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For calendar year 2016, or tax year beginning 01-01-2016, and ending 12-31-2016

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 STE 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 <div><input type="checkbox"/> Initial return</div> <div><input type="checkbox"/> Initial return of a former public charity</div> <div><input type="checkbox"/> Final return</div> <div><input type="checkbox"/> Amended return</div> <div><input type="checkbox"/> Address change</div> <div><input type="checkbox"/> Name change</div>		C If exemption application is pending, check here <input type="checkbox"/> D 1. Foreign organizations, check here <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/>	
H Check type of organization <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/>	
I Fair market value of all assets at end of year (from Part II, col (c), line 16) \$ 4,892,339		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 (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)
Revenue	1 Contributions, gifts, grants, etc , received (attach schedule)	3,500			
	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 . . .	113,484	113,484		
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10 	984,429			
	b Gross sales price for all assets on line 6a 3,584,965				
	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	1,101,413	113,484		
	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) 	6,457	6,457		
	17 Interest				
	18 Taxes (attach schedule) (see instructions) . . .	 2,360	2,360		
	19 Depreciation (attach schedule) and depletion . . .				
	20 Occupancy	10,099			10,099
	21 Travel, conferences, and meetings	1,388			1,388
	22 Printing and publications				
	23 Other expenses (attach schedule) 	53,597			53,661
	24 Total operating and administrative expenses. Add lines 13 through 23	81,401	13,817		67,648
	25 Contributions, gifts, grants paid	146,475			146,475
	26 Total expenses and disbursements. Add lines 24 and 25	227,876	13,817		214,123
	27 Subtract line 26 from line 12				
	a Excess of revenue over expenses and disbursements	873,537			
	b Net investment income (if negative, enter -0-)		99,667		
	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 (a) Book Value	End of year (b) Book Value (c) Fair Market Value		
Assets	1	Cash—non-interest-bearing			
	2	Savings and temporary cash investments	294,832	145,459	145,549
	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)	458,215	730,490	713,508
	b	Investments—corporate stock (attach schedule)	2,116,939	2,976,479	3,233,887
	c	Investments—corporate bonds (attach schedule)	876,419	777,025	798,768
	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 ▶ _____)	1,879	627	627	
16	Total assets (to be completed by all filers—see the instructions Also, see page 1, item I)	3,748,284	4,630,080	4,892,339	
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	3,725,180	4,605,287	
	25	Temporarily restricted	23,104	24,793	
	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)	3,748,284	4,630,080	
31	Total liabilities and net assets/fund balances (see instructions) .	3,748,284	4,630,080		

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 3,748,284
2	Enter amount from Part I, line 27a	2 873,537
3	Other increases not included in line 2 (itemize) ▶ _____	3 8,259
4	Add lines 1, 2, and 3	4 4,630,080
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 4,630,080

Part IV Capital Gains and Losses for Tax on Investment Income

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

(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			
b			
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			
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))
2015	208,259	4,760,843	0 043744
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
2 Total of line 1, column (d)			2 0 234197
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 046839
4 Enter the net value of noncharitable-use assets for 2016 from Part X, line 5			4 4,640,651
5 Multiply line 4 by line 3			5 217,363
6 Enter 1% of net investment income (1% of Part I, line 27b)			6 997
7 Add lines 5 and 6			7 218,360
8 Enter qualifying distributions from Part XII, line 4			8 214,123

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

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

1a	Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1 Date of ruling or determination letter _____ (attach copy of letter if necessary—see instructions)		
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input type="checkbox"/> and enter 1% of Part I, line 27b	1	1,993
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	1,993
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	1,993
6	Credits/Payments		
a	2016 estimated tax payments and 2015 overpayment credited to 2016	6a	2,620
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	2,620
8	Enter any penalty for underpayment of estimated tax. Check here <input type="checkbox"/> if Form 2220 is attached	8	
9	Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed ▶	9	
10	Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid . . . ▶	10	627
11	Enter the amount of line 10 to be Credited to 2017 estimated tax ▶ 627 Refunded ▶	11	

Part VII-A Statements Regarding Activities

	Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?	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 ▶ \$ _____ (2) On foundation managers ▶ \$ _____		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ▶ \$ _____		
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 2016 or the taxable year beginning in 2016 (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			

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15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 —Check here <input type="checkbox"/> and enter the amount of tax-exempt interest received or accrued during the year 15			
16	At any time during calendar year 2016, 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.

1a	During the year did the foundation (either directly or indirectly)		Yes	No
	(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)? <input type="checkbox"/> 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 2016? <input type="checkbox"/> 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 2016, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2016? <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). <input type="checkbox"/> 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 2016 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 2016). <input type="checkbox"/> 3b			
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? <input type="checkbox"/> 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 2016? <input type="checkbox"/> 4b			No

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))?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
	(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
	(3) Provide a grant to an individual for travel, study, or other similar purposes?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
	(4) Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? (see instructions).	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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)?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	5b	
	Organizations relying on a current notice regarding disaster assistance check here. ►	<input type="checkbox"/>		
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?	<input type="checkbox"/> Yes <input type="checkbox"/> No		
	<i>If "Yes," attach the statement required by Regulations section 53.4945–5(d)</i>			
6a	Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b	Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	6b	No
	<i>If "Yes" to 6b, file Form 8870</i>			
7a	At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b	If yes, did the foundation receive any proceeds or have any net income attributable to the transaction?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	7b	

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	(e) Expense account, 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	(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. ▶

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	4,502,677
b	Average of monthly cash balances.	1b	208,644
c	Fair market value of all other assets (see instructions).	1c	0
d	Total (add lines 1a, b, and c).	1d	4,711,321
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	4,711,321
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	70,670
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4.	5	4,640,651
6	Minimum investment return. Enter 5% of line 5.	6	232,033

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	232,033
2a	Tax on investment income for 2016 from Part VI, line 5.	2a	1,993
b	Income tax for 2016 (This does not include the tax from Part VI).	2b	
c	Add lines 2a and 2b.	2c	1,993
3	Distributable amount before adjustments. Subtract line 2c from line 1.	3	230,040
4	Recoveries of amounts treated as qualifying distributions.	4	
5	Add lines 3 and 4.	5	230,040
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	230,040

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	214,123
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	214,123
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	214,123

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 2015	(c) 2015	(d) 2016
1 Distributable amount for 2016 from Part XI, line 7				230,040
2 Undistributed income, if any, as of the end of 2016				
a Enter amount for 2015 only.			181,279	
b Total for prior years 20____, 20____, 20____				
3 Excess distributions carryover, if any, to 2016				
a From 2011.				
b From 2012.				
c From 2013.				
d From 2014.				
e From 2015.				
f Total of lines 3a through e.				
4 Qualifying distributions for 2016 from Part XII, line 4 ▶ \$ <u>214,123</u>				
a Applied to 2015, but not more than line 2a			181,279	
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 2016 distributable amount.				32,844
e Remaining amount distributed out of corpus				
5 Excess distributions carryover applied to 2016 (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 2015 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 2017				197,196
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 2011 not applied on line 5 or line 7 (see instructions).				
9 Excess distributions carryover to 2017. Subtract lines 7 and 8 from line 6a				
10 Analysis of line 9				
a Excess from 2012.				
b Excess from 2013.				
c Excess from 2014.				
d Excess from 2015.				
e Excess from 2016.				

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

1a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2016, enter the date of the ruling. ▶					
b Check box to indicate whether the organization is a private operating foundation described in section <input type="checkbox"/> 4942(j)(3) or <input type="checkbox"/> 4942(j)(5)					
2a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed	Tax year	Prior 3 years			(e) Total
	(a) 2016	(b) 2015	(c) 2014	(d) 2013	
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 <input checked="" type="checkbox"/> 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 GRANTEEES ARE SELECTED FROM THIS GROUP BY THE SCHOLARSHIP COMMITTEE. PREVIOUS GRANTEEES 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)				
a <i>Paid during the year</i> See Additional Data Table				
Total			3a	146,475
b <i>Approved for future payment</i>				
Total			3b	

Enter gross amounts unless otherwise indicated

Enter gross amounts unless otherwise indicated	Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See instructions)
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	
1 Program service revenue					
a _____					
b _____					
c _____					
d _____					
e _____					
f _____					
g Fees and contracts from government agencies					
2 Membership dues and assessments. . . .					
3 Interest on savings and temporary cash investments					
4 Dividends and interest from securities. . . .					113,484
5 Net rental income or (loss) from real estate					
a Debt-financed property.					
b Not debt-financed property.					
6 Net rental income or (loss) from personal property					
7 Other investment income.					
8 Gain or (loss) from sales of assets other than inventory					984,429
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue a _____					
b _____					
c _____					
d _____					
e _____					
12 Subtotal Add columns (b), (d), and (e). .					1,097,913
13 Total. Add line 12, columns (b), (d), and (e).					1,097,913

(See worksheet in line 13 instructions to verify calculations)

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

Information Regarding Transfers To and Transactions and Relationships With Noncharitable Exempt Organizations

		Yes	No
--	--	-----	----

1-(1)	No
-------	----

1a(1)		No
1a(2)		No

1b(1)	No
-------	----

1b(1)	No
--------------	-----------

1b(2)		No
--------------	--	-----------

1b(3)		No
--------------	--	-----------

1b(4)	No
-------	----

1b(5)		No
-------	--	----

1b(5)		No
1b(6)		No

1b	No
1c	No

IC	NO
value	

[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

☐ Yes ☒ No

[illegible]

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

Sign	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.

Sign Here ▶ which preparer has any knowledge

*****	2017-10-18	*****
Signature of officer or trustee	Date	Title

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

Paid Preparer Use Only	PATRICK F MCINTYRE		2017-10-25	
	Firm's name ► PATRICK F MCINTYRE CPA PC			Firm's EIN ► 06-1460870
	Firm's address ► 3 STARR RIDGE RD STE 102 BREWSTER, NY 105094503			Phone no (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//DIRECT 3 00	0	0	0
C/O THE ROOTHBERT FUND 475 RIVERSIDE DRIVE NEW YORK, NY 10115				
JANE F CENTURY	VICE PRES/DI 3 00	0	0	0
C/O THE ROOTHBERT FUND 475 RIVERSIDE DRIVE NEW YORK, NY 10115				
FLORIAN HALILI	TREASURER/DI 2 00	0	0	0
C/O THE ROOTHBERT FUND NEW YOR, NY 10015				
JASON T BUHLE	DIRECTOR 1 00	0	0	0
C/O THE ROOTHBERT FUND 475 RIVERSIDE DRIVE NEW YORK, NY 10115				
DONNA M JOHNSON	DIRECTOR 1 00	0	0	0
C/O THE ROOTHBERT FUND 475 RIVERSIDE DRIVE NEW YORK, NY 10115				
JAMES A ROSENGARTEN	DIRECTOR 1 00	0	0	0
C/O THE ROOTHBERT FUND 475 RIVERSIDE DRIVE NEW YORK, NY 10115				
NADJWA E L NORTON	DIRECTOR 1 00	0	0	0
C/O THE ROOTHBERT FUND 475 RIVERSIDE DRIVE NEW YORK, NY 10115				
NATHALIS W WAMBA	DIRECTOR 1 00	0	0	0
C/O THE ROOTHBERT FUND 475 RIVERSIDE DRIVE NEW YORK, NY 10115				
VIJAY R VARMA	DIRECTOR 1 00	0	0	0
C/O THE ROOTHBERT FUND 475 RIVERSIDE DRIVE NEW YORK, NY 10115				
WILLIAM R HERZOG	FELLOW REP 0 50	0	0	0
C/O THE ROOTHBERT FUND 475 RIVERSIDE DRIVE NEW YORK, NY 10115				
HELEN K MCKINNEY	FELLOW REP 0 50	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 <i>Paid during the year</i>				
ALVERT K APOUH RUTGERS UNIVERSITY NEWARK, NJ 071021896		PAID	SCHOLARSHIP	3,000
ABIGAIL G BALLEW VIRGINIA COMMONWEALTH UN RICHMOND, VA 232843036		PAID	SCHOLARSHIP	3,000
MEGHAN R CASEY BANK ST COLLEGE OF ED NEW YORK, NY 10025		PAID	SCHOLARSHIP	3,000
SOLOMON B COLLINS LOYOLA UNIVERSITY CHICAGO CHICAGO, IL 606773009		PAID	SCHOLARSHIP	3,000
REBEKAH P CRAWFORD OHIO UNIVERSITY ATHENS, OH 45701		PAID	SCHOLARSHIP	1,000
Total ► 3a				146,475

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>				
SALIHAN N EVANS SPELMAN COLLEGE ATLANTA, GA 303144399		PAID	SCHOLARSHIP	3,000
SOPHIA G FARRUGGIA JOHNS HOPKINS UNIVERSITY BALTIMORE, MD 21218		PAID	SCHOLARSHIP	3,000
JESSICA FRANCAR PHILADELPHIA UNIVERSITY PHILADELPHIA, PA 19144		PAID	SCHOLARSHIP	3,000
JANEE D FRANKLIN UNIVERSITY OF MARYLAND BALTIMORE, MD 21201		PAID	SCHOLARSHIP	3,000
SIMON GILLON-WRIGHT LOYOLA UNIV MARYLAND BALTIMORE, MD 21210		PAID	SCHOLARSHIP	3,000
Total ▶ 3a				146,475

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>				
ADAM C GRAUBART GEORGE WASHINGTON UNIV WASHINGTON, DC 20052		PAID	SCHOLARSHIP	3,000
TYRAH V GREEN BROWN UNIVERSITY PROVIDENCE, RI 02912		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	1,975
LEAH M HOLLE UNIVERSITY OF CONNECTICUT STORRS, CT 06269		PAID	SCHOLARSHIP	3,000
Total 				146,475
3a				

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>				
ALEXYEA M HOLMES ST JOHNS UNIVERSITY QUEENS, NY 11439		PAID	SCHOLARSHIP	3,000
DAVINE L HOLNESS BOSTON COLLEGE CHESTNUT HILL, MA 02467		PAID	SCHOLARSHIP	3,000
AYESHA ISLAM BRYN MAWR COLLEGE BRYN MAWR, PA 19010		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
Total 3a				146,475

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>				
JAMES S LAWSON THE JUILLIARD SCHOOL NEW YORK, NY 10023		PAID	SCHOLARSHIP	3,000
JUDY L LEWIS YESHIVA UNIVERSITY NEW YORK, NY 10003		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
HELEN K MCKINNEY COLUMBIA UNIVERSITY NEW YORK, NY 10027		PAID	SCHOLARSHIP	3,500
Total 3a				146,475


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>				
TYRIEK Z MACK UNIV OF WISCONSIN MADISON MADISON, WI 537151383		PAID	SCHOLARSHIP	2,000
ALEXANDRA L MARINCIC THE UNIVERSITY OF AKRON AKRON, OH 443256208		PAID	SCHOLARSHIP	3,000
ASIA N MATTHEWS PRINCETON UNIVERSITY PRINCETON, NJ 085420591		PAID	SCHOLARSHIP	3,000
LORENA R MITCHELL COLUMBIA UNIVERSITY NEW YORK, NY 10027		PAID	SCHOLARSHIP	3,000
DANIELLA R MONTEMARANO GEORGETOWN UNIVERSITY WASHINGTON, DC 20057		PAID	SCHOLARSHIP	3,000
Total ▶ 3a				146,475

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>				
MEREDITH B NICHOLSON JOHN HOPKINS UNIVERSITY BALTIMORE, MD 21205		PAID	SCHOLARSHIP	3,000
ALICIA A PANGANIBAN PRINCETON THEOLOGICAL SEM PRINCETON, NJ 08542		PAID	SCHOLARSHIP	3,000
RACHEL E PARSONS SARAH LAWRENCE COLLEGE BRONXVILLE, NY 11215		PAID	SCHOLARSHIP	3,000
ERICA L RESTAINO UNION THEOLOGICAL SEM NEW YORK, NY 10027		PAID	SCHOLARSHIP	3,000
RONALD F RUDAITIS LONG ISLAND UNIVERSITY BROOKVILLE, NY 11548		PAID	SCHOLARSHIP	3,000
Total ► 3a				146,475

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>				
RUDY D SAINT-LOUIS HUNTER COLLEGE NEW YORK, NY 10065		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
ANTHONY T THORNTON GEORGE MASON UNIVERSITY FAIRFAX, VA 22030		PAID	SCHOLARSHIP	3,000
SAIF YASIN DREW UNIVERSITY MADISON, NJ 07940		PAID	SCHOLARSHIP	3,000
Total ▶ 3a				146,475

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>				
CONCETTA A ABBATE TEACHERS COLL COLUMBIA U NEW YORK, NY 10027		PAID	SCHOLARSHIP	1,500
JAIQUANN S BECKHAM UNIV OF PENNSYLVANIA PHILADELPHIA, PA 19104		PAID	SCHOLARSHIP	1,500
AZIZA A BELCHER PLATT FORDHAM UNIVERSITY NEW YORK, NY 10023		PAID	SCHOLARSHIP	3,000
MARTHA A EARLY SMITH COLLEGE NORTHAMPTON, MA 01063		PAID	SCHOLARSHIP	3,000
EMILY J GARCIA YALE DIVINITY SCHOOL NEW HAVEN, CT 06511		PAID	SCHOLARSHIP	3,000
Total ▶ 3a				146,475

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>				
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
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
SARA J WOLCOTT UNION THEOLOGICL SEMINARY NEW YORK, NY 10027		PAID	SCHOLARSHIP	3,000
Total ▶ 3a				146,475

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>				
NORA F WRIGHT WEST CHESTER UNIVERSITY WEST CHESTER, PA 19383		PAID	SCHOLARSHIP	3,000
Total 				146,475
3a				

TY 2016 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 2016 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
ABBVIE INC 1200 SHS	2009-03	PURCHASE	2016-06		74,016	65,841			8,175	
ALBERNARLE CORP 1000 SHS	2009-03	PURCHASE	2016-06		81,323	66,146			15,177	
ALLERGAN INC 5 75% 100000 SHS	2009-03	PURCHASE	2016-06		100,000	99,650			350	
APPLE INC 750 SHS	2009-03	PURCHASE	2016-06		73,184	81,294			-8,110	
BANKUNITED INC 2850 SHS	2009-03	PURCHASE	2016-06		92,887	96,719			-3,832	
BERKSHIRE HATHAWAY INC 925 SHS	2009-03	PURCHASE	2016-06		131,713	54,114			77,599	
BRISTOL-MEYERS SQUIBB 2050 SHS	2009-03	PURCHASE	2016-06		148,605	90,688			57,917	
CISCO SYSTEMS 2000 SHS	2009-03	PURCHASE	2016-06		57,960	48,211			9,749	
CITIGROUP INC 150 SHS	2009-03	PURCHASE	2016-06		17,272	61,801			-44,529	
COMCAST CORP 1451 SHS	2009-03	PURCHASE	2016-06		91,527	63,188			28,339	
CONSOLIDATED EDISON 5 5% 50000 SHS	2009-03	PURCHASE	2016-06		50,000	49,750			250	
DENAHER CORP 1300 SHS	2009-03	PURCHASE	2016-06		129,347	46,829			82,518	
DOW CHEMICAL CORP 1000 SHS	2009-03	PURCHASE	2016-06		52,910	23,610			29,300	
EMC CORP MASS 1650 SHS	2009-03	PURCHASE	2016-06		45,873	45,460			413	
EVERSOURCE ENERGY 2350 SHS	2009-03	PURCHASE	2016-06		131,994	89,588			42,406	
EXPRESS SCRIPTS HOLDING 650 SHS	2009-03	PURCHASE	2016-06		45,838	41,976			3,862	
GOLDMAN SACHS GROUP 700 SHS	2009-03	PURCHASE	2016-06		107,081	64,003			43,078	
HEARTLAND EXPRESS 4666 SHS	2009-03	PURCHASE	2016-06		83,920	47,236			36,684	
HENRY SCHEIN INC 375 SHS	2009-03	PURCHASE	2016-06		65,728	50,677			15,051	
HONEYWELL INTL 1250 SHS	2009-03	PURCHASE	2016-06		144,561	14,006			130,555	
IBM 500 SHS	2009-03	PURCHASE	2016-06		76,240	53,812			22,428	
INTEL CORP 3400 SHS	2009-03	PURCHASE	2016-06		102,047	96,571			5,476	
JACOBS ENERGY GROUP 1900 SHS	2009-03	PURCHASE	2016-06		98,059	42,693			55,366	
JOHNSON CONTROLS INC 2 6% 100000 SHS	2009-03	PURCHASE	2016-06		100,000	100,500			-500	
MCDONALDS CORP 775 SHS	2009-03	PURCHASE	2016-06		94,619	62,629			31,990	
MOOG INC 1075 SHS	2009-03	PURCHASE	2016-06		57,873	38,715			19,158	
NXP SEMICONDUCTORS NV 1020 SHS	2009-03	PURCHASE	2016-06		90,531	86,089			4,442	
NIKE INC CLASS B 2000 SHS	2009-03	PURCHASE	2016-06		110,089	41,219			68,870	
ORACLE 2150 SHS	2009-03	PURCHASE	2016-06		85,312	77,753			7,559	
PA SUTPK 5 49% 100000 SHS	2009-03	PURCHASE	2016-06		30,000	31,026			-1,026	

Name	Date Acquired	How Acquired	Date Sold	Purchaser Name	Gross Sales Price	Basis	Basis Method	Sales Expenses	Total (net)	Accumulated Depreciation
PERRIGO COMPANY PLC 500 SHS	2009-03	PURCHASE	2016-06		55,191	74,080			-18,889	
PROCTOR & GAMBLE 1000 SHS	2009-03	PURCHASE	2016-06		82,688	60,137			22,551	
QUALCOMM INC 950 SHS	2009-03	PURCHASE	2016-06		51,545	60,438			-8,893	
ROYAL DUTCH SHELL ADR 1300 SHS	2009-03	PURCHASE	2016-06		66,919	26,236			40,683	
SELECT SECTOR SPDR TR 1000 SHS	2009-03	PURCHASE	2016-06		78,786	81,009			-2,223	
THERMO FISHER SCIENTIFIC INC 950 SHS	2009-03	PURCHASE	2016-06		143,264	34,732			108,532	
UNITED PARCEL SERVICE CLASS B 800 SH	2009-03	PURCHASE	2016-06		83,687	47,139			36,548	
UNITED TECHNOLOGIES CORP 875 SHS	2009-03	PURCHASE	2016-06		68,497	21,533			46,964	
US TREAS NOTE 4 875% 100000 SHS	2009-03	PURCHASE	2016-06		100,000	100,781			-781	
US TREAS NOT 5 125% 100000 SHS	2009-03	PURCHASE	2016-06		100,000	100,615			-615	
VANGUARD SMALL-CAP INDEX ADMIRAL	2009-03	PURCHASE	2016-06		32,000	30,575			1,425	
VANGUARD 500 INDEX ADMIRAL	2009-03	PURCHASE	2016-06		74,000	71,173			2,827	
WELLS FARGO & CO 1600 SHS	2009-03	PURCHASE	2016-06		77,879	60,294			17,585	

TY 2016 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		
CONSOLIDATED EDISON		
FEDERAL EXPRESS	50,196	49,834
FLUOR CORP.	76,015	76,925
IBM	102,276	110,404
JOHNSON CONTROLS		
MERRILL LYNCH & CO	97,500	101,363
PEPSICO INC	99,850	105,018
PITNEY BOWES	100,671	102,567
WALMART STORES	100,011	105,040
WM WRIGLEY JR CO		
BB&T CORP	50,030	49,072
WELLS FARGO CO	50,720	49,487
CHARLES SCHWAB CORP	49,756	49,058

TY 2016 Investments Corporate Stock Schedule

Name: THE ROOTHBERT FUND INC
EIN: 13-6162570

Name of Stock	End of Year Book Value	End of Year Fair Market Value
ABBVIE INC..		
ALBERMARIE CORP		
APPLE INC.		
BANKUNITED INC.		
BERKSHIRE HATHAWAY INC		
BRISTOL MYERS SQUIBB		
CISCO SYSTEMS		
CITIGROUP		
COMCAST CORP		
DANAHER CORP		
DOW CHEMICAL		
EMC CORP.		
EVERSOURCE ENERGY		
EXPRESS SCRIPTS HOLDING		
GOLDMAN SACHS		
HEARTLAND EXPRESS INC		
HENRY SCHEIN INC.		
HONEYWELL INTERNATIONAL		
IBM		
INTEL CORP		
JACOBS ENGINEERING GROUP		
MCDONALDS CORP		
MOOG INC		
NXP SEMICONDUCTORS NV		
NIKE INC CLASS B		
ORACLE CORPORATION		
PERRIGO COMPANY PLC		
PROCTER & GAMBLE		
QUALCOMM INC		
ROYAL DUTCH SHELL		

Name of Stock	End of Year Book Value	End of Year Fair Market Value
SCHWB CHARLES CORP.		
SELECT SECTOR SPDR TR		
THERMO FISHER SCIENTIFIC		
UNITED PARCEL SERVICE		
UNITED TECHNOLOGIES CORP		
VANGUARD SMALL CAP INDES ADMIRAL	890,659	997,217
VANGAURD 500 INDEX ADMIRAL	2,085,820	2,236,670
WELLS FARGO & CO		
WELLS FARGO CO MTN		

TY 2016 Investments Government Obligations Schedule**Name:** THE ROTHBERT FUND INC**EIN:** 13-6162570**US Government Securities - End
of Year Book Value:**

658,095

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

641,056

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

72,395

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

72,452

TY 2016 Other Assets Schedule**Name:** THE ROTHBERT FUND INC**EIN:** 13-6162570**Other Assets Schedule**

Description	Beginning of Year - Book Value	End of Year - Book Value	End of Year - Fair Market Value
PREPAID EXCISE TAX	1,879	627	627

TY 2016 Other Expenses Schedule**Name:** THE ROTHBERT FUND INC**EIN:** 13-6162570**Other Expenses Schedule**

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	5,194			5,194
OFFICE MANAGMNT & BOOKKEEPING	24,100			24,100
WEBSITE	620			684
POSTAGE	1,258			1,258
TELEPHONE & INTERNET	2,141			2,141
INSURANCE	5,428			5,428
FELLOWSHIP PROGRAM	14,606			14,606

TY 2016 Other Increases Schedule

Name: THE ROOTHBERT FUND INC
EIN: 13-6162570

Description	Amount
PRIOR PERIOD ADJUSTMENT	8,259

TY 2016 Other Professional Fees Schedule**Name:** THE ROOTHBERT FUND INC**EIN:** 13-6162570

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
INVESTMENT MANAGEMENT FEES	6,457	6,457		

TY 2016 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	367	367		
EXCISE TAX - 2016	1,993	1,993		