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Form

990-PF

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

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

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Information about Form 990-PF and its instructions is at www.irs.gov/form990pf.

OMB No 1545-0052

2015

Open to Public Inspection

For calendar year 2015, or tax year beginning 01-01-2015, and ending 12-31-2015

Name of foundation DAVID L KLEIN JR FOUNDATION		A Employer identification number 13-6085432	
Number and street (or P O box number if mail is not delivered to street address) 16 E LANCASTER AVE NO 102		B Telephone number (see instructions) (800) 839-1754	
City or town, state or province, country, and ZIP or foreign postal code ARDMORE, PA 19003		C If exemption application is pending, check here ☐	
G Check all that apply ☐ Initial return ☐ Final return ☒ Address change		☐ Initial return of a former public charity ☐ Amended return ☐ 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		D 1. Foreign organizations, check here ☐ 2. Foreign organizations meeting the 85% test, check here and attach computation ☐	
I Fair market value of all assets at end of year (from Part II, col. (c), line 16) \$ 7,212,549		E If private foundation status was terminated under section 507(b)(1)(A), check here ☐	
J Accounting method ☒ Cash ☐ Accrual ☐ Other (specify) _____ (Part I, column (d) must be on cash basis.)		F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐	

Part I Analysis of Revenue and Expenses <i>(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions))</i>		Revenue and expenses per books (a)	Net investment income (b)	Adjusted net income (c)	Disbursements for charitable purposes (d) (cash basis only)
Revenue	1 Contributions, gifts, grants, etc , received (attach schedule)				
	2 Check ☒ if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments	69	69		
	4 Dividends and interest from securities	183,496	183,496		
	5a Gross rents				
	b Net rental income or (loss) _____				
	6a Net gain or (loss) from sale of assets not on line 10	117,135			
	b Gross sales price for all assets on line 6a 7,162,664				
	7 Capital gain net income (from Part IV, line 2) . . .		117,135		
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less returns and allowances				
Operating and Administrative Expenses	b Less Cost of goods sold				
	c Gross profit or (loss) (attach schedule)				
	11 Other income (attach schedule)				
	12 Total. Add lines 1 through 11	300,700	300,700		
	13 Compensation of officers, directors, trustees, etc	0	0		0
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees (attach schedule).				
	b Accounting fees (attach schedule).				
	c Other professional fees (attach schedule)	28,042	28,042		0
	17 Interest				
	18 Taxes (attach schedule) (see instructions) . . .	20,572	0		0
	19 Depreciation (attach schedule) and depletion . . .				
	20 Occupancy				
	21 Travel, conferences, and meetings.				
	22 Printing and publications				
	23 Other expenses (attach schedule).	44,709	0		44,709
	24 Total operating and administrative expenses.				
	Add lines 13 through 23	93,323	28,042		44,709
	25 Contributions, gifts, grants paid	312,000			312,000
	26 Total expenses and disbursements. Add lines 24 and 25	405,323	28,042		356,709
	27 Subtract line 26 from line 12				
	a Excess of revenue over expenses and disbursements	-104,623			
	b Net investment income (if negative, enter -0-)		272,658		
	c Adjusted net income (if negative, enter -0-) . . .				

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			
	2	Savings and temporary cash investments	1,267,326	142,795	142,795
	3	Accounts receivable ▶ _____			
		Less allowance for doubtful accounts ▶ _____			
	4	Pledges receivable ▶ _____			
		Less allowance for doubtful accounts ▶ _____			
	5	Grants receivable			
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions).			
	7	Other notes and loans receivable (attach schedule) ▶ _____			
		Less allowance for doubtful accounts ▶ _____			
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges			
	10a	Investments—U S and state government obligations (attach schedule)			
	b	Investments—corporate stock (attach schedule)	6,141,024 	3,837,024	3,830,887
	c	Investments—corporate bonds (attach schedule)	0 	3,312,722	3,238,867
	11	Investments—land, buildings, and equipment basis ▶ _____			
		Less accumulated depreciation (attach schedule) ▶ _____			
	12	Investments—mortgage loans.			
	13	Investments—other (attach schedule)			
	14	Land, buildings, and equipment basis ▶ _____			
		Less accumulated depreciation (attach schedule) ▶ _____			
	15	Other assets (describe ▶ _____)			
	16	Total assets (to be completed by all filers—see the instructions Also, see page 1, item I)	7,408,350	7,292,541	7,212,549

Liabilities	17	Accounts payable and accrued expenses			
	18	Grants payable			
	19	Deferred revenue			
	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable (attach schedule).			
	22	Other liabilities (describe ▶ _____)			
	23	Total liabilities (add lines 17 through 22)	0	0	

Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ ☐				
	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	0	0	
	28	Paid-in or capital surplus, or land, bldg , and equipment fund	0	0	
	29	Retained earnings, accumulated income, endowment, or other funds	7,408,350	7,292,541	
	30	Total net assets or fund balances (see instructions)	7,408,350	7,292,541	
	31	Total liabilities and net assets/fund balances (see instructions)	7,408,350	7,292,541	

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	7,408,350
2	Enter amount from Part I, line 27a	2	-104,623
3	Other increases not included in line 2 (itemize) ▶ _____	3	0
4	Add lines 1, 2, and 3	4	7,303,727
5	Decreases not included in line 2 (itemize) ▶ _____ 	5	11,186
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	7,292,541

Part IV

Capital Gains and Losses for Tax on Investment Income

List and describe the kind(s) of property sold (e g , real estate, (a) 2-story brick warehouse, or common stock, 200 shs MLC Co)		How acquired P—Purchase (b) D—Donation	Date acquired (c) (mo , day, yr)	Date sold (d) (mo , day, yr)
1a	See Additional Data Table			
b				
c				
d				
e				

(e) Gross sales price	Depreciation allowed (f) (or allowable)	Cost or other basis (g) plus expense of sale	Gain or (loss) (h) (e) plus (f) minus (g)
a See Additional Data Table			
b			
c			
d			
e			

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

2	Capital gain net income or (net capital loss)	If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7	2	117,135
3	Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) (see instructions) If (loss), enter -0- in Part I, line 8		3	

Part V

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

(For optional use by domestic private foundations subject to the section 4940(a) tax on net investment income)
If section 4940(d)(2) applies, leave this part blank

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period? ☐ Yes ☒ No
If "Yes," the foundation does not qualify under section 4940(e) Do not complete this part

1 Enter the appropriate amount in each column for each year, see 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	362,131	7,049,652	0 051369
2013	414,719	6,853,158	0 060515
2012	6,961,355	8,831,748	0 788219
2011	934,380	13,599,479	0 068707
2010	884,596	13,214,659	0 066941

2	Total of line 1, column (d).	2	1 035751
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 207150
4	Enter the net value of noncharitable-use assets for 2015 from Part X, line 5.	4	7,594,638
5	Multiply line 4 by line 3.	5	1,573,229
6	Enter 1% of net investment income (1% of Part I, line 27b).	6	2,727
7	Add lines 5 and 6.	7	1,575,956
8	Enter qualifying distributions from Part XII, line 4.	8	356,709

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

Part VI

Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948—see page 18 of the instructions)

1a

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 instructions)

b

Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☐ and enter 1% of Part I, line 27b

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-)

3

Add lines 1 and 2.

4

Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)

5

Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-

6

Credits/Payments

a

2015 estimated tax payments and 2014 overpayment credited to 2015

6a

1,500

b

Exempt foreign organizations—tax withheld at source.

6b

c

Tax paid with application for extension of time to file (Form 8868).

6c

d

Backup withholding erroneously withheld.

6d

7

Total credits and payments. Add lines 6a through 6d.

8

Enter any **penalty** for underpayment of estimated tax. Check here ☐ if Form 2220 is attached.

9

Tax due. If the total of lines 5 and 8 is more than line 7, enter **amount owed**

10

Overpayment. If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid**.

11

Enter the amount of line 10 to be **Credited to 2015 estimated tax** ☐ **Refunded** ☐

1	5,453
2	0
3	5,453
4	0
5	5,453
6a	1,500
6b	
6c	
6d	
7	1,500
8	92
9	4,045
10	
11	

Part VII-A

Statements Regarding Activities

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?

1a

No

b

Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see Instructions for 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.

1b

No

c

Did the foundation file **Form 1120-POL** for this year?

1c

No

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.

2

No

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*

3

No

4a

Did the foundation have unrelated business gross income of \$1,000 or more during the year?

4a

No

b

If "Yes," has it filed a tax return on **Form 990-T** for this year?

4b

5

Was there a liquidation, termination, dissolution, or substantial contraction during the year?
If "Yes," attach the statement required by General Instruction T.

5

No

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?

6

Yes

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.*

7

Yes

8a

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? *If "No," attach explanation.*

8b

Yes

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)?
If "Yes," complete Part XIV

9

No

10

Did any persons become substantial contributors during the tax year? *If "Yes," attach a schedule listing their names and addresses.*

10

No

Part VII-A

Statements Regarding Activities *(continued)*

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions).	11		No
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		No
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ▶N/A	13	Yes	
14	The books are in care of ▶PEMBROKE PHILANTHROPY ADVISORS Telephone no ▶(610) 896-3868 Located at ▶16 E LANCASTER AVENUE SUITE 102 ARDMORE PA ZIP+4 ▶19003			
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		
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 instructions for exceptions and filing requirements for FinCEN Form 114, Report of Foreign Bank and Financial Accounts (FBAR) If "Yes", enter the name of the foreign country ▶	16	Yes	No

Part VII-B

Statements Regarding Activities for Which Form 4720 May Be Required

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.			Yes	No
1a	During the year did the foundation (either directly or indirectly)			
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person? ☐ 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. ▶ ☐	1b		
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2015? ☐	1c		No
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))			
a	At the end of tax year 2015, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2015? ☐ Yes ☒ No If "Yes," list the years ▶ 20____, 20____, 20____, 20____			
b	Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement—see instructions). ☐	2b		
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here ▶ 20____, 20____, 20____, 20____			
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☐ 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? (<i>Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2015.</i>) ☐	3b		
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a		No
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2015?	4b		No

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)?

5b

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

c

If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?

☐ 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

No

If "Yes" to 6b, file Form 8870.

7a

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

☐ Yes ☒ No

b

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

7b

Part VIII

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

1

List all officers, directors, trustees, foundation managers and their compensation (see instructions).

(a) Name and address	Title, and average hours per week (b) devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	Expense account, (e) other allowances
JANE BARNET C/O PEMBROKE PHILANTHROPY 16 E LANCASTER AVE STE 102 ARDMORE, PA 19003	PRESIDENT 1 00	0	0	0
HOWARD BARNET C/O PEMBROKE PHILANTHROPY 16 E LANCASTER AVE STE 102 ARDMORE, PA 19003	TREASURER 1 00	0	0	0
PETER BARNET C/O PEMBROKE PHILANTHROPY 16 E LANCASTER AVE STE 102 ARDMORE, PA 19003	SECRETARY 1 00	0	0	0
GEOFFREY BARNET C/O PEMBROKE PHILANTHROPY 16 E LANCASTER AVE STE 102 ARDMORE, PA 19003	MEMBER 1 00	0	0	0

2

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

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

Total

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

0

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Part VIII

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

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

(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
NONE		
Total number of others receiving over \$50,000 for professional services. 		0

Part IX-A

Summary of Direct Charitable Activities

List the foundation's four largest direct charitable activities during the tax year. Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc.	Expenses
1	
2	
3	
4	

Part IX-B

Summary of Program-Related Investments (see instructions)

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2	Amount
1	
2	
All other program-related investments. See instructions.	
3	
Total. Add lines 1 through 3 	0

Part X

Minimum Investment Return

(All domestic foundations must complete this part. Foreign foundations,see instructions.)

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc , purposes		
a	Average monthly fair market value of securities.	1a	6,972,435
b	Average of monthly cash balances.	1b	737,857
c	Fair market value of all other assets (see instructions).	1c	0
d	Total (add lines 1a, b, and c).	1d	7,710,292
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation).	1e	0
2	Acquisition indebtedness applicable to line 1 assets.	2	0
3	Subtract line 2 from line 1d.	3	7,710,292
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	115,654
5	Net value of noncharitable-use assets. Subtract line 4 from line 3 Enter here and on Part V, line 4	5	7,594,638
6	Minimum investment return. Enter 5% of line 5.	6	379,732

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	379,732
2a	Tax on investment income for 2015 from Part VI, line 5.	2a	5,453
b	Income tax for 2015 (This does not include the tax from Part VI).	2b	
c	Add lines 2a and 2b.	2c	5,453
3	Distributable amount before adjustments Subtract line 2c from line 1.	3	374,279
4	Recoveries of amounts treated as qualifying distributions.	4	0
5	Add lines 3 and 4.	5	374,279
6	Deduction from distributable amount (see instructions).	6	0
7	Distributable amount as adjusted Subtract line 6 from line 5 Enter here and on Part XIII, line 1.	7	374,279

Part XII

Qualifying Distributions (see instructions)

1	Amounts paid (including administrative expenses) to accomplish charitable, etc , purposes		
a	Expenses, contributions, gifts, etc —total from Part I, column (d), line 26.	1a	356,709
b	Program-related investments—total from Part IX-B.	1b	0
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc , purposes.	2	
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required).	3a	
b	Cash distribution test (attach the required schedule).	3b	
4	Qualifying distributions. Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4	4	356,709
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	0
6	Adjusted qualifying distributions. Subtract line 5 from line 4.	6	356,709

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				374,279
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.	276,711			
b From 2011.	264,308			
c From 2012.	6,526,564			
d From 2013.	88,338			
e From 2014.	32,827			
f Total of lines 3a through e.	7,188,748			
4 Qualifying distributions for 2015 from Part XII, line 4				
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.				356,709
e Remaining amount distributed out of corpus	0			
5 Excess distributions carryover applied to 2015 (If an amount appears in column (d), the same amount must be shown in column (a).)	17,570			17,570
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	7,171,178			
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 2016 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2015.				0
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions).	0			
8 Excess distributions carryover from 2010 not applied on line 5 or line 7 (see instructions).	259,141			
9 Excess distributions carryover to 2016. Subtract lines 7 and 8 from line 6a.	6,912,037			
10 Analysis of line 9				
a Excess from 2011.	264,308			
b Excess from 2012.	6,526,564			
c Excess from 2013.	88,338			
d Excess from 2014.	32,827			
e Excess from 2015.				

Part XIV

b Check box to indicate whether the organization is a private operating foundation described in section 170(c)(2)(B)(i) or 170(c)(2)(B)(ii): ☐ 170(c)(2)(B)(i) or ☐ 170(c)(2)(B)(ii)

b 85% of line 2a

d Amounts included in line 2c not used directly for active conduct of exempt activities

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

1

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))

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

2

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 email 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	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a Paid during the year See Additional Data Table				
Total			3a	312,000
b Approved for future payment				
Total			3b	0

Enter gross amounts unless otherwise indicated

Part XVI-B Relationship of Activities to the Accomplishment of Exempt Purposes

Form **990-PF** (2015)

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

List and describe the kind(s) of property sold (e g , real estate, (a) 2-story brick warehouse, or common stock, 200 shs MLC Co)	(b) How acquired P—Purchase D—Donation	Date acquired (c) (mo , day, yr)	(d) Date sold (mo , day, yr)
DFA COMMODITY STRATEGY PORT	P		2015-08-31
DFA INTL REAL ESTATE SECURITIES PORT INSTL	P		2015-08-27
VANGUARD REIT ETF	P		2015-08-27
VANGUARD SHORT INFLATION PROT ETF IV	P		2015-08-27
VANGUARD SHORT TERM BOND INDEX FUND ADMIRAL SHARES	P		2015-08-27
VANGUARD TOTAL BOND MKT INDEX ADMIRAL SH	P		2015-08-27
VANGUARD TOTAL WORLD STOCK ETF	P		2015-08-27
THERMO FISHER SCIENTIFIC INC 3 2% 03/01/16	P		2015-12-15
ANALOG DEVICES, INC 3 0% 04/15/16	P		2015-12-18

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
496,938		686,121	-189,183
138,994		147,411	-8,417
237,523		219,866	17,657
234,851		243,459	-8,608
550,028		555,115	-5,087
1,551,216		1,580,140	-28,924
3,751,746		3,412,312	339,434
100,580		100,945	-365
100,788		100,160	628

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			-189,183
			-8,417
			17,657
			-8,608
			-5,087
			-28,924
			339,434
			-365
			628

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
AAMC FOUNDATION 174 E 80TH STREET NEW YORK,NY 100750439		PC	GENERAL OPERATING SUPPORT	5,000
BREAKTHROUGH NEW YORK INC 123 WILLIAM STREET 4TH FLOOR NEW YORK,NY 100383804		PC	GENERAL OPERATING SUPPORT	10,000
BROOKLYN ACADEMY OF MUSIC INC 30 LAFAYETTE AVENUE BROOKLYN,NY 112171430		PC	LES FETES VENITIENNES	20,000
CHINATOWN HEALTH CLINIC FOUNDATION INC 268 CANAL STREET NEW YORK,NY 100133599		PC	HEPATITIS B CHALLENGE	2,000
CONNECTICUT COLLEGE 270 MOHEGAN AVENUE NEW LONDON,CT 063204125		PC	\$4,000 - UNRESTRICTED/CONNECTICUT COLLEGE FUND \$1,000 - MEN'S LACROSSE	5,000
CORNWALL LIBRARY ASSOCIATION PO BOX 126 CORNWALL,CT 067530126		PC	GENERAL OPERATING SUPPORT	1,000
ELECTRONIC FRONTIER FOUNDATION INC 815 EDDY STREET SAN FRANCISCO,CA 941097701		PC	GENERAL OPERATING SUPPORT	2,000
EVERYTOWN FOR GUN SAFETY SUPPORT FUND INC PO BOX 4184 NEW YORK,NY 101634184		PC	GENERAL OPERATING SUPPORT	2,500
EVERYTOWN FOR GUN SAFETY SUPPORT FUND INC PO BOX 4184 NEW YORK,NY 101634184		PC	GENERAL OPERATING SUPPORT	5,000
FAMILLIES ADVOCATING FOR CAMPUS EQUALITY 2543 32ND STREET S FARGO,ND 581037821		PC	GENERAL OPERATING SUPPORT	2,000
FRICK COLLECTION 1 E 70TH STREET SERVICE ENT NEW YORK,NY 10021		PC	WATTEAU'S SOLDIERS SCENES OF MILITARY LIFE IN EIGHTEENTH CENTURY FRANCE	25,000
FRIENDS SEMINARY 222 E 16TH STREET NEW YORK,NY 100033703		PC	SENIOR CLASS GIFT FUND	3,000
GIVEDIRECTLY INC CHURCH STREET STATION PO BOX 3221 NEW YORK,NY 10008		PC	GENERAL OPERATING SUPPORT	2,000
HOUSATONIC VALLEY ASSOCIATION INC PO BOX 28 CORNWALL BRG,CT 067540028		PC	GENERAL OPERATING SUPPORT	25,000
INTERNATIONAL CENTER OF MEDIEVAL ART INC FORT TRYON PARK NEW YORK,NY 10040		PC	GENERAL OPERATING SUPPORT	5,000
Total			3a	312,000

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
INTERNATIONAL FOUNDATION FOR ART RESEARCH INC 500 5TH AVENUE SUITE 935 NEW YORK,NY 101100902		PC	SYMPOSIUM ON SCIENCE AND ART	20,000
LOWER EAST SIDE TENEMENT MUSEUM 91 ORCHARD STREET NEW YORK,NY 100023132		PC	YOUR STORY, OUR STORIES	20,000
MANITOGA INC PO BOX 249 GARRISON,NY 105240249		PC	GENERAL OPERATING SUPPORT	2,500
MARIN COMMUNITY FOUNDATION 5 HAMILTON LANDING SUITE 200 NOVATO,CA 949498263		PC	GENERAL OPERATING SUPPORT	2,500
MARTHAS TABLE 2114 14TH STREET NW WASHINGTON,DC 20009		PC	GENERAL OPERATING SUPPORT	2,000
MELANOMA RESEARCH ALLIANCE FOUNDATION 1101 NEW YORK AVENUE NW SUITE 620 WASHINGTON,DC 200054290		SO I	YOUNG INVESTIGATOR AWARD	40,000
MEMORIAL SLOAN-KETTERING CANCER CENTER 1275 YORK AVENUE NEW YORK,NY 100656007		NC	CYCLE FOR SURVIVAL/TEAM HOPP	500
MOUNT SINAI SCHOOL OF MEDICINE - VISITING DOCTORS PROGRAM ONE GUSTAVE L LEVY PLACE BOX 1049 NEW YORK,NY 10029		PC	COMMUNITY PARAMEDICINE	20,000
NEW YORKERS FOR PARKS 55 BROAD STREET NO 23 FL NEW YORK,NY 100042501		PC	GENERAL OPERATING SUPPORT	25,000
NORTH COUNTRY SCHOOL INC 4382 CASCADE ROAD LAKE PLACID,NY 129464145		NC	CAMP TREEHTOPS EILEEN ROCKEFELLER CHALLENGE	2,500
OBERLIN COLLEGE 173 W LORAIN STREET OBERLIN,OH 440741057		PC	LES NEUFS SCHOLARSHIP	3,000
PLANNED PARENTHOOD LEAGUE OF MASSACHUSETTS INC 1055 COMMONWEALTH AVENUE BOSTON,MA 022151001		PC	GENERAL OPERATING SUPPORT	2,000
PLANNED PARENTHOOD OF NEW YORK CITY INC 26 BLEECKER STREET NEW YORK,NY 100122413		PC	GENERAL OPERATING SUPPORT	3,000
POMONA COLLEGE 150 E EIGHTH ST PENDLETON BUILDING 108 CLAREMONT,CA 91711		PC	GENERAL OPERATING SUPPORT	3,000
REDWOOD HIGH SCHOOL FOUNDATION 395 DOHERTY DRIVE LARKSPUR,CA 949391536		PC	GENERAL OPERATING SUPPORT	2,500
Total				312,000

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
SOCIETY OF THE THIRD STREET MUSIC SCHOOL SETTLEMENT INC 235 E 11TH STREET NEW YORK,NY 100037305		PC	GENERAL OPERATING SUPPORT	5,000
STANFORD UNIVERSITY PO BOX 20466 STANFORD,CA 94309		PC	GENERAL OPERATING SUPPORT	2,000
STEEP ROCK ASSOCIATION INC PO BOX 279 WASHINGTON DT,CT 067940279		PC	GENERAL OPERATING SUPPORT	2,000
THE NEW SCHOOL 80 FIFTH AVENUE NEW YORK,NY 100118002		PC	INSIDESCHOOLS.ORG	15,000
YALE LAW SCHOOL YALE LAW SCHOOL FUND PO BOX 208341 NEW HAVEN,CT 065190611		PC	GENERAL OPERATING SUPPORT	5,000
YOUNG MENS & YOUNG WOMENS HEBREW ASSOCIATION 1395 LEXINGTON AVENUE NEW YORK,NY 101281612		PC	92ND STREET Y MUSICAL INTRODUCTION SERIES	20,000
Total			3a	312,000

TY 2015 Investments Corporate Bonds Schedule

Name: DAVID L KLEIN JR FOUNDATION

EIN: 13-6085432

Name of Bond	End of Year Book Value	End of Year Fair Market Value
GOLDMAN SACHS	3,312,722	3,238,867

TY 2015 Investments Corporate Stock Schedule**Name:** DAVID L KLEIN JR FOUNDATION**EIN:** 13-6085432

Name of Stock	End of Year Book Value	End of Year Fair Market Value
SCHWAB: DFA COMMODITY STRATEGY PORTFOLIO	0	0
SCHWAB: DFA INTERNATIONAL REAL ESTATE FUND	0	0
SCHWAB: VANGUARD SF REIT ETF	0	0
SCHWAB: VANGUARD SHORT-TERM INFLATION	0	0
SCHWAB: VANGUARD SHORT-TERM BOND INDEX	0	0
SCHWAB: VANGUARD TOTAL BOND MARKET INDEX	0	0
SCHWAB: VANGUARD TOTAL WORLD STK INDEX	0	0
GOLDMAN SACHS	3,837,024	3,830,887

TY 2015 Other Decreases Schedule

Name: DAVID L KLEIN JR FOUNDATION

EIN: 13-6085432

Description	Amount
COST BASIS ADJUSTMENT	11,186

TY 2015 Other Expenses Schedule

Name: DAVID L KLEIN JR FOUNDATION

EIN: 13-6085432

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
ADMINISTRATION FEES	44,459	0		44,459
STATE FILING FEES	250	0		250

TY 2015 Other Professional Fees Schedule

Name: DAVID L KLEIN JR FOUNDATION

EIN: 13-6085432

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
	28,042	28,042		0

TY 2015 Taxes Schedule

Name: DAVID L KLEIN JR FOUNDATION

EIN: 13-6085432

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
990-PF	20,572	0		0