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

Name of foundation THE ROTHBERT FUND INC		A Employer identification number 13-6162570	
Number and street (or P O box number if mail is not delivered to street address) 475 RIVERSIDE DRIVE SUITE 1622		Room/suite	
City or town, state or province, country, and ZIP or foreign postal code NEW YORK, NY 10115		B Telephone number (see instructions)	
G Check all that apply <input type="checkbox"/> Initial return <input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Final return <input type="checkbox"/> Amended return <input type="checkbox"/> Address change <input type="checkbox"/> Name change		C If exemption application is pending, check here <input type="checkbox"/>	
H Check type of organization <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation		D 1. Foreign organizations, check here <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/> E If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/>	
I Fair market value of all assets at end of year (from Part II, col (c), line 16) ▶ \$ 4,687,310		F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>	
J Accounting method <input type="checkbox"/> Cash <input type="checkbox"/> Accrual <input checked="" type="checkbox"/> Other (specify) <u>MODIFIED CASH</u> (Part I, column (d) must be on cash basis)			

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)	2,621			
	2 Check ▶ <input checked="" type="checkbox"/> if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments				
	4 Dividends and interest from securities	120,488	120,488		
	5a Gross rents				
	b Net rental income or (loss) _____				
	6a Net gain or (loss) from sale of assets not on line 10 	154,478			
	b Gross sales price for all assets on line 6a 618,836				
	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				
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	277,587	120,488		
	13 Compensation of officers, directors, trustees, etc				
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees (attach schedule).				
	b Accounting fees (attach schedule). 	7,500	5,000		2,500
	c Other professional fees (attach schedule) 	13,524	13,524		
	17 Interest				
	18 Taxes (attach schedule) (see instructions) 	2,799	768		
	19 Depreciation (attach schedule) and depletion				
	20 Occupancy	9,853			9,853
	21 Travel, conferences, and meetings.	863			863
	22 Printing and publications				
	23 Other expenses (attach schedule). 	53,018			53,018
	24 Total operating and administrative expenses. Add lines 13 through 23	87,557	19,292		66,234
	25 Contributions, gifts, grants paid	142,025			142,025
	26 Total expenses and disbursements. Add lines 24 and 25	229,582	19,292		208,259
	27 Subtract line 26 from line 12				
	a Excess of revenue over expenses and disbursements	48,005			
	b Net investment income (if negative, enter -0-)		101,196		
	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		314,242	294,832	294,832
	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)		304,818	458,215	460,485
	b	Investments—corporate stock (attach schedule)		1,990,945	2,116,939	3,012,946
	c	Investments—corporate bonds (attach schedule)		1,079,027	876,419	919,047
	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 ▶ _____)		55	1,879		
16	Total assets (to be completed by all filers—see the instructions Also, see page 1, item I)		3,689,087	3,748,284	4,687,310	
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	
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here <input checked="" type="checkbox"/> and complete lines 24 through 26 and lines 30 and 31.					
	24	Unrestricted		3,665,253	3,725,180	
	25	Temporarily restricted		23,834	23,104	
	26	Permanently restricted				
	Foundations that do not follow SFAS 117, check here <input type="checkbox"/> and complete lines 27 through 31.					
	27	Capital stock, trust principal, or current funds				
	28	Paid-in or capital surplus, or land, bldg, and equipment fund				
	29	Retained earnings, accumulated income, endowment, or other funds				
	30	Total net assets or fund balances (see instructions)		3,689,087	3,748,284	
	31	Total liabilities and net assets/fund balances (see instructions)		3,689,087	3,748,284	

Part III Analysis of Changes in Net Assets or Fund Balances			
1	Total net assets or fund balances at beginning of year—Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return)	1	3,689,087
2	Enter amount from Part I, line 27a	2	48,005
3	Other increases not included in line 2 (itemize) ▶ _____	3	11,192
4	Add lines 1, 2, and 3	4	3,748,284
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	3,748,284

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				
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			
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			
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	
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	221,693	4,802,625	0 046161
2013	215,742	4,488,739	0 048063
2012	204,750	4,244,082	0 048244
2011	210,584	4,388,570	0 047985
2010	220,643	4,212,306	0 052381

2	Total of line 1, column (d).	2	0 242834
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 048567
4	Enter the net value of noncharitable-use assets for 2015 from Part X, line 5.	4	4,760,843
5	Multiply line 4 by line 3.	5	231,220
6	Enter 1% of net investment income (1% of Part I, line 27b).	6	1,012
7	Add lines 5 and 6.	7	232,232
8	Enter qualifying distributions from Part XII, line 4.	8	208,259

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 VII

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 <input type="checkbox"/> and enter "N/A" on line 1			
		Date of ruling or determination letter _____ (attach copy of letter if necessary—see instructions)			
b		Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input type="checkbox"/> and enter 1% of Part I, line 27b		1	2,024
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	
3		Add lines 1 and 2.		3	2,024
4		Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		4	
5		Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-		5	2,024
6		Credits/Payments			
a		2015 estimated tax payments and 2014 overpayment credited to 2015	6a	4,651	
b		Exempt foreign organizations—tax withheld at source	6b		
c		Tax paid with application for extension of time to file (Form 8868).	6c		
d		Backup withholding erroneously withheld	6d		
7		Total credits and payments. Add lines 6a through 6d.		7	4,651
8		Enter any penalty for underpayment of estimated tax. Check here <input checked="" type="checkbox"/> if Form 2220 is attached		8	7
9		Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed		9	
10		Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid.		10	2,620
11		Enter the amount of line 10 to be Credited to 2015 estimated tax <input type="checkbox"/> 2,620 Refunded <input type="checkbox"/>		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?			Yes	No
				1a		No
b		Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see Instructions for definition)?				No
		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				
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 <input type="checkbox"/> \$ _____ (2) On foundation managers <input type="checkbox"/> \$ _____				
e		Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers <input type="checkbox"/> \$ _____				
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) <input type="checkbox"/> 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 ►ROOTHBERTFUND.ORG	13	Yes	
14	The books are in care of ►CORPORATION Telephone no ►(212) 870-3206 Located at ►475 RIVERSIDE DRIVE NEW YORK NY ZIP+4 ►10115			
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	No 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? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days). <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
b	If any answer is "Yes" to 1a(1)–(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? Organizations relying on a current notice regarding disaster assistance check here. ►	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		
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? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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).	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)? ☐ Yes ☒ No **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? ☐ Yes ☒ No **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? ☐ Yes ☒ No **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
See Additional Data Table				

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	(d) Contributions to employee benefit plans and deferred compensation	Expense account, (e) other allowances
NONE				

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

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. ▶

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 N/A	
2 _____	

All other program-related investments. See instructions.	
3 _____	

Total. Add lines 1 through 3 ▶

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	4,599,269
b	Average of monthly cash balances.	1b	234,074
c	Fair market value of all other assets (see instructions).	1c	0
d	Total (add lines 1a, b, and c).	1d	4,833,343
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation).	1e	
2	Acquisition indebtedness applicable to line 1 assets.	2	
3	Subtract line 2 from line 1d.	3	4,833,343
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	72,500
5	Net value of noncharitable-use assets. Subtract line 4 from line 3 Enter here and on Part V, line 4	5	4,760,843
6	Minimum investment return. Enter 5% of line 5.	6	238,042

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	238,042
2a	Tax on investment income for 2015 from Part VI, line 5.	2a	2,024
b	Income tax for 2015 (This does not include the tax from Part VI).	2b	
c	Add lines 2a and 2b.	2c	2,024
3	Distributable amount before adjustments Subtract line 2c from line 1.	3	236,018
4	Recoveries of amounts treated as qualifying distributions.	4	
5	Add lines 3 and 4.	5	236,018
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	236,018

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	208,259
b	Program-related investments—total from Part IX-B.	1b	
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	208,259
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	208,259

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				236,018
2 Undistributed income, if any, as of the end of 2015				
a Enter amount for 2014 only.			153,520	
b Total for prior years 20____, 20____, 20____				
3 Excess distributions carryover, if any, to 2015				
a From 2010.				
b From 2011.				
c From 2012.				
d From 2013.				
e From 2014.				
f Total of lines 3a through e.				
4 Qualifying distributions for 2015 from Part XII, line 4 ▶ \$ 208,259				
a Applied to 2014, but not more than line 2a			153,520	
b Applied to undistributed income of prior years (Election required—see instructions).				
c Treated as distributions out of corpus (Election required—see instructions).				
d Applied to 2015 distributable amount.				54,739
e Remaining amount distributed out of corpus				
5 Excess distributions carryover applied to 2015 (If an amount appears in column (d), the same amount must be shown in column (a))				
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5				
b Prior years' undistributed income Subtract line 4b from line 2b.				
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.				
d Subtract line 6c from line 6b Taxable amount—see instructions				
e Undistributed income for 2014 Subtract line 4a from line 2a Taxable amount—see instructions				
f Undistributed income for 2016 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2015.				181,279
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).				
8 Excess distributions carryover from 2010 not applied on line 5 or line 7 (see instructions).				
9 Excess distributions carryover to 2016. Subtract lines 7 and 8 from line 6a.				
10 Analysis of line 9				
a Excess from 2011.				
b Excess from 2012.				
c Excess from 2013.				
d Excess from 2014.				
e Excess from 2015.				

1a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2015, enter the date of the ruling. . . . ►

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

	Tax year	Prior 3 years			(e) Total
	(a) 2015	(b) 2014	(c) 2013	(d) 2012	
2a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed					
b 85% of line 2a					
c Qualifying distributions from Part XII, line 4 for each year listed					
d Amounts included in line 2c not used directly for active conduct of exempt activities					
e Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c					
3 Complete 3a, b, or c for the alternative test relied upon					
a "Assets" alternative test—enter					
(1) Value of all assets					
(2) Value of assets qualifying under section 4942(j)(3)(B)(i)					
b "Endowment" alternative test— enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed.					
c "Support" alternative test—enter					
(1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)					
(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii).					
(3) Largest amount of support from an exempt organization					
(4) Gross investment income					

Part XV **Supplementary Information (Complete this part only if the organization had \$5,000 or more in assets at any time during the year—see instructions.)**

1 Information Regarding Foundation Managers:

- a** List any managers of the foundation who have contributed more than 2% of the total contributions received by the foundation before the close of any tax year (but only if they have contributed more than \$5,000) (See section 507(d)(2))
-
- 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 Information Regarding Contribution, Grant, Gift, Loan, Scholarship, etc., Programs:

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

- a** The name, address, and telephone number or e-mail address of the person to whom applications should be addressed
- THE ROTHBERT FUND
475 RIVERSIDE DR
ROOM 252
NEW YORK, NY 101150252
(212) 870-3116
-
- b** The form in which applications should be submitted and information and materials they should include
- A FOUR-PAGE SCHOLARSHIP APPLICATION IS AVAILABLE ON-LINE OR FROM THE OFFICE IT REQUIRES PERSONAL INFORMATION, EDUCATIONAL STATUS, EDUCATIONAL HISTORY, BACKGROUND (EMPLOYMENT) INFORMATION, FINANCIAL INFORMATION ON EDUCATIONAL EXPENSES AND RESOURCES, PRESENT ACTIVITIES, THREE RECOMMENDATION LETTERS AND TWO ESSAYS ON AUTOBIOGRAPHICAL INFORMATION A SELECTION OF APPLICANTS ARE INTERVIEWED BY BOARD MEMBERS SUCCESSFUL GRANTEES ARE SELECTED FROM THIS GROUP BY THE SCHOLARSHIP COMMITTEE PREVIOUS GRANTEES SEEKING CONTINUING SUPPORT FOR THEIR EDUCATION SUBMIT A TWO PAGE SCHOLARSHIP RENEWAL APPLICATION, WHICH UPDATES THEIR INFORMATION, FINANCES, AND PERSONAL DEVELOPMENT OVER THE PREVIOUS YEAR
-
- c** Any submission deadlines
- APPLICATIONS MUST BE RECEIVED BY FEBRUARY 1 FOR THE AWARDS THAT ARE GENERALLY FUNDED IN THE JULY - A
-
- d** Any restrictions or limitations on awards, such as by geographical areas, charitable fields, kinds of institutions, or other factors
- THE ROTHBERT FUND MAKES TWO TYPES OF GRANTS 1 SCHOLARSHIP GRANTS FOR GRADUATE AND UNDERGRADUATE STUDY APPLICANTS FOR THESE GRANTS ARE REQUIRED TO COMPLETE THE APPROPRIATE APPLICATION 2 FELLOWSHIP GRANTS TO ORGANIZATIONS QUALIFIED UNDER I R C SECTION 501(C)(3) ON BEHALF OF FELLOWS, INDIVIDUALLY OR IN GROUPS, WHO ARE NO LONGER RECEIVING SCHOLARSHIP GRANTS QUALIFYING FELLOWS MAY APPLY FOR THESE GRANTS AT ANY TIME AND THEIR APPLICATIONS ARE REVIEWED AND ACTED UPON BY A COMMITTEE MADE UP OF MEMBERS OR FORMER MEMBERS OF THE BOARD OF DIRECTORS OF THE FUND

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)				
<div>a Paid during the year</div> <div>See Additional Data Table</div>				
<div>Total</div>			<div>3a</div>	142,025
<div>b Approved for future payment</div>				
<div>Total</div>			<div>3b</div>	

Enter gross amounts unless otherwise indicated

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

[illegible]

1. Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?

a Transfers from the reporting foundation to a noncharitable exempt organization of			
(1) Cash.		1a(1)	No
(2) Other assets.		1a(2)	No
b Other transactions			
(1) Sales of assets to a noncharitable exempt organization.		1b(1)	No
(2) Purchases of assets from a noncharitable exempt organization.		1b(2)	No
(3) Rental of facilities, equipment, or other assets.		1b(3)	No
(4) Reimbursement arrangements.		1b(4)	No
(5) Loans or loan guarantees.		1b(5)	No
(6) Performance of services or membership or fundraising solicitations.		1b(6)	No
c Sharing of facilities, equipment, mailing lists, other assets, or paid employees.		1c	No
d If the answer to any of the above is "Yes," complete the following schedule. Column (b) should always show the fair market value of the goods, other assets, or services given by the reporting foundation. If the foundation received less than fair market value in any transaction or sharing arrangement, show in column (d) the value of the goods, other assets, or services received.			

[illegible]

2a Is the foundation directly or indirectly affiliated with, or related to, one or more tax-exempt organizations described in section 501(c) of the Code (other than section 501(c)(3)) or in section 527? ☐ Yes
☒ No

b If "Yes," complete the following schedule

(a) Name of organization	(b) Type of organization	(c) Description of relationship

Sign Here	Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than taxpayer) is based on all information of which preparer has any knowledge.		
	<div style="border-bottom: 1px solid black; height: 20px; margin-bottom: 5px;"></div> <div style="display: flex; justify-content: space-between;"> ***** 2016-11-04 ***** </div>	▶	<div style="border-bottom: 1px solid black; height: 20px; margin-bottom: 5px;"></div> <div style="text-align: center;">Title</div>
	Signature of officer or trustee	Date	

May the IRS discuss this return with the preparer shown below
 (see instr.)? ☐ Yes ☒ No

Paid Preparer Use Only	Print/Type preparer's name PATRICK F MCINTYRE	Preparer's Signature	Date 2016-11-15	Check if self-employed <input checked="" type="checkbox"/>	PTIN P01372868
	Firm's name <input type="checkbox"/> PATRICK F MCINTYRE CPA PC			Firm's EIN <input type="checkbox"/>	06-1460870
	Firm's address <input type="checkbox"/> 3 STARR RIDGE RD STE 102 BREWSTER, NY 105094503			Phone no <input type="checkbox"/>	(845) 278-2836

Form 990PF Part VIII Line 1 - List all officers, directors, trustees, foundation managers and their compensation

(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
CHARLES H VAN HORNE	PRES/TREAS/D 5 00	0	0	0
C/O THE ROOTHBERT FUND 475 RIVERSIDE DRIVE NEW YORK, NY 10115				
STEPHEN F WILDER	VICE PRES/DI 5 00	0	0	0
C/O THE ROOTHBERT FUND 475 RIVERSIDE DRIVE NEW YORK, NY 10115				
JANE F CENTURY	VICE PRES/DI 5 00	0	0	0
C/O THE ROOTHBERT FUND 475 RIVERSIDE DRIVE NEW YORK, NY 10115				
JASON T BUHLE	DIRECTOR 2 00	0	0	0
C/O THE ROOTHBERT FUND 475 RIVERSIDE DRIVE NEW YORK, NY 10115				
DONNA M JOHNSON	DIRECTOR 2 00	0	0	0
C/O THE ROOTHBERT FUND 475 RIVERSIDE DRIVE NEW YORK, NY 10115				
JAMES A ROSENGARTEN	DIRECTOR 2 00	0	0	0
C/O THE ROOTHBERT FUND 475 RIVERSIDE DRIVE NEW YORK, NY 10115				
NADJWA E L NORTON	DIRECTOR 2 00	0	0	0
C/O THE ROOTHBERT FUND 475 RIVERSIDE DRIVE NEW YORK, NY 10115				
NATHALIS W WAMBA	DIRECTOR 2 00	0	0	0
C/O THE ROOTHBERT FUND 475 RIVERSIDE DRIVE NEW YORK, NY 10115				
VIJAY R VARMA	DIRECTOR 2 00	0	0	0
C/O THE ROOTHBERT FUND 475 RIVERSIDE DRIVE NEW YORK, NY 10115				
AZIZA A BELCHER PLATT	FELLOW REP 2 00	0	0	0
C/O THE ROOTHBERT FUND 475 RIVERSIDE DRIVE NEW YORK, NY 10115				
HELEN K MCKINNEY	FELLOW REP 2 00	0	0	0
C/O THE ROOTHBERT FUND 475 RIVERSIDE DRIVE NEW YORK, NY 10115				

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 Paid during the year				
SOLOMON B COLLINS LOYOLA UNIVERSITY CHICAGO CHICAGO,IL 606773009		PAID	SCHOLARSHIP	3,000
KATHERINE A CORDOVA UNIVERSITY OF N CAROLINA CHAPEL HILL,NC 275991400		PAID	SCHOLARSHIP	3,000
SALIIHAH N EVANS SPELMAN COLLEGE ATLANTA,GA 303144399		PAID	SCHOLARSHIP	3,000
SOPHIA G FARRUGGIA JOHNS HOPKINS UNIVERSITY BALTIMORE,MD 21218		PAID	SCHOLARSHIP	3,000
WILLIAM R HERZOG HAVERFORD COLLEGE HAVERFORD,PA 19041		PAID	SCHOLARSHIP	3,000
NYA A HOLDER YALE UNIVERSITY NEW HAVEN,CT 06520		PAID	SCHOLARSHIP	1,025
ALEXYEA M HOLMES ST JOHNS UNIVERSITY QUEENS,NY 11439		PAID	SCHOLARSHIP	3,000
JACOB JACOBS NC STATE UNIVERSITY RALEIGH,NC 27695		PAID	SCHOLARSHIP	3,000
REGINALD B JAMES UNIV OF PENNSYLVANIA PHILADELPHIA,PA 19104		PAID	SCHOLARSHIP	3,000
KIEARRAH M LAWRENCE MORGAN STATE UNIVERSITY BALTIMORE,MD 21251		PAID	SCHOLARSHIP	3,000
CRYSTAL J MA UNIVERSITY OF CHICAGO CHICAGO,IL 60637		PAID	SCHOLARSHIP	3,000
ALANNA S MCCATTY PACE UNIVERSITY NEW YORK,NY 10038		PAID	SCHOLARSHIP	3,000
TYRIEK Z MACK UNIV OF WISCONSIN MADISON MADISON,WI 537151383		PAID	SCHOLARSHIP	1,500
ALEXANDRA L MARINCIC THE UNIVERSITY OF AKRON AKRON,OH 443256208		PAID	SCHOLARSHIP	3,000
MICHAEL G MUNTHER WIDENER UNIVERSITY CHESTER,PA 19013		PAID	SCHOLARSHIP	3,000
Total ▶ 3a				142,025

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 Paid during the year				
DA'VIANNA C NELSON UNIVERSITY OF N CAROLINA CHAPEL HILL, NC 27599		PAID	SCHOLARSHIP	3,000
KARL POPS CORNELL UNIVERSITY ITHACA, NY 14851		PAID	SCHOLARSHIP	3,000
MANUEL A SANDOVAL SPRINGFIELD COLLEGE SPRINGFIELD, MA 011093797		PAID	SCHOLARSHIP	3,000
SHYAM SHARMA CALDWELL UNIVERSITY CALDWELL, NJ 07006		PAID	SCHOLARSHIP	3,000
PARTH C THAKKER HARVARD UNIVERSITY CAMBRIDGE, MA 02138		PAID	SCHOLARSHIP	3,000
DAQUAN L THOMAS SYRACUSE UNIVERSITY SYRACUSE, NY 13244		PAID	SCHOLARSHIP	3,000
NALA Q WARD SUNY COLLEGE AT BROCKPORT BROCKPORT, NY 14420		PAID	SCHOLARSHIP	3,000
SAIF YASIN DREW UNIVERSITY MADISON, NJ 07940		PAID	SCHOLARSHIP	3,000
CONCETTA A ABBATE TEACHERS COLL COLUMBIA U NEW YORK, NY 10027		PAID	SCHOLARSHIP	3,000
YUSUF ANWAR SUNY DOWNST COLL OF MED BROOKLYN, NY 11203		PAID	SCHOLARSHIP	3,000
JAMES D BALL YALE UNIVERISTY NEW HAVEN, CT 065208232		PAID	SCHOLARSHIP	3,000
JAIQUANN S BECKHAM UNIV OF PENNSYLVANIA PHILADELPHIA, PA 19104		PAID	SCHOLARSHIP	3,000
AZIZA A BELCHER PLATT FORDHAM UNIVERSITY NEW YORK, NY 10023		PAID	SCHOLARSHIP	3,000
AMANDA A BENJAMIN UNIVERSITY OF MARYLAND BALTIMORE, MD 21201		PAID	SCHOLARSHIP	3,000
ASHE BERNARD ART OF DYING INSTITUTE NEW YORK, NY 10016		PAID	SCHOLARSHIP	1,000
Total ▶ 3a				142,025

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 Paid during the year				
MUBASHIR S BILLAH SUNY DOWNST COLL OF MED BROOKLYN,NY 11203		PAID	SCHOLARSHIP	3,000
PHAEDRA D BLOCKER NORTHERN SEMINARY LOMBARD,IL 60148		PAID	SCHOLARSHIP	3,000
SUNDER JOHN BOOPALAN PRINCETON THEOLOGICAL SEM PRINCETON,NJ 08542		PAID	SCHOLARSHIP	3,000
KIM Y CHUNG U OF PENNSYLVANIA PHILADELPHIA,PA 190146270		PAID	SCHOLARSHIP	3,000
MARTHA A EARLY SMITH COLLEGE NORTHAMPTON,MA 01063		PAID	SCHOLARSHIP	3,000
ADRIANA T ELLIOT U OF NEW HAMPSHIRE MANCHESTER,NH 03101		PAID	SCHOLARSHIP	3,000
ALETHE FATHERLEY SACRED HEART UNIVERSITY FAIRFIELD,CT 06824		PAID	SCHOLARSHIP	3,000
PHILIP M FORNESS PRINCETON THEOLOGICAL SEM PRINCETON,NJ 08542		PAID	SCHOLARSHIP	3,000
EMILY J GARCIA YALE DIVINITY SCHOOL NEW HAVEN,CT 06511		PAID	SCHOLARSHIP	3,000
YOONJIN HA NEW YORK UNIVERSITY NEW YORK,NY 10003		PAID	SCHOLARSHIP	3,000
RACHEL S JOSEPH NEW YORK UNIVERSITY NEW YORK,NY 10003		PAID	SCHOLARSHIP	3,000
VINCENT X LIFRIERI GORDON CONWELL THEOLOGY PLYMOUTH,MA 02360		PAID	SCHOLARSHIP	3,000
HELEN K MCKINNEY COLUMBIA UNIVERSITY NEW YORK,NY 10027		PAID	SCHOLARSHIP	3,500
CLAUDETTE MONROY VELAZQUEZ GEORGE WASHINGTON UNIV WASHINGTON,DC 20052		PAID	SCHOLARSHIP	3,000
SHANNON J PRINCE YALE LAW SCHOOL NEW HAVEN,CT 06511		PAID	SCHOLARSHIP	3,000
Total ▶ 3a				142,025

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>				
JASON D REYNOLDS FORDHAM UNIVERISTY NEW YORK,NY 10023		PAID	SCHOLARSHIP	3,000
MATTHEW A SAWH COLUMBIA UNIVERISTY NEW YORK,NY 10023		PAID	SCHOLARSHIP	3,000
AVICHAID SMOLEN NYU WAGNER SCHOOL NEW YORK,NY 10012		PAID	SCHOLARSHIP	3,000
SARA J WOLCOTT UNION THEOLOGICL SEMINARY NEW YORK,NY 10027		PAID	SCHOLARSHIP	3,000
Total ▶ 3a				142,025

TY 2015 Accounting Fees Schedule

Name: THE ROTHBERT FUND INC

EIN: 13-6162570

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
TAX PREPARATION & AUDITING	7,500	5,000		2,500

Note: To capture the full content of this document, please select landscape mode (11" x 8.5") when printing.

TY 2015 Gain/Loss from Sale of Other Assets Schedule

Name: THE ROTHBERT FUND INC

EIN: 13-6162570

Name	Date Acquired	How Acquired	Date Sold	Purchaser Name	Gross Sales Price	Basis	Basis Method	Sales Expenses	Total (net)	Accumulated Depreciation
CHICAGO BRIDGE & IRON CO 1,100 SH	2013-05	PURCHASE	2015-11		46,052	60,824			-14,772	
DANAHER CORP 500 SH	2009-09	PURCHASE	2015-11		45,646	18,011			27,635	
ISHARES EMERGING MKTS 1,000 SH	2009-10	PURCHASE	2015-08		33,784	41,552			-7,768	
MEDCO HEALTH 2 75% 100,000 SH	2012-02	PURCHASE	2015-09		100,000	103,209			-3,209	
NIKE INC CLASS B 600 SH	2010-10	PURCHASE	2015-07		70,125	24,732			45,393	
BERKSHIRE HATHAWAY INC 100 SH	2010-01	PURCHASE	2015-09		12,900	5,850			7,050	
BRISTOL MYERS 250 SH	2009-03	PURCHASE	2015-07		16,876	11,060			5,816	
HEARTLAND EXPRESS INC 1,000 SH	2009-03	PURCHASE	2015-10		21,549	10,123			11,426	
HONEYWELL INC 200 SH	2009-05	PURCHASE	2015-07		20,469	2,241			18,228	
INTEL CORP 600 SH	2009-10	PURCHASE	2015-09		17,247	17,042			205	
IBM 100 SH	2009-10	PURCHASE	2015-01		15,627	10,762			4,865	
MOOG INC 600 SH	2008-03	PURCHASE	2015-10		34,620	21,609			13,011	
ORACLE 450 SH	2008-05	PURCHASE	2015-09		16,186	16,276			-90	
THERMO FISHER SCIENTIFIC 200 SH	2009-01	PURCHASE	2015-08		27,070	7,312			19,758	
UNITED TECHNOLOGIES 450 SH	2009-01	PURCHASE	2015-09		40,685	14,355			26,330	
WM WRIGLEY JR 100,000 SH	2009-01	PURCHASE	2015-07		100,000	99,400			600	

TY 2015 Investments Corporate Bonds Schedule**Name:** THE ROTHBERT FUND INC**EIN:** 13-6162570

Name of Bond	End of Year Book Value	End of Year Fair Market Value
ALLERGAN INC	99,650	100,811
CONSOLIDATED EDISON	49,750	51,571
FEDERAL EXPRESS	50,196	48,708
FLUOR CORP.	76,015	76,628
IBM	102,276	115,270
JOHNSON CONTROLS	100,500	100,981
MEDCO HEALTH SOLUTIONS		
MERRILL LYNCH & CO	97,500	104,289
PEPSICO INC	99,850	108,212
PITNEY BOWES	100,671	105,490
WALMART STORES	100,011	107,087
WM WRIGLEY JR CO		

TY 2015 Investments Corporate Stock Schedule**Name:** THE ROTHBERT FUND INC**EIN:** 13-6162570

Name of Stock	End of Year Book Value	End of Year Fair Market Value
ABBVIE INC..	65,841	71,088
ALBERMARIE CORP	66,146	56,010
APPLE INC.	81,294	78,945
BANKUNITED INC.	96,719	102,771
BERKSHIRE HATHAWAY INC	54,114	122,137
BRISTOL MYERS SQUIBB	90,688	141,020
CHICAGO BRIDGE & IRON CO		
CISCO SYSTEMS	48,211	54,310
CITIGROUP	61,801	7,763
COMCAST CORP	63,188	81,880
DANAHER CORP	46,829	120,744
DOW CHEMICAL	23,610	51,480
EMC CORP.	45,460	42,372
EVERSOURCE ENERGY	89,588	120,014
EXPRESS SCRIPTS HOLDING	41,975	56,816
GOLDMAN SACHS	64,003	126,161
HEARTLAND EXPRESS INC	47,236	79,415
HENRY SCHEIN INC.	50,677	59,321
HONEYWELL INTERNATIONAL	14,006	129,462
IBM	53,812	68,810
INTEL CORP	96,571	117,130
ISHARES TR MSCI EMERGING MARKETS		
JACOBS ENGINEERING GROUP	42,693	79,705
MCDONALDS CORP	62,629	91,559
MOOG INC	38,715	65,145
NXP SEMICONDUCTORS NV	86,089	85,935
NIKE INC CLASS B	41,219	125,000
NORTHEAST UTILITIES		
ORACLE CORPORATION	77,753	78,539
PERRIGO COMPANY PLC	74,080	72,350

Name of Stock	End of Year Book Value	End of Year Fair Market Value
PROCTER & GAMBLE	60,137	79,410
QUALCOMM INC	60,438	47,486
ROYAL DUTCH SHELL	26,236	59,527
SCHWB CHARLES CORP.	49,756	49,175
SELECT SECTOR SPDR TR	81,009	78,161
THERMO FISHER SCIENTIFIC	34,732	134,757
UNITED PARCEL SERVICE	47,139	76,984
UNITED TECHNOLOGIES CORP	21,533	64,847
WELLS FARGO & CO	60,292	86,976
WELLS FARGO CO MTN	50,720	49,741

TY 2015 Investments Government Obligations Schedule**Name:** THE ROOTHBERT FUND INC**EIN:** 13-6162570**US Government Securities - End of
Year Book Value:**

354,794

**US Government Securities - End of
Year Fair Market Value:**

354,443

**State & Local Government
Securities - End of Year Book
Value:**

103,421

**State & Local Government
Securities - End of Year Fair
Market Value:**

106,042

TY 2015 Other Assets Schedule**Name:** THE ROTHBERT FUND INC**EIN:** 13-6162570

Description	Beginning of Year - Book Value	End of Year - Book Value	End of Year - Fair Market Value
PREPAID EXCISE TAX	55	1,879	

TY 2015 Other Expenses Schedule**Name:** THE ROTHBERT FUND INC**EIN:** 13-6162570

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
EXPENSES				
NYS DEPT OF LAW - FILING FEE	250			250
OFFICE SUPPLIES AND EXPENSES	948			948
OFFICE MANAGMNT & BOOKKEEPING	23,255			23,255
WEBSITE	509			509
POSTAGE	1,006			1,006
TELEPHONE	2,040			2,040
INSURANCE	4,944			4,944
FELLOWSHIP PROGRAM	19,986			19,986
REPAIRS & MAINTENANCE	80			80

TY 2015 Other Increases Schedule**Name:** THE ROOTHBERT FUND INC**EIN:** 13-6162570

Description	Amount
PRIOR PERIOD ADJUSTMENT - WRITE OFF OLD CHECKS	11,192

TY 2015 Other Professional Fees Schedule**Name:** THE ROTHBERT FUND INC**EIN:** 13-6162570

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
INVESTMENT MANAGEMENT FEES	13,524	13,524		

TY 2015 Taxes Schedule**Name:** THE ROTHBERT FUND INC**EIN:** 13-6162570

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FOREIGN TAX W/H ON DIVIDENDS	768	768		
EXCISE TAX - 2015	2,031			