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

Name of foundation THE EDWARD JOHN & PATRICIA ROSENWALD FOUNDATION % ANCHIN BLOCK & ANCHIN LLP		A Employer identification number 74-3107995	
Number and street (or P O box number if mail is not delivered to street address) C/O ANCHIN BLOCK ANCHIN LLP		Room/suite	
City or town, state or province, country, and ZIP or foreign postal code NEW YORK, NY 10018		B Telephone number (see instructions) (212) 840-3456	
G Check all that apply ☐ Initial return ☐ Initial return of a former public charity ☐ Final return ☐ Amended return ☐ Address change ☐ Name change		D 1. Foreign organizations, check here 2. Foreign organizations meeting the 85% test, check here and attach computation	
H Check type of organization ☒ Section 501(c)(3) exempt private foundation ☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here	
I Fair market value of all assets at end of year (from Part II, col (c), line 16) \$ 116,075		J Accounting method ☒ Cash ☐ Accrual ☐ Other (specify) _____ (Part I, column (d) must be on cash basis)	
		F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here	

Part I Analysis of Revenue and Expenses (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)	2,084,746			
	2 Check ☐ if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments	22	22		
	4 Dividends and interest from securities	826	826		
	5a Gross rents				
	b Net rental income or (loss) _____				
	6a Net gain or (loss) from sale of assets not on line 10	-76			
	b Gross sales price for all assets on line 6a 1,578,001				
	7 Capital gain net income (from Part IV, line 2)		807,844		
	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	2,085,518	808,692		
	13 Compensation of officers, directors, trustees, etc	0			
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees (attach schedule)				
	b Accounting fees (attach schedule)				
	c Other professional fees (attach schedule)				
	17 Interest				
	18 Taxes (attach schedule) (see instructions)	12,244			
	19 Depreciation (attach schedule) and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses (attach schedule)	50			
	24 Total operating and administrative expenses. Add lines 13 through 23	12,294	0		0
	25 Contributions, gifts, grants paid	2,139,000			2,139,000
	26 Total expenses and disbursements. Add lines 24 and 25	2,151,294	0		2,139,000
	27 Subtract line 26 from line 12				
	a Excess of revenue over expenses and disbursements	-65,776			
	b Net investment income (if negative, enter -0-)		808,692		
	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	268,851	116,075	116,075
	3 Accounts receivable ▶ _____ Less allowance for doubtful accounts ▶ _____			
	4 Pledges receivable ▶ _____ Less allowance for doubtful accounts ▶ _____			
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
	7 Other notes and loans receivable (attach schedule) ▶ _____ Less allowance for doubtful accounts ▶ _____			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10a Investments—U S and state government obligations (attach schedule)			
	b Investments—corporate stock (attach schedule)			
	c Investments—corporate bonds (attach schedule)			
	11 Investments—land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
	12 Investments—mortgage loans			
	13 Investments—other (attach schedule)			
	14 Land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
15 Other assets (describe ▶ _____)				
16 Total assets (to be completed by all filers—see the instructions Also, see page 1, item I)	268,851	116,075	116,075	
Liabilities	17 Accounts payable and accrued expenses			
	18 Grants payable	97,000	10,000	
	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)	97,000	10,000	
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ ☐ and complete lines 24 through 26 and lines 30 and 31.			
	24 Unrestricted			
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ ☒ and complete lines 27 through 31.			
	27 Capital stock, trust principal, or current funds			
	28 Paid-in or capital surplus, or land, bldg, and equipment fund			
	29 Retained earnings, accumulated income, endowment, or other funds	171,851	106,075	
	30 Total net assets or fund balances (see instructions)	171,851	106,075	
31 Total liabilities and net assets/fund balances (see instructions) .	268,851	116,075		

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	171,851
2 Enter amount from Part I, line 27a	2	-65,776
3 Other increases not included in line 2 (itemize) ▶ _____	3	
4 Add lines 1, 2, and 3	4	106,075
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	106,075

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)
1 a SHORT TERM COVERED - SEE ATTACHED		2016-01-01	2016-12-31
b LONG TERM COVERED - SEE ATTACHED		2015-01-01	2016-12-31
c LONG TERM NONCOVERED - SEE ATTACHED		2015-01-01	2016-12-31
d			
e			

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a 70,569		68,115	2,454
b 716,049		357,855	358,194
c 791,383		344,187	447,196
d			
e			

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69

(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	(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
a			2,454
b			358,194
c			447,196
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	807,844
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	1,820,753	242,321	7 513806
2014	1,977,154	261,856	7 550539
2013	2,286,999	329,877	6 932884
2012	1,874,939	544,141	3 445686
2011	3,467,317	1,136,237	3 051579

2 Total of line 1, column (d)	2	28 494494
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	5 698899
4 Enter the net value of noncharitable-use assets for 2016 from Part X, line 5	4	177,695
5 Multiply line 4 by line 3	5	1,012,666
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	8,087
7 Add lines 5 and 6	7	1,020,753
8 Enter qualifying distributions from Part XII, line 4	8	2,139,000

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 ☐ and enter "N/A" on line 1 Date of ruling or determination letter _____ (attach copy of letter if necessary—see instructions)		
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☒ and enter 1% of Part I, line 27b	1	8,087
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	8,087
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	8,087
6	Credits/Payments		
a	2016 estimated tax payments and 2015 overpayment credited to 2016	6a	10,000
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	10,000
8	Enter any penalty for underpayment of estimated tax. Check here ☐ if Form 2220 is attached	8	
9	Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9	
10	Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	1,913
11	Enter the amount of line 10 to be Credited to 2017 estimated tax ☐ 1,913 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)? <i>If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities</i>	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? <i>If "Yes," attach a detailed description of the activities</i>	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? <i>If "Yes," attach a conformed copy of the changes</i>	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? <i>If "Yes," attach the statement required by General Instruction T</i>	5	Yes
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? <i>If "Yes," complete Part II, col (c), and Part XV</i>	7	Yes
8a Enter the states to which the foundation reports or with which it is registered (see instructions) ☐ _____		
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? <i>If "No," attach explanation</i> .	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)? <i>If "Yes," complete Part XIV</i>	9	No
10 Did any persons become substantial contributors during the tax year? <i>If "Yes," attach a schedule listing their names and addresses</i>	10	Yes

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 ►	13	Yes	
14	The books are in care of ► ANCHIN BLOCK & ANCHIN LLP Telephone no ► (212) 840-3456			

Located at ► 1375 BROADWAY NEW YORK NY ZIP+4 ► 10018

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 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?	16	Yes	No
	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 ►			

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?	☐ Yes ☒ No		
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?	☐ Yes ☒ No		
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?	☐ Yes ☒ No		
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?	☐ Yes ☒ No		
	(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)?	☐ Yes ☒ No		
	(6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days).	☐ Yes ☒ No		
b	If any answer is "Yes" to 1a(1)–(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)?		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?		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?	☐ Yes ☒ No		
	If "Yes," list the years ► 20____, 20____, 20____, 20____			
b	Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement—see instructions).		2b	
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here ► 20____, 20____, 20____, 20____			
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?	☐ Yes ☒ No		
b	If "Yes," did it have excess business holdings in 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).		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 2016?		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 Organizations relying on a current notice regarding disaster assistance check here. ☐ Yes ☒ No 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 <i>If "Yes," attach the statement required by Regulations section 53.4945–5(d)</i>	5b		
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 <i>If "Yes" to 6b, file Form 8870</i>	6b		No
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
EDWARD JOHN ROSENWALD JR 944 FIFTH AVENUE NEW YORK, NY 10021	PRESIDENT 5 0	0	0	0
PATRICIA ROSENWALD 944 FIFTH AVENUE NEW YORK, NY 10021	VICE PRESIDENT 5 0	0	0	0
LAWRENCE B BUTTENWIESER C/O KATTEN MUCHIN ZAVIS ROSENMAN NEW YORK, NY 10022	DIRECTOR 5 0	0	0	0
2 Compensation of five highest-paid employees (other than those included on line 1—see instructions). If none, enter "NONE."				
(a) Name and address of each employee paid more than \$50,000	Title, and average hours per week (b) devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	Expense account, (e) other allowances
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
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	
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	0
b	Average of monthly cash balances.	1b	180,401
c	Fair market value of all other assets (see instructions).	1c	0
d	Total (add lines 1a, b, and c).	1d	180,401
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	0
3	Subtract line 2 from line 1d.	3	180,401
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	2,706
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4.	5	177,695
6	Minimum investment return. Enter 5% of line 5.	6	8,885

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	8,885
2a	Tax on investment income for 2016 from Part VI, line 5.	2a	8,087
b	Income tax for 2016 (This does not include the tax from Part VI).	2b	
c	Add lines 2a and 2b.	2c	8,087
3	Distributable amount before adjustments. Subtract line 2c from line 1.	3	798
4	Recoveries of amounts treated as qualifying distributions.	4	
5	Add lines 3 and 4.	5	798
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	798

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	2,139,000
b	Program-related investments—total from Part IX-B.	1b	0
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes.	2	0
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required).	3a	0
b	Cash distribution test (attach the required schedule).	3b	0
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4.	4	2,139,000
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	8,087
6	Adjusted qualifying distributions. Subtract line 5 from line 4.	6	2,130,913

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				798
2 Undistributed income, if any, as of the end of 2016				
a Enter amount for 2015 only.			0	
b Total for prior years 2014, 2013, 2012		0		
3 Excess distributions carryover, if any, to 2016				
a From 2011.	3,467,321			
b From 2012.	1,861,304			
c From 2013.	2,278,257			
d From 2014.	1,986,853			
e From 2015.	1,823,125			
f Total of lines 3a through e.	11,416,860			
4 Qualifying distributions for 2016 from Part XII, line 4 ▶ \$ <u>2,139,000</u>				
a Applied to 2015, but not more than line 2a			0	
b Applied to undistributed income of prior years (Election required—see instructions).				
c Treated as distributions out of corpus (Election required—see instructions).	2,138,202			
d Applied to 2016 distributable amount.				798
e Remaining amount distributed out of corpus	0			
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	13,555,062			
b Prior years' undistributed income Subtract line 4b from line 2b		0		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed.				
d Subtract line 6c from line 6b Taxable amount—see instructions		0		
e Undistributed income for 2015 Subtract line 4a from line 2a Taxable amount—see instructions			0	
f Undistributed income for 2016 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2017				0
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions).	2,084,746			
8 Excess distributions carryover from 2011 not applied on line 5 or line 7 (see instructions).	1,382,575			
9 Excess distributions carryover to 2017. Subtract lines 7 and 8 from line 6a	10,087,741			
10 Analysis of line 9				
a Excess from 2012.	1,861,304			
b Excess from 2013.	2,278,257			
c Excess from 2014.	1,986,853			
d Excess from 2015.	1,823,125			
e Excess from 2016.	2,138,202			

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 ☐ 4942(j)(3) or ☐ 4942(j)(5)

	Tax year	Prior 3 years			(e) Total
	(a) 2016	(b) 2015	(c) 2014	(d) 2013	
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 email address of the person to whom applications should be addressed

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

c Any submission deadlines

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

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i> See Additional Data Table				
Total			3a	2,139,000
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			14	22	
4 Dividends and interest from securities.			01	826	
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			18	-76	
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).				772	
13 Total. Add line 12, columns (b), (d), and (e).					

(See worksheet in line 13 instructions to verify calculations)

13 _____ **772**

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

[illegible]

Part XVII

- | | Yes | No |
|-------|-----|----|
| 1a(1) | | No |
| 1a(2) | | No |
| 1b(1) | | No |
| 1b(2) | | No |
| 1b(3) | | No |
| 1b(4) | | No |
| 1b(5) | | No |
| 1b(6) | | No |
| 1c | | No |

[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.

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

**Paid
Preparer
Use Only**

Paid Preparer Use Only	Print/Type preparer's name	Preparer's Signature	Date	Check if self-employed ☐	PTIN
	JAMES FERRARA		2017-05-15		P00288604
	Firm's name ▶ ANCHIN BLOCK & ANCHIN LLP				Firm's EIN ▶
	Firm's address ▶ 1375 BROADWAY NEW YORK, NY 100187001				Phone no (212) 840-3456

Form 990FP 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				
Ackerman Institute for the Family 936 BROADWAY 2ND FLOOR NEW YORK, NY 10010	NONE	PUBLIC CHARITY	GENERAL SUPPORT	2,500
Adirondack Council 103 HAND AVE - SUITE 3 ELIZABETHTOWN, NY 12932	NONE	PUBLIC CHARITY	GENERAL SUPPORT	50,000
American Himalayan Foundation 909 MONTGOMERY ST SAN FRANCISCO, CA 94133	NONE	PUBLIC CHARITY	GENERAL SUPPORT	10,000
American Jewish Committee 165 EAST 56TH STREET NEW YORK, NY 10022	NONE	PUBLIC CHARITY	GENERAL SUPPORT	50,000
American Jewish World Service 45 WEST 36TH STREET NEW YORK, NY 10018	NONE	PUBLIC CHARITY	GENERAL SUPPORT	55,000
American Museum of Natural History CENTRAL PARK WEST 79TH STREET NEW YORK, NY 10024	NONE	PUBLIC CHARITY	GENERAL SUPPORT	50,000
American Technion Society 55 EAST 59TH STREET 14 NEW YORK, NY 10022	NONE	PUBLIC CHARITY	GENERAL SUPPORT	10,000
Autism Speaks 1 EAST 33RD STREET NEW YORK, NY 10016	NONE	PUBLIC CHARITY	GENERAL SUPPORT	5,000
Big Apple Circus 1 METROTECH CENTER BROOKLYN, NY 11201	NONE	PUBLIC CHARITY	GENERAL SUPPORT	25,000
CEI 28 W 44TH STREET NEW YORK, NY 10036	NONE	PUBLIC CHARITY	GENERAL SUPPORT	5,000
Center for New American Security 1152 15TH STREET SUITE 950 WASHINGTON, DC 20005	NONE	PUBLIC CHARITY	GENERAL SUPPORT	100,000
Charles Wright Academy 7723 CHAMBERS CREEK ROAD WEST 20TH FLOOR TACOMA, WA 98467	NONE	PUBLIC CHARITY	GENERAL SUPPORT	5,000
Classroom Inc 245 5TH AVENUE NEW YORK, NY 10037	NONE	PUBLIC CHARITY	GENERAL SUPPORT	50,000
Columbia University 525 WEST 120TH STREET NEW YORK, NY 10027	NONE	PUBLIC CHARITY	GENERAL SUPPORT	70,000
Commonwealth Fund 1 E 75TH ST NEW YORK, NY 10021	NONE	PUBLIC CHARITY	GENERAL SUPPORT	25,000
Total ► 3a				2,139,000

Form 990FP 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				
Council on Foreign Relations 58 EAST 68TH STREET NEW YORK, NY 10065	NONE	PUBLIC CHARITY	GENERAL SUPPORT	100,000
Cure FA Foundation 211 STUYVESANT AVE RYE, NY 10580	NONE	PUBLIC CHARITY	GENERAL SUPPORT	10,000
Dartmouth College 6010 parkhurst hall ste 204 HANOVER, NH 03755	NONE	PUBLIC CHARITY	GENERAL SUPPORT	25,000
FIT Foundation SEVENTH AVENUE AT 27 STREET NEW YORK, NY 10001	NONE	PUBLIC CHARITY	GENERAL SUPPORT	5,000
FOCAL PO BOX 214 MONTGOMERY, AL 36101	NONE	PUBLIC CHARITY	GENERAL SUPPORT	25,000
Four Freedoms Park Conservancy 1 FDR FOUR FREEDOMS PARK SUITE 35B ROOSEVELT ISLAND, NY 10044	NONE	PUBLIC CHARITY	GENERAL SUPPORT	2,500
Gift of Life Bone Marrow Foundation 800 YAMATO ROAD SUITE 101 BOCA RATON, FL 33431	NONE	PUBLIC CHARITY	GENERAL SUPPORT	25,000
Gillen Brewer School 410 E 93N STREET SUITE 16B NEW YORK, NY 10128	NONE	PUBLIC CHARITY	GENERAL SUPPORT	50,000
Greenwich Council BSA 63 MASON ST GREENWICH, CT 06830	NONE	PUBLIC CHARITY	GENERAL SUPPORT	5,000
Guiding Eyes for the Blind 611 GRANITE ROAD YORKTOWN HEIGHT, NY 10598	NONE	PUBLIC CHARITY	GENERAL SUPPORT	10,000
HEART 911 614 FRELINGHUYSEN AVENUE NEWARK, NJ 07114	NONE	PUBLIC CHARITY	GENERAL SUPPORT	30,000
Hospice Austin Christopher House 4107 SPICEWOOD SPRINGS AUSTIN, TX 78759	NONE	PUBLIC CHARITY	GENERAL SUPPORT	500
Israel Guide Dog Center for the Blind 968 Easton Road Suite H Warrington, PA 18976	NONE	PUBLIC CHARITY	GENERAL SUPPORT	25,000
Jewish Federation of Palm Beach 4601 COMMUNITY DRIVE WEST PALM BEACH, FL 33417	NONE	PUBLIC CHARITY	GENERAL SUPPORT	5,000
Jewish Theological Seminary 3080 BROADWAY NEW YORK, NY 10027	NONE	PUBLIC CHARITY	GENERAL SUPPORT	25,000
Total ► 3a				2,139,000

Form 990FP 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				
Kings Academy 250 WEST 19TH STREET NEW YORK, NY 10011	NONE	PUBLIC CHARITY	GENERAL SUPPORT	50,000
Lighthouse Guild 15 WEST 65TH STREET NEW YORK, NY 10023	NONE	PUBLIC CHARITY	GENERAL SUPPORT	21,000
Lincoln Center for the Performing Arts 70 LINCOLN CENTER PLAZA NEW YORK, NY 10023	NONE	PUBLIC CHARITY	GENERAL SUPPORT	5,000
Lung Cancer Research Foundation 155 E 55th Street NEW YORK, NY 10022	NONE	PUBLIC CHARITY	GENERAL SUPPORT	1,000
Metropolitan Museum of Art 1000 FIFTH AVENUE NEW YORK, NY 10028	NONE	PUBLIC CHARITY	GENERAL SUPPORT	80,000
Montefiore 111 EAST 210TH STREET BRONX, NY 10467	NONE	PUBLIC CHARITY	GENERAL SUPPORT	1,000
Music Shines Bright 54 DAPPLEGRAY RD BELL CANYON, CA 91307	NONE	PUBLIC CHARITY	GENERAL SUPPORT	1,000
National Center on Addiction & Substance Abuse at 633 THIRD AVE NEW YORK, NY 10017	NONE	PUBLIC CHARITY	GENERAL SUPPORT	50,000
Natural Museum Of American Jewish History 101 SOUTH INDEPENDENCE MALL EAST PHILADELPHIA, PA 19106	NONE	PUBLIC CHARITY	GENERAL SUPPORT	43,000
National Organization on Disability 888 16TH STREET NW SUITE 811 WASHINGTON, DC 20006	NONE	PUBLIC CHARITY	GENERAL SUPPORT	100,000
New York City Police Foundation Inc 555 FIFTH AVENUE NEW YORK, NY 10017	NONE	PUBLIC CHARITY	GENERAL SUPPORT	100,000
NY Common Pantry 8 EAST 109TH STREET NEW YORK, NY 10029	NONE	PUBLIC CHARITY	GENERAL SUPPORT	10,000
New York Landmarks Conservacty 1 WHITEHALL STREET NEW YORK, NY 10004	NONE	PUBLIC CHARITY	GENERAL SUPPORT	10,000
New York Philharmonic 10 LINCOLN CENTER PLAZA NEW YORK, NY 10023	NONE	PUBLIC CHARITY	GENERAL SUPPORT	25,000
NYC & Company Foundation 810 SEVENTH AVENUE 3RD FL NEW YORK, NY 10019	NONE	PUBLIC CHARITY	GENERAL SUPPORT	5,000
Total ► 3a				2,139,000

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a Paid during the year				
Greater New York Councils -Boy Scouts of America 350 5TH AVE 7820 NEW YORK, NY 10118	NONE	PUBLIC CHARITY	GENERAL SUPPORT	25,000
NYU Langone Medical Center 550 FIRST AVENUE NEW YORK, NY 10016	NONE	PUBLIC CHARITY	GENERAL SUPPORT	127,500
Overlook Foundation - Andy Bovin Memorial Fund 36 UPPER OVERLOOK ROAD SUMMIT, NJ 07902	NONE	PUBLIC CHARITY	GENERAL SUPPORT	1,000
Palm Beach Country Club Foundation 760 N OCEAN BOULEVARD PALM BEACH, FL 33480	NONE	PUBLIC CHARITY	GENERAL SUPPORT	1,000
Palm Beach United Way 44 COCONUT ROW - M201 PALM BEACH, FL 33480	NONE	PUBLIC CHARITY	GENERAL SUPPORT	1,500
Partnership for Public Service 1100 NEW YORK AVE NW WASHINGTON, DC 20005	NONE	PUBLIC CHARITY	GENERAL SUPPORT	20,000
Phoenix House 164 WEST 74TH STREET NEW YORK, NY 10023	NONE	PUBLIC CHARITY	GENERAL SUPPORT	10,000
Pine Ridge Girls School 16531 AKRON STREET PACIFIC PALISADES, CA 90272	NONE	PUBLIC CHARITY	GENERAL SUPPORT	25,000
Publicolor 20 WEST 36TH STREET 9TH FLOOR NEW YORK, NY 10018	NONE	PUBLIC CHARITY	GENERAL SUPPORT	100,000
Rockefeller University Annual Fund 1230 YORK AVENUE NEW YORK, NY 10065	NONE	PUBLIC CHARITY	GENERAL SUPPORT	75,000
Saratoga Independent School 459 Lake Ave Saratoga Springs, NY 12866	NONE	PUBLIC CHARITY	GENERAL SUPPORT	10,000
Simon Wiesenthal Center 1399 ROXBURY DR LOS ANGELES, CA 90035	NONE	PUBLIC CHARITY	GENERAL SUPPORT	10,000
The Society of the Four Arts 2 FOUR ARTS PLAZA PALM BEACH, FL 33480	NONE	PUBLIC CHARITY	GENERAL SUPPORT	25,000
Teachers College BOX 306 525 WEST 120TH STREET NEW YORK, NY 10027	NONE	PUBLIC CHARITY	GENERAL SUPPORT	25,000
The Asia Foundation 465 CALIFORNIA STREET SAN FRANCISCO, CA 94104	NONE	PUBLIC CHARITY	GENERAL SUPPORT	5,000
Total ►				2,139,000
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>				
The Blenheim Foundation 600 3RD AVE NEW YORK, NY 10016	NONE	PUBLIC CHARITY	GENERAL SUPPORT	4,000
The First Tee of The Palm Beaches 7301 Haverhill RD Riviera Beach, FL 33407	NONE	PUBLIC CHARITY	GENERAL SUPPORT	5,000
The Skin Cancer Foundation 149 MADISON AVENUE NEW YORK, NY 10016	NONE	PUBLIC CHARITY	GENERAL SUPPORT	10,000
The Yound Womens Leadership Network 322 8TH AVE 14TH FLOOR NEW YORK, NY 10001	NONE	PUBLIC CHARITY	GENERAL SUPPORT	10,000
The Vassar Fund 124 RAYMOND AVENUE POUGHKEEPSIE, NY 12604	NONE	PUBLIC CHARITY	GENERAL SUPPORT	110,000
Thomas Labrecque Foundation 1414 PRINCE ST STE 400 ALEXANDRIA, VA 22314	NONE	PUBLIC CHARITY	GENERAL SUPPORT	1,500
The Trust for Governors Island 10 SOUTH STREET SLIP 7 NEW YORK, NY 10004	NONE	PUBLIC CHARITY	GENERAL SUPPORT	25,000
Tuck Annual Giving 100 TUCK MALL HANOVER, NH 03755	NONE	PUBLIC CHARITY	GENERAL SUPPORT	5,000
UJA Federation 130 EAST 59TH STREET NEW YORK, NY 10022	NONE	PUBLIC CHARITY	GENERAL SUPPORT	150,000
Total ▶ 3a				2,139,000

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

TY 2016 Depreciation Schedule

Name: THE EDWARD JOHN &
PATRICIA ROSENWALD FOUNDATION

EIN: 74-3107995

TY 2016 LiquidationExplanationStmt

Name: THE EDWARD JOHN &
PATRICIA ROSENWALD FOUNDATION

EIN: 74-3107995

Statement: THE STATEMENT IS SUBMITTED IN ACCORDANCE WITH REG. 1.6043-3(A)(1) AND FORM 990-PF GENERAL INSTRUCTION T TO REPORT THE DISTRIBUTION OF CERTAIN ASSETS THAT RESULTED IN A SUBSTANTIAL CONTRACTION OF ASSETS DURING THE CURRENT TAX YEAR. DURING 2016, THE EDWARD JOHN & PATRICIA ROSENWALD FOUNDATION PAID CASH GRANT DISTRIBUTIONS OF \$2,139,000 OF WHICH \$65,776 IS FROM SOURCES OTHER THAN CURRENT INCOME. SUCH DISTRIBUTIONS REPRESENTED 38.275% OF THE FOUNDATION'S NET ASSETS OF \$171,851 (AS MEASURED BY FAIR MARKET VALUE) AT THE BEGINNING OF 2016. INFORMATION REGARDING THESE DISTRIBUTIONS IS INCLUDED IN ATTACHMENT 8 OF GRANTS PAID FOR THE YEAR 12/31/2016. NONE OF THE RECIPIENTS ARE CONTROLLED (DIRECTLY OR INDIRECTLY) BY THE FOUNDATION OR ANY DISQUALIFIED PERSONS WITH RESPECT TO THE FOUNDATION. ALL OF THE RECIPIENTS ARE PUBLIC CHARITIES AS DEFINED IN IRC SECTION 509(A). ALL DISTRIBUTIONS WERE TO PROVIDE GENERAL SUPPORT FOR THE RECIPIENTS' CHARITABLE, EDUCATIONAL OR OTHER EXEMPT PURPOSES UNDER IRS SECTION 501(C)(3), AND THE RECIPIENTS ARE UNDER NO OBLIGATION TO USE THE FUNDS IN A MANNER THAT WILL DIRECTLY BENEFIT THE FOUNDATION OR ANY DISQUALIFIED PERSONS WITH RESPECT TO THE FOUNDATION.

TY 2016 Other Expenses Schedule

Name: THE EDWARD JOHN &
PATRICIA ROSENWALD FOUNDATION

EIN: 74-3107995

Other Expenses Schedule

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
NYS FILING FEE	50			

TY 2016 Substantial Contributors Schedule

Name: THE EDWARD JOHN &
PATRICIA ROSENWALD FOUNDATION

EIN: 74-3107995

Name	Address
E JOHN ROSENWALD JR	944 5TH AVENUE NEW YORK, NY 10021
E JOHN ROSENWALD JR	944 FIFTH AVENUE NEW YORK, NY 10021
E JOHN ROSENWALD JR	944 FIFTH AVENUE new york, NY 10021
E JOHN ROSENWALD JR	944 FIFTH AVENUE new york, NY 10021
E JOHN ROSENWALD JR	944 FIFTH AVENUE new york, NY 10021
E JOHN ROSENWALD JR	944 5TH AVENUE NEW YORK, NY 10021

TY 2016 Taxes Schedule

Name: THE EDWARD JOHN &
PATRICIA ROSENWALD FOUNDATION

EIN: 74-3107995

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FEDERAL EXCISE TAX ON NET				
INVESTMENT INCOME	12,244			

Schedule B (Form 990, 990-EZ, or 990-PF) Department of the Treasury Internal Revenue Service	Schedule of Contributors ▶ Attach to Form 990, 990-EZ, or 990-PF ▶ Information about Schedule B (Form 990, 990-EZ, or 990-PF) and its instructions is at <u>www.irs.gov/form990</u>.	OMB No 1545-0047 2016
	Name of the organization THE EDWARD JOHN & PATRICIA ROSENWALD FOUNDATION	Employer identification number 74-3107995

Organization type (check one)

Filers of:	Section:
Form 990 or 990-EZ	☐ 501(c)() (enter number) organization
	☐ 4947(a)(1) nonexempt charitable trust not treated as a private foundation
	☐ 527 political organization
Form 990-PF	☒ 501(c)(3) exempt private foundation
	☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation
	☐ 501(c)(3) taxable private foundation

Check if your organization is covered by the **General Rule** or a **Special Rule**.
Note. Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule. See instructions.

General Rule

☒ For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, contributions totaling \$5,000 or more (in money or other property) from any one contributor. Complete Parts I and II. See instructions for determining a contributor's total contributions.

Special Rules

☐ For an organization described in section 501(c)(3) filing Form 990 or 990-EZ that met the 33¹/₃% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi), that checked Schedule A (Form 990 or 990-EZ), Part II, line 13, 16a, or 16b, and that received from any one contributor, during the year, total contributions of the greater of **(1)** \$5,000 or **(2)** 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1. Complete Parts I and II.

☐ For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than \$1,000 *exclusively* for religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals. Complete Parts I, II, and III.

☐ For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions *exclusively* for religious, charitable, etc., purposes, but no such contributions totaled more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Do not complete any of the parts unless the **General Rule** applies to this organization because it received *nonexclusively* religious, charitable, etc., contributions totaling \$5,000 or more during the year. . . . ▶ \$ _____

Caution. An organization that is not covered by the General Rule and/or the Special Rules does not file Schedule B (Form 990, 990-EZ, or 990-PF), but it **must** answer "No" on Part IV, line 2, of its Form 990, or check the box on line H of its Form 990-EZ or on its Form 990PF, Part I, line 2, to certify that it does not meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF).

Name of organization THE EDWARD JOHN & PATRICIA ROSENWALD FOUNDATION	Employer identification number 74-3107995
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Part I Contributors (see instructions) Use duplicate copies of Part I if additional space is needed			
(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	E JOHN ROSENWALD JR	\$ 1,405,184	Person ☒
	944 5TH AVENUE		Payroll ☐
	NEW YORK, NY10021		Noncash ☒ (Complete Part II for noncash contributions)
2	E JOHN ROSENWALD JR	\$ 4,494	Person ☒
	944 FIFTH AVENUE		Payroll ☐
	NEW YORK, NY10021		Noncash ☒ (Complete Part II for noncash contributions)
3	E JOHN ROSENWALD JR	\$ 168,400	Person ☒
	944 FIFTH AVENUE		Payroll ☐
	new york, NY10021		Noncash ☒ (Complete Part II for noncash contributions)
4	E JOHN ROSENWALD JR	\$ 5,000	Person ☒
	944 FIFTH AVENUE		Payroll ☐
	new york, NY10021		Noncash ☐ (Complete Part II for noncash contributions)
5	E JOHN ROSENWALD JR	\$ 120,000	Person ☒
	944 FIFTH AVENUE		Payroll ☐
	new york, NY10021		Noncash ☐ (Complete Part II for noncash contributions)
6	E JOHN ROSENWALD JR	\$ 381,668	Person ☒
	944 5TH AVENUE		Payroll ☐
	NEW YORK, NY10021		Noncash ☐ (Complete Part II for noncash contributions)

Name of organization THE EDWARD JOHN & PATRICIA ROSENWALD FOUNDATION	Employer identification number 74-3107995
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Part II **Noncash Property** (see Instructions) Use duplicate copies of Part II if additional space is needed

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
_____	See Additional Data Table	\$ _____	_____
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
_____		\$ _____	_____
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
_____		\$ _____	_____
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
_____		\$ _____	_____
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
_____		\$ _____	_____
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
_____		\$ _____	_____
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
_____		\$ _____	_____
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
_____		\$ _____	_____

Name of organizationTHE EDWARD JOHN &
PATRICIA ROSENWALD FOUNDATION**Employer identification number**

74-3107995

Part III	Exclusively religious, charitable, etc., contributions to organizations described in section 501(c)(7), (8), or (10) that total more than \$1,000 for the year from any one contributor. Complete columns (a) through (e) and the following line entry. For organizations completing Part III, enter the total of exclusively religious, charitable, etc., contributions of \$1,000 or less for the year. (Enter this information once. See instructions.) ▶ \$ _____ Use duplicate copies of Part III if additional space is needed
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(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
	_____	_____	_____
	_____	_____	_____
	(e) Transfer of gift		
	Transferee's name, address, and ZIP 4		Relationship of transferor to transferee
	_____	_____	_____
	_____	_____	_____
	(e) Transfer of gift		
	Transferee's name, address, and ZIP 4		Relationship of transferor to transferee
	_____	_____	_____
	_____	_____	_____
	(e) Transfer of gift		
	Transferee's name, address, and ZIP 4		Relationship of transferor to transferee
	_____	_____	_____
	_____	_____	_____
	(e) Transfer of gift		
	Transferee's name, address, and ZIP 4		Relationship of transferor to transferee
	_____	_____	_____
	_____	_____	_____
	(e) Transfer of gift		
	Transferee's name, address, and ZIP 4		Relationship of transferor to transferee
	_____	_____	_____
	_____	_____	_____
	(e) Transfer of gift		
	Transferee's name, address, and ZIP 4		Relationship of transferor to transferee

Additional Data

Software ID:
Software Version:
EIN: 74-3107995
Name: THE EDWARD JOHN &
PATRICIA ROSENWALD FOUNDATION

Form 990 Schedule B, Part II - Noncash Property (see Instructions) Use duplicate copies of Part II if additional space is needed

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
<u>1</u>	61 SHS ADOBE SYSTEMS INC 1000 SHS CARDINAL HEALTH INC 400 SHS DIAGEO PLC-SPONSORED ADR 670 SHS DU PO	<u>\$ 173,228</u>	<u>2016-03-08</u>
<u>2</u>	550 SHS GENUINE PARTS CO 800 SHS HCA HOLDINGS INC 99 SHS HOME DEPOT INC 226 SHS HONEYWELL INTERNATIO	<u>\$ 146,126</u>	<u>2016-03-08</u>
<u>3</u>	169 SHS HUMANA INC 620 SHS JOHNSON & JOHNSON 480 SHS KIMBERLY-CLARK CORP 550 SHS ELI LILLY & CO	<u>\$ 200,984</u>	<u>2016-03-08</u>
<u>4</u>	835 SHS MASCO CORP 120 SHS MICROSOFT CORP 700 SHS NEXTERA ENERGY INC 449 SHS NISOURCE INC	<u>\$ 120,852</u>	<u>2016-03-08</u>
<u>5</u>	850 SHS OMNICOM GROUP 480 SHS PHILIP MORRIS INTERNATIONAL 1230 SHS RAYTHEON COMPANY 2350 SHS SEALED	<u>\$ 369,370</u>	<u>2016-03-08</u>
<u>6</u>	1020 SHS 3M CO 545 SHS TRAVELERS COS INC/THE 1050 SHS UNILEVER N V -NY SHARES 340 SHS WELLS FARGO &	<u>\$ 286,508</u>	<u>2016-03-08</u>
<u>7</u>	700 SHS WELLTOWER INC 30 SHS ALPHABET INC/CA-CL A 58 SHS ALPHABET INC/CA-CL C	<u>\$ 108,116</u>	<u>2016-03-08</u>
<u>8</u>	6 SHS ALPHABET INC/CA-CL A	<u>\$ 4,494</u>	<u>2016-03-14</u>
<u>9</u>	58 SHS ADOBE SYSTEMS INC 50 SHS ALPHABET INC/CA-CL C 85 SHS GENUINE PARTS CO 525 SHS HCA HOLDINGS IN	<u>\$ 89,748</u>	<u>2016-06-16</u>
<u>10</u>	99 SHS HOME DEPOT INC 226 SHS HONEYWELL INTERNATIONAL INC 372 SHS NISOURCE INC 30 SHS 3M CO	<u>\$ 52,986</u>	<u>2016-06-16</u>

Form 990 Schedule B, Part II - Noncash Property (see Instructions) Use duplicate copies of Part II if additional space is needed

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
<u>11</u>	350 SHS WELLTOWER INC	<u>\$ 25,666</u>	<u>2016-06-16</u>

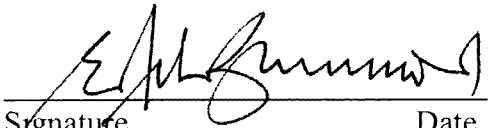
The Edward John and Patricia Rosenwald Foundation
EIN: 74-3107995
Tax Period Ending 12/31/2016

Election to Satisfy Distribution Requirements Under
IRC Sections 170(b)(1)(F)(ii)

Pursuant to Reg. 53.4942(a)-3(c)(2)(iv), the above referenced foundation hereby elects to treat, as a current distribution out of corpus, the following unused prior tax years' distributions that were treated as corpus distribution under Reg. 53(a)-3(d)(1)(iii) in such prior tax years:

<u>Tax year</u>	<u>Amount</u>
12/31/2011	<u>\$ 2,084,746</u>

Total Amount \$ 2,084,746

 12/11/17
Signature Date

E. John Rosenwald, Jr.
Name

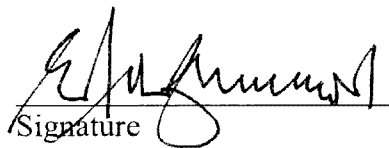
President
Title

The Edward John and Patricia Rosenwald Foundation
EIN: 74-3107995
Tax Period January 1, 2016 to December 31, 2016

Election to Treat Current Year Qualifying Distributions as Being Made out of Corpus.

Pursuant to IRC Section 4942(h)(2) and Regulation 53.4942(a)-3(d)(2), the above-referenced foundation hereby elects to treat current year qualifying distributions in excess of the immediately preceding tax year's undistributed income as being made out of corpus.

Amount of Election \$ 2,138,202

 5/11/17
Signature Date

E. John Rosenwald, Jr.
Name

President
Title



Capital Gain and Loss Schedule

E JOHN AND PATRICIA ROSENWALD FND
Account Number: Q 22618-00-5

Short-Term Covered

* Code: W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income D indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Description	CUSIP	Code*	Date Acquired Date Sold	Units	Proceeds	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
ADOBE SYSTEMS INC	00724F101		12/22/2015 03/08/2016	61.000	5,173.90	5,619.02		-445.12
ALPHABET INC/CA-CL A	02079K305		10/30/2015 03/08/2016	6.000	4,289.60	4,461.20		-171.60
HCA HOLDINGS INC	40412C101		Various 03/08/2016	525.000	37,702.59	36,384.43		1,318.16
MICROSOFT CORP	594918104		01/15/2016 03/08/2016	120.000	6,213.46	6,119.05		94.41
NISOURCE INC	65473P105		Various 03/08/2016	344.000	7,736.38	6,526.99		1,209.39
WELLTOWER INC	95040Q104		03/29/2016 06/16/2016	130.000	9,453.39	9,004.54		448.85
Total Short-Term Covered					70,569.32	68,115.23		2,454.09



* Code* W indicates Wash Sale

L indicates a Nondeductible Loss other than a Wash Sale

** Ordinary Income D indicates Ordinary Income gain or loss

F indicates Foreign Exchange gain or loss on Capital Transactions

Capital Gain and Loss Schedule

E JOHN AND PATRICIA ROSENWALD FND

Account Number: Q 22618-00-5

Long-Term Covered

Description	CLUSP	Code*	Date Acquired Date Sold	Units	Proceeds	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
ADOBE SYSTEMS INC	00724F101		11/05/2012 06/16/2016	58.000	5,560.34	1,980.20		3,580.14
ALPHABET INC/CA-CL C	02079K107		Various 03/10/2016	58.000	41,067.16	29,838.76		11,228.40
ALPHABET INC/CA-CL C	02079K107		07/11/2012 06/16/2016	50.000	35,605.23	14,234.91		21,370.32
ALPHABET INC/CA-CL A	02079K305		07/11/2012 03/08/2016	30.000	21,448.03	8,568.32		12,879.71
CARDINAL HEALTH INC	14149Y108		Various 03/08/2016	1,000.000	82,918.19	42,918.28		39,999.91
DU PONT (E.I.) DE NEMOURS	263534109		03/28/2012 03/08/2016	180.000	11,456.75	9,020.72		2,436.03
GENUINE PARTS CO	372460105		03/28/2012 03/08/2016	85.000	8,011.92	5,292.10		2,719.82
HCA HOLDINGS INC	40412C101		07/25/2011 03/08/2016	275.000	19,748.98	7,751.89		11,997.09
HCA HOLDINGS INC	40412C101		07/25/2011 06/16/2016	525.000	40,297.91	14,799.07		25,498.84
HOME DEPOT INC	437076102		07/17/2014 03/08/2016	99.000	12,604.40	7,880.89		4,723.51
HOME DEPOT INC	437076102		03/20/2012 06/16/2016	99.000	12,499.46	4,892.81		7,606.65
HONEYWELL INTERNATIONAL INC	438516106		07/17/2014 03/08/2016	226.000	24,305.76	21,534.39		2,771.37
HUMANA INC	444859102		04/11/2011 03/08/2016	169.000	30,992.91	11,768.12		19,224.79

J.P.Morgan

Capital Gain and Loss Schedule

E JOHN AND PATRICIA ROSENWALD FND

Account Number: Q 22618-00-5

Long-Term Covered

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income D indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Description	CUSIP	Code*	Date Acquired Date Sold	Units	Proceeds	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
JOHNSON & JOHNSON	478160104		03/28/2012 03/08/2016	90.000	9,580.29	5,872.50		3,707.79
MASCO CORP	574599106		Various 03/08/2016	835.000	24,297.96	9,656.38		14,641.58
NEXTERA ENERGY INC	65339F101		03/28/2012 03/08/2016	15.000	1,729.01	908.40		820.61
NISOURCE INC	65473P105		01/14/2015 03/08/2016	105.000	2,361.40	1,617.06		744.34
NISOURCE INC	65473P105		Various 06/16/2016	372.000	9,374.70	3,616.03		5,758.67
PHILIP MORRIS INTERNATIONAL	718172109		03/28/2012 03/08/2016	200.000	18,936.00	17,378.00		1,558.00
RAYTHEON COMPANY	755111507		Various 03/08/2016	1,230.000	150,893.10	61,027.44		89,865.66
SEALED AIR CORP	81211K100		Various 03/08/2016	2,350.000	106,617.17	42,896.72		63,720.45
UNILEVER N V -NY SHARES	904784709		03/28/2012 03/08/2016	410.000	17,893.73	13,808.02		4,085.71
WELLTOWER INC	95040Q104		03/28/2012 03/08/2016	350.000	23,049.49	17,940.21		5,109.28
3M CO	88579Y101		03/28/2012 03/08/2016	30.000	4,799.30	2,653.80		2,145.50
Total Long-Term Covered					716,049.19	357,855.02		358,194.17



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** Ordinary Income, D indicates Ordinary Income gain or loss

F indicates Foreign Exchange gain or loss on Capital transactions

Capital Gain and Loss Schedule

E JOHN AND PATRICIA ROSENWALD FND

Account Number: Q 22618-00-5

Long-Term Noncovered

Description	CUSIP	Code*	Date Acquired Date Sold	Units	Proceeds	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
DIAGEO PLC-SPONSORED ADR	25243Q205		12/03/2008 03/08/2016	400.000	42,479.11	21,110.68		21,368.43
DU PONT (E.I.) DE NEMOURS	263534109		12/28/2009 03/08/2016	490.000	31,187.81	15,640.48		15,547.33
ELI LILLY & CO	532457108		12/03/2008 03/08/2016	550.000	40,386.66	18,533.63		21,853.03
GENUINE PARTS CO	372460105		12/03/2008 03/08/2016	465.000	43,829.94	17,086.37		26,743.57
GENUINE PARTS CO	372460105		12/03/2008 06/16/2016	85.000	8,104.57	3,123.32		4,981.25
HONEYWELL INTERNATIONAL INC	438516106		12/16/2009 06/16/2016	226.000	25,932.21	9,277.44		16,654.77
JOHNSON & JOHNSON	478160104		12/03/2008 03/08/2016	530.000	56,417.27	30,077.50		26,339.77
KIMBERLY-CLARK CORP	494368103		12/03/2008 03/08/2016	480.000	63,660.82	25,758.14		37,902.68
NEXTERA ENERGY INC	65339F101		02/19/2009 03/08/2016	685.000	78,958.30	34,120.81		44,837.49
OMNICOM GROUP	681919106		02/03/2010 03/08/2016	850.000	66,341.05	31,401.72		34,939.33
PHILIP MORRIS INTERNATIONAL	718172109		12/03/2008 03/08/2016	280.000	26,510.40	11,460.12		15,050.28
TRAVELERS COS INC/THE	89417E109		03/30/2009 03/08/2016	545.000	60,468.50	21,704.51		38,763.99
UNILEVER N V -NY SHARES	904784709		12/03/2008 03/08/2016	640.000	27,931.68	14,278.78		13,652.90

J.P.Morgan

Capital Gain and Loss Schedule

E JOHN AND PATRICIA ROSENWALD FND
Account Number: Q 22618-00-5

Long-Term Noncovered

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income D indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Description	CUSIP	Code*	Date Acquired Date Sold	Units	Proceeds	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
WELLS FARGO & CO	949746101		12/03/2008 03/08/2016	340.000	16,735.96	9,132.40		7,603.56
WELLTOWER INC	95040Q104		12/03/2008 03/08/2016	350.000	23,049.50	8,970.80		14,078.70
WELLTOWER INC	95040Q104		12/03/2008 06/16/2016	220.000	15,998.05	5,635.63		10,362.42
3M CO	88579Y101		Various 03/08/2016	990.000	158,376.83	65,131.94		93,244.89
3M CO	88579Y101		01/03/2009 06/16/2016	30.000	5,014.69	1,743.07		3,271.62
Total Long-Term Noncovered					791,383.35	344,187.34		447,196.01