	Purchased During Year	9,381.76	8,844.72
390 shares, Pfizer, Inc., common	8,748.05	Sold During Year	Sold During Year
120 shares, Philip Morris International, common	6,268.77	Sold During Year	Sold During Year
100 shares, Procter & Gamble Company, common	7,979.66	Sold During Year	Sold During Year
34 shares, Rengeneron Pharmaceuticals, Inc., common	Purchased During Year	14,663.28	18,457.58
240 shares, Reynolds American, Inc., common	Purchased During Year	8,640.70	11,076.00

Lenore and Howard Klein Foundation
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Part II - Itemized Statement of Securities and All Other Assets <u>Asset Description</u>	Beginning of Fiscal Year <u>Book Value</u>	End of the Fiscal Year <u>Book Value</u>	End of the Year Fair <u>Market Value</u>
3,050 shares S&P 500 ETF Trust	Purchased During Year \$	631,864.68 \$	621,864.50
280 shares, Salesforce.com, common	\$ 16,176.72	Sold During Year	Sold During Year
118 shares, Schlumberger Ltd., common	9,581.59	Sold During Year	Sold During Year
382 shares, Starbucks Corp., common	Purchased During Year	18,225.08	22,931.46
280 shares, State Street Corp., common	18,425.62	Sold During Year	Sold During Year
170 shares, Time Warner, Inc., common	12,752.24	Sold During Year	Sold During Year
15 shares, The Priceline Group, Inc., common	Purchased During Year	16,275.90	19,124.25
244 shares, TJX Companies, Inc., common	Purchased During Year	16,760.06	17,302.04
112 shares, Union Pacific Corp., common	10,698.12	Sold During Year	Sold During Year
142 shares, United Technologies Corp., common	16,312.37	Sold During Year	Sold During Year
100 shares, Verizon Communications, common	4,629.80	Sold During Year	Sold During Year
87 shares, Verizon Communications, common	Purchased During Year	4,331.73	4,021.14
190 shares, Wells Fargo & Co., common	Purchased During Year	10,265.70	10,328.40

Lenore and Howard Klein Foundation
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<u>Part II - Itemized Statement of Securities and All Other Assets</u> <u>Asset Description</u>		<u>Beginning of Fiscal Year Book Value</u>	<u>End of the Fiscal Year Book Value</u>	<u>End of the Year Fair Market Value</u>
370 shares, Wells Fargo & Company, common	\$	10,573.98	Sold During Year	Sold During Year
190 Yum Brands, Inc., common		14,412.87	Sold During Year	Sold During Year
	\$	616,496.16	\$ 1,276,863.98	\$ 1,363,090.24

Common Trust Funds

19,391.17 shares, Blackrock High Yield Bond Portfolio (shares and basis have been adjusted due to the purchase of shares of stock)	\$	101,745.19	\$ 157,640.00	\$ 138,259.04
6,254.94 shares, DFA Investment Dimensions Group,		125,000.00	125,000.00	98,577.85
3,713.43 shares, DFA United States L/C Value Portfolio		125,701.30	Sold During Year	Sold During Year
1,877.83 shares, DFA United States Small Cap Portfolio (shares and basis have been adjusted due to the purchase of shares of stock)		51,425.64	58,901.78	53,255.25
15,889.49 shares, Doubleline Core Fixed Income Fund (shares and basis have been adjusted due to the purchase of shares of stock)		100,000.00	174,465.32	169,540.85

Lenore and Howard Klein Foundation
Annual Report for year ended December 31, 2015
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<u>Part II - Itemized Statement of Securities and All Other Assets</u> <u>Asset Description</u>	<u>Beginning of Fiscal Year Book Value</u>	<u>End of the Fiscal Year Book Value</u>	<u>End of the Year Fair Market Value</u>
533.67 shares, Harbor Fund Capital Appreciation Fund	Purchased During Year \$	35,240.02 \$	32,452.47
500 shares, MFC Ishares 1-3 year Credit Bond ETF	\$	52,675.00	Sold During Year
2,000 shares, MFC Flexshares Trust Quality Dividend Indexed Fund	Purchased During Year	72,460.00	69,640.00
250 shares, MFC Ishares Trust, Russell 2,000 Growth ETF	Purchased During Year	37,727.13	34,852.50
250 shares, MFC Ishares Trust, S&P Midcap 400 Growth Index Fund	Purchased During Year	42,752.85	40,240.00
1,000 shares, Morningstar Global Upstream National Residence Index Fund	33,120.00	Sold During Year	Sold During Year
4,241.79 shares, Northern Global Real Estate Index Fund (shares and basis have been adjusted due to the sale of shares of stock)	60,000.00	43,511.94	40,975.69
52,701.01 shares, Northern International Equity Index Fund (shares and basis have been adjusted due to the purchase of shares of stock)	400,000.00	635,000.00	568,116.88

Lenore and Howard Klein Foundation
Annual Report for year ended December 31, 2015
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<u>Part II - Itemized Statement of Securities and All Other Assets</u> <u>Asset Description</u>	<u>Beginning of Fiscal Year</u> <u>Book Value</u>	<u>End of the Fiscal Year</u> <u>Book Value</u>	<u>End of the Year Fair Market Value</u>
3,077.51 shares, Northern Multi Manager Global Listed Infrastructure Fund (shares and basis have been adjusted due to the sale of shares of stock)	\$ 51,704.36	\$ 40,548.05	\$ 34,191.13
88,204.9 shares, Northern Ultra Short Term Fixed Income Fund	901,058.19	Sold During Year	Sold During Year
295 shares, Russell Mid-Cap ETF Ishares (shares and basis have been adjusted due to the sale of shares of stock)	137,963.79	48,164.88	47,294.40
	\$ 2,140,393.47	\$ 1,471,411.97	\$ 1,327,396.06

The Lenore and Howard Klein Foundation, Inc.
Annual Report for year ended December 31, 2015
Schedule of Capital Gains and Losses
E.I.N 13-3673818

<u>Description of Asset</u>	<u>Sales Price</u>	<u>Cost</u>	<u>Sales Date</u>	<u>Purchase Date</u>	<u>Gain/Loss</u>
<u>Assets Sold at a Gain</u>					
Abbvie, Inc., common 300 shares	\$ 16,979.62	\$ 16,488.33	2/13/2015	9/29/2014	\$ 491.29
Adobe Systems, Inc., common 240 shares	21,391.81	16,041.65	11/5/2015	9/29/2014	5,350.16
Albemarle Corp., common 5 shares	292.76	268.05	4/17/2015	2/17/2015	24.71
Amazon.com, Inc., common 10 shares	6,732.97	2,842.19	12/9/2015	9/24/2014	3,890.78
Amgen, Inc., common 51 shares	7,692.66	6,406.52	2/13/2015	3/21/2014	1,286.14
Biogen Indec, Inc., common 28 shares	11,080.75	9,768.86	2/13/2015	3/21/2014	1,311.89
Bristol-Myers Squibb Co., common 160 shares 4 shares	9,774.22 256.44	8,775.68 237.20	2/26/2015 4/17/2015	3/21/2014 2/17/2015	998.54 19.24
Capital One Financialcorp, common 230 shares	18,358.26	16,988.15	2/26/2015	3/21/2014	1,370.11

The Lenore and Howard Klein Foundation, Inc.
Annual Report for year ended December 31, 2015
Schedule of Capital Gains and Losses
E.I.N 13-3673818

<u>Description of Asset</u>	<u>Sales Price</u>	<u>Cost</u>	<u>Sales Date</u>	<u>Purchase Date</u>	<u>Gain/Loss</u>
<u>Assets Sold at a Gain</u>					
Cincinnati Financial Corp., common 6 shares	\$ 322.32	\$ 311.28	4/17/2015	2/17/2015	\$ 11.04
Cisco Systems, Inc., common 7 shares	194.22	190.02	4/17/2015	2/17/2015	4.20
Comcast Corp., Class A common 310 shares	18,007.56	15,623.38	2/26/2015	3/21/2014	2,384.18
Costco Wholesale Corp., common 104 shares	15,372.99	11,926.05	2/26/2015	9/12/2013	3,446.94
DFA United States L/C Value Portfolio					
1,161.78 shares	40,000.00	39,520.32	4/14/2015	11/3/2014	479.68
435.54 shares	15,000.00	14,815.79	7/16/2015	11/3/2014	184.21
2,832 shares	96,967.68	96,336.28	7/30/2015	12/5/2014	631.40
Eaton Corp., PLC 220 shares	15,109.32	9,873.62	4/14/2015	8/16/2012	5,235.70
Eli Lilly & Co., common 3 shares	220.67	210.30	4/17/2015	2/17/2015	10.37
Exxon Mobil Corp., common 164 shares	14,551.45	11,171.63	2/26/2015	6/23/2014	3,379.82

The Lenore and Howard Klein Foundation, Inc.
Annual Report for year ended December 31, 2015
Schedule of Capital Gains and Losses
E.I.N 13-3673818

<u>Description of Asset</u>	<u>Sales Price</u>	<u>Cost</u>	<u>Sales Date</u>	<u>Purchase Date</u>	<u>Gain/Loss</u>
<u>Assets Sold at a Gain</u>					
Factset Research System, Inc., common					
27 shares	4,098.47	\$ 4,068.90	3/18/2015	2/17/2015	\$ 29.57
34 shares	5,569.37	5,123.80	6/25/2015	2/17/2015	445.57
Fedex Corp., common					
250 shares	18,784.58	11,535.15	2/13/2015	6/26/2014	7,249.43
Hca, Inc., common					
160 shares	11,326.45	8,653.21	2/26/2015	6/9/2014	2,673.24
30 shares					
Hasbro, Inc., common					
5 shares	323.34	306.20	4/20/2015	2/17/2015	17.14
19 shares	1,508.07	1,163.54	9/21/2015	2/17/2015	344.53
Home Depot, Inc., common					
150 shares	16,516.13	12,000.47	2/12/2015	3/21/2014	4,515.66
Honeywell International, Inc., common					
180 shares	18,716.06	16,867.85	4/14/2015		1,848.21
Johnson & Johnson, common					
113 shares	11,296.36	11,085.51	2/13/2015	4/16/2014	210.85
Johnson Controls, Inc., common					
250 shares	11,984.73	11,705.28	2/13/2015	3/21/2014	279.45

The Lenore and Howard Klein Foundation, Inc.
Annual Report for year ended December 31, 2015
Schedule of Capital Gains and Losses
E.I.N 13-3673818

<u>Description of Asset</u>	<u>Sales Price</u>	<u>Cost</u>	<u>Sales Date</u>	<u>Purchase Date</u>	<u>Gain/Loss</u>
<u>Assets Sold at a Gain</u>					
JP Morgan Chase & Co., common 346 shares	\$ 20,451.68	\$ 13,993.00	2/26/2015	7/10/2014	\$ 6,458.68
Kinder Morgan, Inc., common 28 shares	1,204.75	1,155.84	4/17/2015	2/17/2015	48.91
Lorillard, Inc., common 164 shares	8,282.00	7,655.71	6/12/2015	2/17/2015	626.29
Lowes Cos., Inc., common 24 shares	1,776.65	1,716.24	4/17/2015	2/17/2015	60.41
Mastercard, Inc., common 10 shares	882.20	845.20	4/14/2015	2/17/2015	37.00
MFC Ishares Trust Russell 1000 Growth ETF	116,780.35	115,055.53	7/15/2015	4/2/2015	1,724.82
MCF Ishares 1-3 year Credit Bond ETF 500 shares	52,734.03	52,675.00	4/14/2015	12/8/2014	59.03
Mead Johnson Nutrition, common 130 shares	12,846.31	11,990.59	2/13/2015	8/19/2014	855.72
Merck & Co., common 263 shares	15,510.08	7,686.66	2/13/2015	8/16/2012	7,823.42

The Lenore and Howard Klein Foundation, Inc.
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Schedule of Capital Gains and Losses
E.I.N 13-3673818

<u>Description of Asset</u>	<u>Sales Price</u>	<u>Cost</u>	<u>Sales Date</u>	<u>Purchase Date</u>	<u>Gain/Loss</u>
<u>Assets Sold at a Gain</u>					
Mondelez International, common 360 shares	\$ 12,923.71	\$ 12,322.26	2/13/2015	3/21/2014	\$ 601.45
Paychex, Inc., common 23 shares	1,123.31	1,107.92	4/17/2015	2/17/2015	15.39
Pepsico, Inc., common 220 shares	21,834.59	15,032.40	2/26/2015	6/4/2014	6,802.19
Pfizer, Inc., common 390 shares	13,202.68	8,748.05	2/13/2015	7/23/2012	4,454.63
Philip Morris International, common 120 shares	9,672.98	6,268.77	2/13/2015	11/3/2011	3,404.21
Proctor & Gamble Company, common 100 shares	8,496.81	7,979.66	2/13/2015	3/21/2014	517.15
Reynolds American, Inc., common .71 shares	53.94	51.12	7/9/2015	2/17/2015	2.82
Russell Mid-Cap ETF shares 400 shares	67,579.31	65,308.30	8/12/2015	11/5/2014	2,271.01
150 shares	24,888.29	24,490.61	11/5/2015	11/5/2014	397.68
S&P 500 ETF Fund 100 shares	20,906.61	20,716.87	11/5/2015	2/11/2015	189.74

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<u>Assets Sold at a Gain</u>					
Salesforce.com, common 280 shares	\$ 16,480.43	\$ 16,176.72	2/13/2015	Various	\$ 303.71
State Street Corp., common 280 shares	20,739.41	18,425.62	4/2/2015	3/21/2014	2,313.79
Time Warner, Inc., common 170 shares	13,785.99	12,752.24	2/13/2015	8/19/2014	1,033.75
Union Pacific Corp., common 112 shares	13,842.38	10,698.12	2/26/2015	Various	3,144.26
United Technologies Corp., common 142 shares	16,779.83	16,312.37	4/14/2015	3/21/2014	467.46
Verizon Communications, common 100 shares	4,937.89	4,629.80	2/13/2015	3/21/2014	308.09
Wells Fargo & Co., common 370 shares	20,553.12	10,573.98	5/20/2015	3/8/2011	9,979.14
Total Sales Resulting in a Gain	\$ 926,698.59	\$ 824,673.79			\$ 102,024.80

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<u>Description of Asset</u>	<u>Sales Price</u>	<u>Cost</u>	<u>Sales Date</u>	<u>Purchase Date</u>	<u>Gain/Loss</u>
<u>Assets Sold at a Gain</u>					
<u>Assets Sold at a Losses</u>					
Aflac, Inc., common 460 shares	\$ 14,103.34	\$ 14,408.73	2/26/2015	Various	\$ (305.39)
Albemarle Corp., common 119 shares	5,330.99	6,379.59	9/21/2015	2/17/2015	(1,048.60)
Altria Group, Inc., common 9 shares	440.65	492.93	7/6/2015	2/17/2015	(52.28)
AT&T Inc., common 150 shares shares	5,227.38	5,503.41	2/13/2015	6/2/2009	(276.03)
Caterpillar, Inc., common 120 shares	10,019.81	11,519.72	2/26/2015	3/21/2014	(1,499.91)
Chevron Corporation, common 170 shares	18,247.46	20,238.04	2/26/2015	5/5/2014	(1,990.58)
Coca Cola Co., common 7 shares	283.63	297.12	4/17/2015	2/17/2015	(13.49)
Communications Sales & Leasing, Inc., common .4 shares	11.94	13.44	5/7/2015	4/20/2015	(1.50)

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<u>Description of Asset</u>	<u>Sales Price</u>	<u>Cost</u>	<u>Sales Date</u>	<u>Purchase Date</u>	<u>Gain/Loss</u>
<u>Assets Sold at a Gain</u>					
Corning, Inc., common 367 shares	\$ 6,229.02	\$ 9,031.87	10/19/2015	2/17/2015	\$ (2,802.85)
DFA United States Small Cap Portfolio 1,591.34 shares	50,000.00	50,128.27	8/10/2015	11/3/2014	(128.27)
DFA United States L/C Value Portfolio .85 shares	28.72	28.91	10/30/2015	11/3/2014	(0.19)
Doubleline Core Fixed Income Fund 2,325.58 shares	25,000.00	25,534.68	12/9/2015	11/3/2014	(534.68)
Federated Investors, Inc., common 7 shares	240.27	243.18	4/17/2015	2/17/2015	(2.91)
52 shares	1,617.91	1,806.48	11/6/2015	2/17/2015	(188.57)
17 shares	527.31	590.58	11/6/2015	2/17/2015	(63.27)
154 shares	4,719.12	5,349.96	11/9/2015	2/17/2015	(630.84)
Freeport-McMoran Copper & Gold Corp., Class A common 220 shares	4,107.30	6,902.90	2/13/2015	3/21/2014	(2,795.60)
General Dynamics Corp., common 2 shares	265.98	274.64	4/17/2015	2/17/2015	(8.66)
Google, Inc., Class A common 39 shares	20,864.96	22,844.44	2/13/2015	7/2/2014	(1,979.48)

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<u>Description of Asset</u>	<u>Sales Price</u>	<u>Cost</u>	<u>Sales Date</u>	<u>Purchase Date</u>	<u>Gain/Loss</u>
<u>Assets Sold at a Gain</u>					
Google, Inc., common 11 shares	\$ 5,854.84	\$ 6,598.38	2/13/2015	3/21/2014	\$ (743.54)
Grainger W. W., Inc., common 38 shares	8,556.13	8,989.95	8/24/2015	2/17/2015	(433.82)
Halliburton Co., common 200 shares	7,377.86	11,340.58	12/9/2015	3/21/2014	(3,962.72)
Harbor Fund Capital Appreciation Fund 404 shares	26,579.16	26,813.57	11/3/2015	7/30/2015	(234.41)
Intel Corp., common 580 shares	19,435.37	20,109.96	2/13/2015	9/18/2014	(674.59)
MFC Ishares Trust, Russell 2000 Growth ETF	10,749.55	11,318.14	11/5/2015	8/12/2015	(568.59)
MFC Ishares Trust, S&P Midcap 400 Growth Index Fund	24,902.29	25,651.71	11/5/2015	8/12/2015	(749.42)

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<u>Assets Sold at a Gain</u>					
Morningstar Global Upstream National Residence Index Fund					
1,000 shares	\$ 27,247.30	\$ 31,965.00	7/30/2015	11/5/2014	\$ (4,717.70)
1,000 shares	25,589.52	31,965.00	11/5/2015	4/16/2015	(6,375.48)
Mosaic Company, common					
17 shares	772.94	869.89	4/17/2014	2/17/2015	(96.95)
National Oilwell Varco, Inc., common					
90 shares	4,689.79	5,774.30	2/13/2015	6/2/2014	(1,084.51)
Northern Ultra Short Term Fixed Income Fund					
9,813.54 shares	100,000.00	100,250.33	2/9/2015	11/3/2014	(250.33)
78,417.21 shares	799,071.40	801,071.29	2/10/2015	Various	(1,999.89)
Northern Global Real Estate Index Fund					
4,044.49	40,000.00	41,488.06	7/30/2015	11/3/2014	(1,488.06)
Northern Multi Manager Global Listed Infrastructure Fund					
846.74 shares	10,000.00	11,156.31	8/10/2015	11/3/2014	(1,156.31)
Nucor Corp., common					
210 shares	9,955.87	10,353.55	2/13/2015	3/21/2014	(397.68)

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<u>Description of Asset</u>	<u>Sales Price</u>	<u>Cost</u>	<u>Sales Date</u>	<u>Purchase Date</u>	<u>Gain/Loss</u>
<u>Assets Sold at a Gain</u>					
Schlumberger, Ltd., common 118 shares	\$ 8,504.10	\$ 9,581.59	12/9/2015	2/21/2013	\$ (1,077.49)
Windstream Holdings, Inc., common 102 shares	654.23	1,321.68	7/6/2015	2/17/2015	(667.45)
Yum Brands, Inc., common 190 shares	14,023.58	14,412.87	2/13/2015	4/30/2014	(389.29)
Total Sales Resulting in a Loss	\$ 1,311,229.72	\$ 1,352,621.05			\$ (41,391.33)
<u>Capital Gains Distributions</u>					
DFA United States Small Cap Portfolio	\$ 10.06	-	12/17/2015	12/7/2014	\$ 10.06
DFA United States Small Cap Portfolio	2,594.35	0.00	12/17/2015	Various	2,594.35
Harbor Fund Capital Appreciation Fund	2,053.59	0.00	12/17/2015	7/30/2015	2,053.59
Blackrock High Yield Bond Portfolio Institutional Class Fund	894.81	0.00	12/24/2015	11/5/2014	894.81
	<u>\$ 5,552.81</u>	<u>\$ -</u>			<u>\$ 5,552.81</u>

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2015 Annual Report - Form 990PF
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List of Charitable Grants

Name and Address of <u>Organization receiving Grant</u>	Status of Organization <u>Receiving Grant</u>	Purpose of the <u>Grant</u>	Amount of <u>the Grant</u>
At Home in Greenwich 139 East Putnam Avenue Greenwich, Connecticut 06830-5612	Public Charity	To assist people over the age of \$ 50 to continue to reside at home	2,500.00
Audubon Canyon Ranch 4900 Shoreline Highway One Stinson, Beach, California 94970	Public Charity	To protect nature through land preservation, education and conservation	2,500.00
CASA of Santa Cruz 813 Freedom Blvd. Watsonville, CA 95075	Public Charity	To advocate for abused, neglected or abandoned children	4,000.00
Chops Teen Club 509 Adams Street Santa Rosa, California	Public Charity	To provide support for programs benefiting the poor, homeless and addicted	2,500.00
Community Foundation Sonoma County 120 Stony Point Road, Suite 220 Santa Rosa, CA 95401	Public Charity	To provide charitable grants to organizations in Sonoma County	1,000.00
Community Initiatives Educators for Fair Consideration) 2130 Fillmore Street #248 San Francisco, CA 94115	Public Charity	To support education	6,000.00

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Congregation Beth Israel of Media, PA 542 South New Middletown Road, Media, Pennsylvania 19063	Public Charity	To promote religious education	\$ 2,000.00
Congregation Shomrei Torah 1717 Yulupa Avenue Santa Rosa, CA 95405	Public Charity	To support the Rabbi's discretionary fund	5,000.00
Cotuit Center for the Arts 4404 Falmouth Road Cotuit, MA 02635	Public Charity	To promote the performing arts	1,000.00
Domestic Abuse Project of Delaware County 14 West Second Street Media, Pennsylvania 19063	Public Charity	To prevent domestic violence and provide support to victims	1,000.00
Flagstaff Family Food Center 1903 North 2nd Street Flagstaff, Arizona 86004	Public Charity	To provide food to people in need	8,000.00
Hawaii Performing Arts Festival, Inc. 4011B Primavera Road Santa Barbara, CA 93110	Public Charity	To fund the training program and summer festival	2,400.00

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Immune Deficiency Foundation 40 West Chesapeake Avenue, Suite 308 Towson, Maryland 21204	Public Charity	To promote medical research	\$ 4,000.00
Jacobs Heart Children's Cancer Support Services 680 W Beach Street Watsonville, California 95076	Public Charity	To assist families whose children have cancer	500.00
Jewish Family and Children's Services 2150 Post Road San Francisco, CA 94115	Public Charity	To support various programs	2,500.00
Jewish Family Services of Greenwich One Holly Hill Lane Greenwich, Connecticut 06830	Public Charity	To fund the program called SuperMarketing for Seniors	3,500.00
Lankenau Hospital Foundation	Public Charity	To support medical treatment for	5,000.00
100 East Lancaster Avenue, MOB East Wynnewood, Pennsylvania 19096		individuals in needing financial assistance	
Leukemia and Lymphoma Society 3 International Drive, Suite 200 Rye Brook, NY 10573	Public Charity	To promote medical research	2,000.00

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Name and Address of <u>Organization receiving Grant</u>	Status of Organization <u>Receiving Grant</u>	Purpose of the <u>Grant</u>	Amount of <u>the Grant</u>
Live Oak Waldorf School 410 Crother Road Meadow Vista, CA 95722	Public Charity	To support the Aviary Beekeeping Program	\$ 600.00
Macular Vision Research Foundation One Tower Bridge 100 Front Street, #300 Conshohocken, PA 19428	Public Charity	To promote medical research	1,000.00
Mala'ai P.O. Box 6954 Kamuela, HI 96743	Public Charity	To support the general purposes of the organization	2,000.00
Neighbor to Neighbor 248 East Putnam Avenue Greenwich, CT 06830	Public Charity	To provide food to people in need	3,000.00
O'Neill Sea Odyssey 2222 East Cliff Drive, Suite 222 Santa Cruz, CA 95062	Public Charity	To educate people to protect the sea and marine life	2,000.00
Pennsylvania Ballet 1819 JFK Boulevard Philadelphia, PA 19103	Public Charity	To support special programs	10,000.00

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Name and Address of <u>Organization receiving Grant</u> PlayGround 268 Bush Street #2912 San Francisco, CA 94104	Status of Organization <u>Receiving Grant</u> Public Charity	Purpose of the <u>Grant</u> To promote the performing arts	Amount of <u>the Grant</u> 6,000.00
Seeds of Peace 370 Lexington Avenue, Suite 2103 New York, New York 10017	Public Charity	To support the Organization's summer program in Maine	1,000.00
Seymour Marine Discovery Center UC Santa Cruz Foundation 100 Shaffer Road Santa Cruz, CA 95060	Public Charity	To promote education	1,500.00
Shore Memorial Hospital Foundation 100 Medical Center Way Somers Point, NJ 08244	Public Charity	To promote medical services	5,000.00
The Berkeley School 1310 University Avenue Berkeley, CA 94702	Public Charity	To promote education	2,000.00
Tufts University Hillel 220 Packard Avenue Medford, MA 02155	Public Charity	To promote jewish culture and events	1,000.00

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Trustees of Tufts University Professors Row Medford, MA 02155	Public Charity	To promote education \$	2,000.00
University of Wisconsin Foundation Waisman Center Autism Research Fund 1848 University Avenue Madison, WI 53726-4090	Public Charity	To support the Waisman Center Autism Research Fund	6,500.00
Widener University One University Place Chester, PA 19113	Public Charity	To promote education	10,000.00
With a Little Help, Inc. 2021 Minor Avenue East, Suite A Seattle, Washington 98102	Public Charity	To provide in home services to senior citizens	500.00
The Yale Child Study Center 333 Cedar Street New Haven, Connecticut 06520	Public Charity	To fund research on Tourette Syndrome and Obsessive Compulsive Disorder	2,500.00
YWCA of Greenwich 259 East Putnam Avenue Greenwich, Connecticut 06830	Public Charity	To provide funding for a domestic abuse program	6,500.00
Total Grants for 2015		\$	<u>118,500.00</u>