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Return of Private Foundation

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

2016

Department of the Treasury
Internal Revenue Service

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Open to Public Inspection

For calendar year 2016 or tax year beginning **JUL 1, 2016**, and ending **JUN 30, 2017**

Name of foundation: **THE KLEIN FAMILY FOUNDATION, INC.**

Number and street (or P O box number if mail is not delivered to street address): **MCCABE HEIDRICH & WONG; 4 GATEHALL DR.**

Room/suite: _____

City or town, state or province, country, and ZIP or foreign postal code: **PARSIPPANY, NJ 07054-4518**

A Employer identification number: **52-1705026**

B Telephone number: **973-605-1040**

C If exemption application is pending, check here

D 1 Foreign organizations, check here
2 Foreign organizations meeting the 85% test, check here and attach computation

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

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

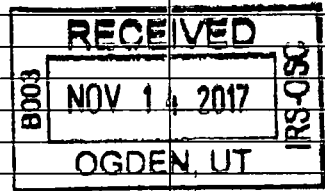
G Check all that apply:
 Initial return
 Final return
 Address change
 Initial return of a former public charity
 Amended return
 Name change

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

I Fair market value of all assets at end of year (from Part II, col. (c), line 16): **\$ 4,878,826.** (Part I, column (d) must be on cash basis)

J Accounting method: Cash Accrual
 Other (specify) _____

Part I Analysis of Revenue and Expenses		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
1 Contributions, gifts, grants, etc., received				N/A	
2 Check <input checked="" type="checkbox"/> if the foundation is not required to attach Sch B					
3 Interest on savings and temporary cash investments		797.	797.		STATEMENT 1
4 Dividends and interest from securities		57,365.	57,365.		STATEMENT 2
5a Gross rents					
b Net rental income or (loss)					
6a Net gain or (loss) from sale of assets not on line 10		229,942.			
b Gross sales price for all assets on line 6a		1,559,197.			
7 Capital gain net income (from Part IV, line 2)			229,942.		
8 Net short-term capital gain					
9 Income modifications					
10a Gross sales less returns and allowances					
b Less Cost of goods sold					
c Gross profit or (loss)					
11 Other income		807.	807.		STATEMENT 3
12 Total Add lines 1 through 11		288,911.	288,911.		
13 Compensation of officers, directors, trustees, etc		50,000.	5,000.		45,000.
14 Other employee salaries and wages					
15 Pension plans, employee benefits					
16a Legal fees					
b Accounting fees STMT 4		8,200.	7,200.		1,000.
c Other professional fees					
17 Interest					
18 Taxes STMT 5		21,531.	1,499.		0.
19 Depreciation and depletion					
20 Occupancy					
21 Travel, conferences, and meetings					
22 Printing and publications					
23 Other expenses STMT 6		22,710.	22,710.		0.
24 Total operating and administrative expenses. Add lines 13 through 23		102,441.	36,409.		46,000.
25 Contributions, gifts, grants paid		175,007.			175,007.
26 Total expenses and disbursements Add lines 24 and 25		277,448.	36,409.		221,007.
27 Subtract line 26 from line 12:					
a Excess of revenue over expenses and disbursements		11,463.			
b Net investment income (if negative, enter -0-)			252,502.		
c Adjusted net income (if negative, enter -0-)				N/A	



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Part II Balance Sheets Attached schedules and amounts in the description column should be for end-of-year amounts only		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1 Cash - non-interest-bearing			
	2 Savings and temporary cash investments	2,871,810.	185,629.	185,629.
	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			
	7 Other notes and loans receivable ▶ 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			
	b Investments - corporate stock STMT 8	1,382,638.	4,083,180.	4,693,197.
	c Investments - corporate bonds			
	11 Investments - land, buildings, and equipment basis ▶ Less accumulated depreciation ▶			
	12 Investments - mortgage loans			
	13 Investments - other			
	14 Land, buildings, and equipment basis ▶ Less accumulated depreciation ▶			
15 Other assets (describe ▶)				
16 Total assets (to be completed by all filers - see the instructions. Also, see page 1, item I)	4,254,448.	4,268,809.	4,878,826.	
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			
	22 Other liabilities (describe ▶)			
	23 Total liabilities (add lines 17 through 22)	0.	0.	
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ <input checked="" type="checkbox"/> and complete lines 24 through 26 and lines 30 and 31.			
	24 Unrestricted	4,254,448.	4,268,809.	
	25 Temporarily restricted			
	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	4,254,448.	4,268,809.		
31 Total liabilities and net assets/fund balances	4,254,448.	4,268,809.		

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	4,254,448.
2 Enter amount from Part I, line 27a	2	11,463.
3 Other increases not included in line 2 (itemize) ▶ SEE STATEMENT 7	3	2,898.
4 Add lines 1, 2, and 3	4	4,268,809.
5 Decreases not included in line 2 (itemize) ▶	5	0.
6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	4,268,809.

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			
b SEE ATTACHED STATEMENT			
c			
d			
e			

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a			
b			
c			
d			
e 1,559,197.		1,329,255.	229,942.

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(f) 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			229,942.

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	229,942.
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). If (loss), enter -0- in Part I, line 8		3	N/A

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

(For optional use by domestic private foundations subject to the section 4940(a) tax on net investment income.)

If section 4940(d)(2) applies, leave this part blank.

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

1 Enter the appropriate amount in each column for each year; see the instructions before making any entries.

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2015	234,490.	4,552,215.	.051511
2014	236,565.	4,921,455.	.048068
2013	254,694.	4,597,405.	.055400
2012	240,629.	4,277,558.	.056254
2011	252,533.	4,678,864.	.053973

2 Total of line 1, column (d)	2	.265206
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	.053041
4 Enter the net value of noncharitable-use assets for 2016 from Part X, line 5	4	4,842,141.
5 Multiply line 4 by line 3	5	256,832.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	2,525.
7 Add lines 5 and 6	7	259,357.
8 Enter qualifying distributions from Part XII, line 4	8	221,007.

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	5,050.
c	All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b).		
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	2	0.
3	Add lines 1 and 2	3	5,050.
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	4	0.
5	Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-	5	5,050.
6	Credits/Payments:		
a	2016 estimated tax payments and 2015 overpayment credited to 2016	6a	7,000.
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	7,000.
8	Enter any penalty for underpayment of estimated tax. Check here <input checked="" 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	1,950.
11	Enter the amount of line 10 to be: Credited to 2017 estimated tax <input type="checkbox"/> 1,950. Refunded <input checked="" type="checkbox"/>	11	0.

Part VII-A Statements Regarding Activities

	Yes	No
1a		X
1b		X
1c		X
2		X
3		X
4a		X
4b	N/A	
5		X
6	X	
7	X	
8a		
8b	X	
9		X
10		X

Part VII-A Statements Regarding Activities (continued)

	Yes	No
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)		X
12 Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)		X
13 Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► <u>N/A</u>	X	
14 The books are in care of ► <u>ANTOINETTE GEYELIN HOAR</u> Telephone no. ► <u>(973) 605-1040</u> Located at ► <u>C/O MHW; 4 GATEHALL DR., PARSIPPANY, NJ</u> ZIP+4 ► <u>07054-4518</u>		
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		<input type="checkbox"/>
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 the instructions for exceptions and filing requirements for FinCEN Form 114. If "Yes," enter the name of the foreign country ►		X

Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.

	Yes	No
1a During the year did the foundation (either directly or indirectly):		
(1) Engage in the sale or exchange, or leasing of property with a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? Organizations relying on a current notice regarding disaster assistance check here		X
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?		X
2 Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)):		
a At the end of tax year 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 ► _____, _____, _____		
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.) <u>N/A</u>		
c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. ► _____, _____, _____		
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.) <u>N/A</u>		
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?		X
b Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2016?		X

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 N/A

c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? Yes No
 If "Yes," attach the statement required by Regulations section 53.4945-5(d) N/A

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
 If "Yes" to 6b, file Form 8870

7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? Yes No

b If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction? Yes No

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.

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
ANTOINETTE GEYELIN HOAR C/O MCCABE HEIDRICH & WONG; 4 GATEHAL PARSIPPANY, NJ 07054	PRES./TREAS. AND TRUSTEE 15.00	50,000.	0.	0.
JUDITH ALBERT C/O MCCABE HEIDRICH & WONG; 4 GATEHAL PARSIPPANY, NJ 07054	VICE PRES. AND TRUSTEE 0.50	0.	0.	0.
JENNIFER KLEIN SEAMAN C/O MCCABE HEIDRICH & WONG; 4 GATEHAL PARSIPPANY, NJ 07054	VICE PRES./SECRETARY AND T 0.50	0.	0.	0.

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

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

Total number of other employees paid over \$50,000 ▶ 0

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

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

Table with 3 columns: (a) Name and address of each person paid more than \$50,000, (b) Type of service, (c) Compensation. Row 1 contains 'NONE'.

Total number of others receiving over \$50,000 for professional services 0

Part IX-A Summary of Direct Charitable Activities

Table with 2 columns: Description of activities, Expenses. Row 1 contains 'N/A'.

Part IX-B Summary of Program-Related Investments

Table with 2 columns: Description of investments, Amount. Rows 1 and 2 contain 'N/A'. Row 3 is for other investments.

Total. Add lines 1 through 3 0.

Part X Minimum Investment Return (All domestic foundations must complete this part. Foreign foundations, see instructions.)

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
a	Average monthly fair market value of securities	1a	3,383,564.
b	Average of monthly cash balances	1b	1,532,315.
c	Fair market value of all other assets	1c	
d	Total (add lines 1a, b, and c)	1d	4,915,879.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	0.
2	Acquisition indebtedness applicable to line 1 assets	2	0.
3	Subtract line 2 from line 1d	3	4,915,879.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	73,738.
5	Net value of noncharitable-use assets . Subtract line 4 from line 3. Enter here and on Part V, line 4	5	4,842,141.
6	Minimum investment return . Enter 5% of line 5	6	242,107.

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	242,107.
2a	Tax on investment income for 2016 from Part VI, line 5	2a	5,050.
b	Income tax for 2016. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	5,050.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	237,057.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	237,057.
6	Deduction from distributable amount (see instructions)	6	0.
7	Distributable amount as adjusted . Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	237,057.

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	221,007.
b	Program-related investments - total from Part IX-B	1b	0.
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	Qualifying distributions . Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	221,007.
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	5	0.
6	Adjusted qualifying distributions . Subtract line 5 from line 4	6	221,007.

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				237,057.
2 Undistributed income, if any, as of the end of 2016				
a Enter amount for 2015 only			70,939.	
b Total for prior years:		0.		
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	0.			
4 Qualifying distributions for 2016 from Part XII, line 4: ▶ \$ 221,007.				
a Applied to 2015, but not more than line 2a			70,939.	
b Applied to undistributed income of prior years (Election required - see instructions)		0.		
c Treated as distributions out of corpus (Election required - see instructions)	0.			
d Applied to 2016 distributable amount				150,068.
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))	0.			0.
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	0.			
b Prior years' undistributed income. Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b Taxable amount - see instructions		0.		
e Undistributed income for 2015 Subtract line 4a from line 2a. Taxable amount - see instr.			0.	
f Undistributed income for 2016. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2017				86,989.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions)	0.			
8 Excess distributions carryover from 2011 not applied on line 5 or line 7	0.			
9 Excess distributions carryover to 2017 Subtract lines 7 and 8 from line 6a	0.			
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) N/A

1 a 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 foundation is a private operating foundation described in section 4942(j)(3) or 4942(j)(5)

	Tax year				(e) Total
	(a) 2016	(b) 2015	(c) 2014	(d) 2013	
2 a 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 foundation 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).)

NONE

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.

NONE

2 **Information Regarding Contribution, Grant, Gift, Loan, Scholarship, etc., Programs:**
 Check here if the foundation only makes contributions to preselected charitable organizations and does not accept unsolicited requests for funds. If the foundation makes gifts, grants, etc. (see instructions) to individuals or organizations under other conditions, complete items 2a, b, c, and d.

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

b The form in which applications should be submitted and information and materials they should include:
 N/A

c Any submission deadlines:
 N/A

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

Part XV Supplementary Information (continued)

3 Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
<p>a Paid during the year</p> <p>SEE ATTACHED STATEMENT B</p>	N/A	PUBLIC CHARITIES	UNRESTRICTED	175,007.
Total			▶ 3a	175,007.
<p>b Approved for future payment</p> <p>NONE</p>				
Total			▶ 3b	0.

THE KLEIN FAMILY FOUNDATION, INC.

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 SEE ATTACHED STATEMENT C	P	VARIOUS	VARIOUS
b THE BLACKSTONE GROUP LP - NET LONG TERM CAPITAL G	P	VARIOUS	VARIOUS
c BLACKSTONE GROUP LP - SECTION 1231 GAIN	P	VARIOUS	VARIOUS
d THE BLACKSTONE GROUP LP - NET SHORT TERM CAPITAL	P	VARIOUS	VARIOUS
e			
f			
g			
h			
i			
j			
k			
l			
m			
n			
o			

(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 1,558,178.		1,329,255.	228,923.
b 721.			721.
c 277.			277.
d 21.			21.
e			
f			
g			
h			
i			
j			
k			
l			
m			
n			
o			

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
(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			228,923.
b			721.
c			277.
d			21.
e			
f			
g			
h			
i			
j			
k			
l			
m			
n			
o			

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	229,942.
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). If (loss), enter "-0-" in Part I, line 8	3	N/A

FORM 990-PF INTEREST ON SAVINGS AND TEMPORARY CASH INVESTMENTS STATEMENT 1

SOURCE	(A) REVENUE PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME
BNY MELLON - INTEREST INCOME	1.	1.	
BNY MELLON - NOMINEE - INTEREST INCOME	115.	115.	
THE BLACKSTONE GROUP LP - INTEREST INCOME	681.	681.	
TOTAL TO PART I, LINE 3	797.	797.	

FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 2

SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
BNY MELLON - NOMINEE - DIVIDEND INCOME	57,215.	0.	57,215.	57,215.	
THE BLACKSTONE GROUP LP - DIVIDEND INCOME	150.	0.	150.	150.	
TO PART I, LINE 4	57,365.	0.	57,365.	57,365.	

FORM 990-PF OTHER INCOME STATEMENT 3

DESCRIPTION	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
THE BLACKSTONE GROUP LP - ORDINARY BUSINESS INCOME	74.	74.	
THE BLACKSTONE GROUP LP - RENTAL REAL ESTATE INCOME	50.	50.	
THE BLACKSTONE GROUP LP - ROYALTY INCOME	9.	9.	
THE BLACKSTONE GROUP LP - OTHER INCOME	674.	674.	
TOTAL TO FORM 990-PF, PART I, LINE 11	807.	807.	

FORM 990-PF	ACCOUNTING FEES			STATEMENT 4
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ACCOUNTING FEES	8,200.	7,200.		1,000.
TO FORM 990-PF, PG 1, LN 16B	8,200.	7,200.		1,000.

FORM 990-PF	TAXES			STATEMENT 5
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FOREIGN TAXES	1,498.	1,498.		0.
EXCISE TAXES	20,032.	0.		0.
THE BLACKSTONE GROUP LP - FOREIGN TAXES	1.	1.		0.
TO FORM 990-PF, PG 1, LN 18	21,531.	1,499.		0.

FORM 990-PF	OTHER EXPENSES			STATEMENT 6
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
INVESTMENT MANAGEMENT FEES	18,320.	18,320.		0.
BANK CUSTODIAL FEES	4,267.	4,267.		0.
ANNUAL FILING FEE	25.	25.		0.
THE BLACKSTONE GROUP LP - DEDUCTIONS	98.	98.		0.
TO FORM 990-PF, PG 1, LN 23	22,710.	22,710.		0.

FORM 990-PF OTHER INCREASES IN NET ASSETS OR FUND BALANCES STATEMENT 7

DESCRIPTION	AMOUNT
THE BLACKSTONE GROUP LP - BASIS ADJUSTMENT	2,898.
TOTAL TO FORM 990-PF, PART III, LINE 3	2,898.

FORM 990-PF CORPORATE STOCK STATEMENT 8

DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
SEE ATTACHED STATEMENT A	4,083,180.	4,693,197.
TOTAL TO FORM 990-PF, PART II, LINE 10B	4,083,180.	4,693,197.

April 1, 2017 - June 30, 2017
 THE KLEIN FAMILY FOUNDATION, INC
 Base Currency U.S. DOLLARS (USD)

Portfolio Holdings (continued)

	Quantity	Price	Market Value	Current Cost Basis	Unrealized Gain/Loss	Estimated Annual Income	Accrued Current Income	Current Yield
PRINCIPAL ASSETS								
EQUITIES								
Common Stock								
ABB LTD SPONSORED ADR	6.000 0000	24 9000	149,400 00	130,007 35	19,392 65	4,383 50	0 00	2 93
Security Identifier ABB								
CUSIP 000375204								
Price Estimated As of 06/30/2017								
Dividend Option Cash								
Capital Gains Option Cash								
AIR PRODS & CHEMS INC COM	1,000 0000	143 0600	143,060 00	133,787 45	9,272 55	3,800 00	950 00	2 65
Security Identifier APD								
CUSIP 009158106								
Price Estimated As of 06/30/2017								
Dividend Option Cash								
Capital Gains Option Cash								
ALBEMARLE CORP COM	600 0000	105 5400	63,324 00	55,124 64	8,199 36	768 00	192 00	1 21
Security Identifier ALB								
CUSIP 012653101								
Price Estimated As of 06/30/2017								
Dividend Option Cash								
Capital Gains Option Cash								
ALEXION PHARMACEUTICALS INC COM	100 0000	121 6700	12,167 00	12,107 50	59 50	0 00	0 00	0 00
Security Identifier ALXN								
CUSIP 015351109								
Price Estimated As of 06/30/2017								
Dividend Option Cash								
Capital Gains Option Cash								

April 1, 2017 - June 30, 2017
 THE KLEIN FAMILY FOUNDATION, INC
 Base Currency U.S. DOLLARS (USD)

s/b 24,339 01

Portfolio Holdings (continued)

	Quantity	Price	Market Value	Current Cost Basis	Unrealized Gain/Loss	Estimated Annual Income	Accrued Current Income	Current Yield
PRINCIPAL ASSETS (continued)								
EQUITIES (continued)								
Common Stock (continued)								
AUBABA GROUP HLDG LTD SPONSORED ADS	362 0000	140 9000	51,005 80	0 00	51,005 80	0 00	0 00	0 00
ISIN#US01609W1027								
Security Identifier BABA								
CUSIP 01609W102								
Price Estimated As of 06/30/2017								
Dividend Option Cash								
Capital Gains Option Cash								
ANALOG DEVICES INC COM	2,000 0000	77 8000	155,600 00	133,934 10	21,665 90	3,600 00	0 00	2 31
Security Identifier ADI								
CUSIP 032654105								
Price Estimated As of 06/30/2017								
Dividend Option Cash								
Capital Gains Option Cash								
BERKSHIRE HATHAWAY INC DEL CL B NEW	1,000 0000	169 3700	169,370 00	150,074 35	19,295 65	0 00	0 00	0 00
Security Identifier BRK B								
CUSIP 084670702								
Price Estimated As of 06/30/2017								
Dividend Option Cash								
Capital Gains Option Cash								
BIOMARIN PHARMACEUTICAL INC COM	150 0000	90 8200	13,623 00	12,652 96	970 04	0 00	0 00	0 00
Security Identifier BMRN								
CUSIP 09061G101								
Price Estimated As of 06/30/2017								
Dividend Option Cash								
Capital Gains Option Cash								

April 1, 2017 - June 30, 2017
 THE KLEIN FAMILY FOUNDATION, INC
 Base Currency U S DOLLARS (USD)

s/b 26,186.38

Portfolio Holdings (continued)

	Quantity	Price	Market Value	Current Cost Basis	Unrealized Gain/Loss	Estimated Annual Income	Accrued Current Income	Yield
PRINCIPAL ASSETS (continued)								
EQUITIES (continued)								
<i>Common Stock (continued)</i>								
BRIGHT HORIZONS FAMILY SOLUTIONS INC DEL COM	905 0000	77 2100	69,875 05	0 00	69,875 05	0 00	0 00	0 00
Security Identifier BFAM								
CUSIP 109194100								
Price Estimated As of 06/30/2017								
Dividend Option Cash								
Capital Gains Option Cash								
BRUNSWICK CORP	800 0000	62 7300	50,184 00	39,082 35	11,101 65	528 00	0 00	1 05
Security Identifier BC								
CUSIP 117043109								
Price Estimated As of 06/30/2017								
Dividend Option Cash								
Capital Gains Option Cash								
COGNIZANT TECHNOLOGY SOLUTIONS CORP CL A	2,000 0000	66 4000	132,800 00	100,988 15	31,811 85	1,200 00	0 00	0 90
Security Identifier CTSH								
CUSIP 192446102								
Price Estimated As of 06/30/2017								
Dividend Option Cash								
Capital Gains Option Cash								
CORNING INC COM	2,500 0000	30 0500	75,125 00	58,165 80	16,959 20	1,550 00	0 00	2 06
Security Identifier GLW								
CUSIP 219350105								
Price Estimated As of 06/30/2017								
Dividend Option Cash								
Capital Gains Option Cash								

April 1, 2017 - June 30, 2017
 THE KLEIN FAMILY FOUNDATION, INC
 Base Currency U.S. DOLLARS (USD)

Portfolio Holdings (continued)

	Quantity	Price	Market Value	Current Cost Basis	Unrealized Gain/Loss	Estimated Annual Income	Accrued Current Income	Current Yield
PRINCIPAL ASSETS (continued)								
EQUITIES (continued)								
Common Stock (continued)								
DENTSPLY SIRONA INC COM	1,600 0000	64 8400	103,744 00	93,376 22	10,367 78	560 00	140 00	0 53
Security Identifier XRAY								
CUSIP 24906P109								
Price Estimated As of 06/30/2017								
Dividend Option Cash								
Capital Gains Option Cash								
DIAGEO PLC SPONSORED ADR NEW	1,500 0000	119 8300	179,745 00	162,277 30	17,467 70	4,674 42	0 00	2 60
ISIN#US25243Q2057								
Security Identifier DEO								
CUSIP 25243Q205								
Price Estimated As of 06/30/2017								
Dividend Option Cash								
Capital Gains Option Cash								
DISNEY WALT CO DISNEY COM	1,000 0000	106 2500	106,250 00	107,602 05	-1,352 05	1,560 00	0 00	1 46
Security Identifier DIS								
CUSIP 254687106								
Price Estimated As of 06/30/2017								
Dividend Option Cash								
Capital Gains Option Cash								
EBAY INC COM	2,000 0000	34 9200	69,840 00	58,422 95	11,417 05	0 00	0 00	0 00
Security Identifier EBAY								
CUSIP 278642103								
Price Estimated As of 06/30/2017								
Dividend Option Cash								
Capital Gains Option Cash								

April 1, 2017 - June 30, 2017
 THE KLEIN FAMILY FOUNDATION, INC
 Base Currency U S DOLLARS (USD)

Portfolio Holdings (continued)

	Quantity	Price	Market Value	Current Cost Basis	Unrealized Gain/Loss	Estimated Annual Income	Accrued Current Income	Current Yield
PRINCIPAL ASSETS (continued)								
EQUITIES (continued)								
<i>Common Stock (continued)</i>								
FEDEX CORP COM	700 0000	217 3300	152,131 00	125,422 47	26,708 53	1,400 00	350 00	0 92
Security Identifier FDX								
CUSIP 31428X106								
Price Estimated As of 06/30/2017								
Dividend Option Cash								
Capital Gains Option Cash								
GILEAD SCIENCES INC	800 0000	70 7800	56,624 00	55,920 75	703 25	1,664 00	0 00	2 93
Security Identifier GILD								
CUSIP 375558103								
Price Estimated As of 06/30/2017								
Dividend Option Cash								
Capital Gains Option Cash								
HORMEL FOODS CORP COM	3,500 0000	34 1100	119,385 00	127,597 05	-8,212 05	2,380 00	0 00	1 99
Security Identifier HRL								
CUSIP 440452100								
Price Estimated As of 06/30/2017								
Dividend Option Cash								
Capital Gains Option Cash								
ILLINOIS TOOL WORKS INC COM	500 0000	143 2500	71,625 00	62,445 00	9,180 00	1,300 00	325 00	1 81
Security Identifier ITW								
CUSIP 452308109								
Price Estimated As of 06/30/2017								
Dividend Option Cash								
Capital Gains Option Cash								

April 1, 2017 - June 30, 2017
 THE KLEIN FAMILY FOUNDATION, INC
 Base Currency U S DOLLARS (USD)

Portfolio Holdings (continued)

	Quantity	Price	Market Value	Current Cost Basis	Unrealized Gain/Loss	Estimated Annual Income	Accrued Current Income	Current Yield
PRINCIPAL ASSETS (continued)								
EQUITIES (continued)								
Common Stock (continued)								
INCYTE CORP COM	150 0000	125 9100	18,886 50	13,175 77	5,710 73	0 00	0 00	0 00
Security Identifier INCY								
CUSIP 45337C102								
Price Estimated As of 06/30/2017								
Dividend Option Cash								
Capital Gains Option Cash								
INTERXION HOLDING NV SHS ISIN#NL0009693779	530 0000	45 7800	24,263 40	0 00	24,263 40	0 00	0 00	0 00
Security Identifier INXN								
CUSIP N47279109								
Price Estimated As of 06/30/2017								
Dividend Option Cash								
Capital Gains Option Cash								
IONIS PHARMACEUTICALS INC COM	500 0000	50 8700	25,435 00	14,148 50	11,286 50	0 00	0 00	0 00
Security Identifier IONS								
CUSIP 462222100								
Price Estimated As of 06/30/2017								
Dividend Option Cash								
Capital Gains Option Cash								
JOHNSON CTLS INTL PLC SHS ISIN#IE00BY7QL619	3,000 0000	43 3600	130,080 00	134,376 50	-4,296 50	3,000 00	0 00	2 30
Security Identifier G51502105								
Price Estimated As of 06/30/2017								
Dividend Option Cash								
Capital Gains Option Cash								
M & T BK CORP	700 0000	161 9500	113,365 00	108,978 45	4,386 55	2,100 00	0 00	1 85
Security Identifier MTB								
CUSIP 55261F104								
Price Estimated As of 06/30/2017								
Dividend Option Cash								
Capital Gains Option Cash								

s/b 14,592 45

April 1, 2017 - June 30, 2017
 THE KLEIN FAMILY FOUNDATION, INC
 Base Currency U S DOLLARS (USD)

Portfolio Holdings (continued)

	Quantity	Price	Market Value	Current Cost Basis	Unrealized Gain/Loss	Estimated Annual Income	Accrued Current Income	Current Yield
PRINCIPAL ASSETS (continued)								
EQUITIES (continued)								
Common Stock (continued)								
MEDTRONIC PLC SHS ISIN#IE00BTNY115	2,000,000	88.7500	177,500.00	154,370.99	23,129.01	3,680.00	0.00	2.07
Security Identifier MDT CUSIP G5960L103 Price Estimated As of 06/30/2017 Dividend Option Cash Capital Gains Option Cash								
MERCK & CO INC NEW COM	2,000,000	64.0900	128,180.00	123,248.03	4,931.97	3,760.00	940.00	2.93
Security Identifier MRK CUSIP 58933Y105 Price Estimated As of 06/30/2017 Dividend Option Cash Capital Gains Option Cash								
MICROSOFT CORP COM	900,000	68.9300	62,037.00	51,676.53	10,360.47	1,404.00	0.00	2.26
Security Identifier MSFT CUSIP 594918104 Price Estimated As of 06/30/2017 Dividend Option Cash Capital Gains Option Cash								
NESTLE SA SPONSORED ADR REPSTG REG SHS ISIN#US6410694060	380,000	87.2000	33,136.00	0.00	33,136.00	739.77	0.00	2.23
Security Identifier NSRGY CUSIP 641069406 Price Estimated As of 06/30/2017 Dividend Option Cash Capital Gains Option Cash								
				<div style="border: 1px solid black; padding: 2px; display: inline-block;">s/b 24,999.55</div> ↑				

April 1, 2017 - June 30, 2017
 THE KLEIN FAMILY FOUNDATION, INC
 Base Currency U S DOLLARS (USD)

Portfolio Holdings (continued)

	Quantity	Price	Market Value	Current Cost Basis	Unrealized Gain/Loss	Estimated Annual Income	Accrued Current Income	Yield
PRINCIPAL ASSETS (continued)								
EQUITIES (continued)								
Common Stock (continued)								
NEUROCRINE BIOSCIENCES INC COM	300 0000	46 0000	13,800 00	13,390 68	409 32	0 00	0 00	0 00
Security Identifier NBIX								
CUSIP 64125C109								
Price Estimated As of 06/30/2017								
Dividend Option Cash								
Capital Gains Option Cash								
NOVARTIS AG SPONSORED ADR	700 0000	83 4700	58,429 00	55,009 08	3,419 92	1,611 93	0 00	2 75
Security Identifier NVS								
CUSIP 66987V109								
Price Estimated As of 06/30/2017								
Dividend Option Cash								
Capital Gains Option Cash								
PAYCHEX INC COM	2,900 0000	56 9400	165,126 00	158,340 70	6,785 30	5,336 00	0 00	3 23
Security Identifier PAYX								
CUSIP 704326107								
Price Estimated As of 06/30/2017								
Dividend Option Cash								
Capital Gains Option Cash								
PAYPAL HLDGS INC COM	4,000 0000	53 6700	214,680 00	158,535 40	56,144 60	0 00	0 00	0 00
Security Identifier PYPL								
CUSIP 70450Y103								
Price Estimated As of 06/30/2017								
Dividend Option Cash								
Capital Gains Option Cash								

April 1, 2017 - June 30, 2017
 THE KLEIN FAMILY FOUNDATION, INC
 Base Currency U.S. DOLLARS (USD)

s/b 35,747.69

Portfolio Holdings (continued)

	Quantity	Price	Market Value	Current Cost Basis	Unrealized Gain/Loss	Estimated Annual Income	Accrued Current Income	Current Yield
PRINCIPAL ASSETS (continued)								
EQUITIES (continued)								
Common Stock (continued)								
PEPSICO INC COM	507 0000	115 4900	58,553 43	0 00	58,553 43	1,632 54	0 00	2 78
Security Identifier PEP								
CUSIP 713448108								
Price Estimated As of 06/30/2017								
Dividend Option Cash								
Capital Gains Option Cash								
PRAXAIR INC COM	450 0000	132 5500	59,647 50	54,169 74	5,477 76	1,417 50	0 00	2 37
Security Identifier PX								
CUSIP 74005P104								
Price Estimated As of 06/30/2017								
Dividend Option Cash								
Capital Gains Option Cash								
PROCTER & GAMBLE CO COM	1,000 0000	87 1500	87,150 00	86,533 12	616 88	2,758 00	0 00	3 16
Security Identifier PG								
CUSIP 742718109								
Price Estimated As of 06/30/2017								
Dividend Option Cash								
Capital Gains Option Cash								
REGENERON PHARMACEUTICALS INC	50 0000	491 1400	24,557 00	18,570 42	5,986 58	0 00	0 00	0 00
Security Identifier REGN								
CUSIP 75886F107								
Price Estimated As of 06/30/2017								
Dividend Option Cash								
Capital Gains Option Cash								

April 1, 2017 - June 30, 2017
 THE KLEIN FAMILY FOUNDATION, INC
 Base Currency U.S. DOLLARS (USD)

Portfolio Holdings (continued)

	Quantity	Price	Market Value	Current Cost Basis	Unrealized Gain/Loss	Estimated Annual Income	Accrued Current Income	Current Yield
PRINCIPAL ASSETS (continued)								
EQUITIES (continued)								
Common Stock (continued)								
ROCKWELL COLLINS INC DEL COM STK	1,200 0000	105 0800	126,096 00	97,344 30	28,751 70	1,584 00	0 00	1 25
Security Identifier COL								
CUSIP 77434101								
Price Estimated As of 06/30/2017								
Dividend Option Cash								
Capital Gains Option Cash								
ROYAL DUTCH SHELL PLC SPONSORED ADR REPSTG	2,000 0000	54 4300	108,860 00	105,794 95	3,065 05	7,520 00	0 00	6 90
B SHS ISIN#US7802591070								
Security Identifier RDS B								
CUSIP 780259107								
Price Estimated As of 06/30/2017								
Dividend Option Cash								
Capital Gains Option Cash								
SEATTLE GENETICS INC COM	300 0000	51 7400	15,522 00	15,327 72	194 28	0 00	0 00	0 00
Security Identifier SGEN								
CUSIP 812578102								
Price Estimated As of 06/30/2017								
Dividend Option Cash								
Capital Gains Option Cash								
STERIS PLC SHS ISIN#GBO0BVVBC028	1,020 0000	81 5000	83,130 00	0 00	83,130 00	1,142 40	0 00	1 37
Security Identifier STE								
CUSIP G84720104								
Price Estimated As of 06/30/2017								
Dividend Option Cash								
Capital Gains Option Cash								

s/b 77,055 90

April 1, 2017 - June 30, 2017
 THE KLEIN FAMILY FOUNDATION, INC
 Base Currency U.S. DOLLARS (USD)

Portfolio Holdings (continued)

	Quantity	Price	Market Value	Current Cost Basis	Unrealized Gain/Loss	Estimated Annual Income	Accrued Current Income	Current Yield
PRINCIPAL ASSETS (continued)								
EQUITIES (continued)								
Common Stock (continued)								
STRYKER CORP	400 0000	138 7800	55,512 00	46,572 80	8,939 20	680 00	170 00	1 22
Security Identifier SYK								
CUSIP 863667101								
Price Estimated As of 06/30/2017								
Dividend Option Cash								
Capital Gains Option Cash								
SYNOPSIS INC	1,000 0000	72 9300	72,930 00	58,426 40	14,503 60	0 00	0 00	0 00
Security Identifier SNPS								
CUSIP 871607107								
Price Estimated As of 06/30/2017								
Dividend Option Cash								
Capital Gains Option Cash								
TIME WARNER INC NEW COM NEW	700 0000	100 4100	70,287 00	55,709 29	14,577 71	1,127 00	0 00	1 60
Security Identifier TWX								
CUSIP 887317303								
Price Estimated As of 06/30/2017								
Dividend Option Cash								
Capital Gains Option Cash								
TRIMBLE INC COM	3,000 0000	35 6700	107,010 00	83,951 25	23,058 75	0 00	0 00	0 00
Security Identifier TRMB								
CUSIP 896239100								
Price Estimated As of 06/30/2017								
Dividend Option Cash								
Capital Gains Option Cash								

April 1, 2017 - June 30, 2017
 THE KLEIN FAMILY FOUNDATION, INC
 Base Currency U S DOLLARS (USD)

Portfolio Holdings (continued)

	Quantity	Price	Market Value	Current Cost Basis	Unrealized Gain/Loss	Estimated Annual Income	Accrued Current Income	Current Yield
PRINCIPAL ASSETS (continued)								
EQUITIES (continued)								
Common Stock (continued)								
TRIPADVISOR INC COM	1,000 0000	38 2000	38,200 00	58,592 45	20,392 45	0 00	0 00	0 00
Security Identifier TRIP								
CUSIP 896945201								
Price Estimated As of 06/30/2017								
Dividend Option Cash								
Capital Gains Option Cash								
UNILEVER PLC SPON ADR NEW ISIN#US9047677045	3,500 0000	54 1200	189,420 00	151,535 49	37,884 51	4,837 35	0 00	2 55
Security Identifier UL								
CUSIP 904767704								
Price Estimated As of 06/30/2017								
Dividend Option Cash								
Capital Gains Option Cash								
US BANCORP DEL COM	2,000 0000	51 9200	103,840 00	104,249 35	-409 35	2,240 00	560 00	2 15
Security Identifier USB								
CUSIP 902973304								
Price Estimated As of 06/30/2017								
Dividend Option Cash								
Capital Gains Option Cash								
VERISK ANALYTICS INC COM	1,000 0000	84 3700	84,370 00	81,127 80	3,242 20	0 00	0 00	0 00
Security Identifier VRSK								
CUSIP 92345Y106								
Price Estimated As of 06/30/2017								
Dividend Option Cash								
Capital Gains Option Cash								

April 1, 2017 - June 30, 2017
 THE KLEIN FAMILY FOUNDATION, INC
 Base Currency U S DOLLARS (USD)

Portfolio Holdings (continued)

	Quantity	Price	Market Value	Current Cost Basis	Unrealized Gain/Loss	Estimated Annual Income	Accrued Current Income	Current Yield
PRINCIPAL ASSETS (continued)								
EQUITIES (continued)								
Common Stock (continued)								
VERTEX PHARMACEUTICALS INC COM	150 0000	128 8700	19,330 50	12,251 00	7,079 50	0 00	0 00	0 00
Security Identifier VRTX								
CUSIP 92532F100								
Price Estimated As of 06/30/2017								
Dividend Option Cash								
Capital Gains Option Cash								
WILEY JOHN & SONS INC CLASS A	800 0000	52 7500	42,200 00	40,690 35	1,509 65	1,024 00	0 00	2 42
Security Identifier JW A								
CUSIP 968223206								
Price Estimated As of 06/30/2017								
Dividend Option Cash								
Capital Gains Option Cash								
ZIMMER BIOMET HLDGS INC COM	1,031 0000	128 4000	132,380 40	0 00	132,380 40	989 76	247 44	0 74
Security Identifier ZBH								
CUSIP 98956P102								
Price Estimated As of 06/30/2017								
Dividend Option Cash								
Capital Gains Option Cash								
Total Common Stock			4,588,791 58	3,675,085 50	913,706 08	77,952 17	3,874 44	

s/b 26,186 38

s/b 3,983,614 49

April 2017 - June 30, 2017
 THE KLEIN FAMILY FOUNDATION, INC
 Base Currency U S DOLLARS (USD)

Portfolio Holdings (continued)

	Quantity	Price	Market Value	Current Cost Basis	Unrealized Gain/Loss	Estimated Annual Income	Accrued Current Income	Current Yield	
PRINCIPAL ASSETS (continued)									
EQUITIES (continued)									
Real Estate Investment Trusts									
WEYERHAEUSER CO	3,000 0000	33 5000	100,500 00	99,565 95	934 05	3,720 00	0 00	3 70	
Security Identifier WY									
CUSIP 962166104									
Price Estimated As of 06/30/2017									
Dividend Option Cash									
Capital Gains Option Cash									
Total Real Estate Investment Trusts			100,500 00	99,565 95	934 05	3,720 00	0 00		
TOTAL EQUITIES			4,689,291 58	3,774,651 45	914,640 13	81,672 17	3,874 44		
			Market Value	Current Cost Basis	Unrealized Gain/Loss	Estimated Annual Income	Accrued Income		
TOTAL PRINCIPAL ASSETS			4,837,646 06	3,923,005 93	914,640 13	81,672 17	3,874 44		
	Opening Date	Quantity	Activity Ending	Opening Balance	Closing Balance	Accrued Income	Income this Year	30 day Yield %	Current Yield %
INCOME ASSETS									
CASH, MONEY FUNDS, BANK DEPOSITS									
Cash Balance				1,276 52	1,320 64				
FDIC Insured Bank Deposits									
DREYFUS INS DEPOSIT PROGRAM I	04/01/2017	31,310 0700	06/30/2017	14,151 09	31,310 07	30 98	N/A	N/A	N/A
Total FDIC Insured Bank Deposits				14,151 09	31,310 07	30 98			
TOTAL CASH, MONEY FUNDS, BANK DEPOSITS				15,427 61	32,630 71	30 98			
			Market Value	Current Cost Basis	Unrealized Gain/Loss	Estimated Annual Income	Accrued Income		
TOTAL INCOME ASSETS			32,630 71	32,630 71	0 00	0 00	30 98		
TOTAL PORTFOLIO			4,870,276 77	3,955,636 64	914,640 13	81,672 17	3,905 42		

	FMV	Cost
Total Assets	4,870,276.77	4,264,165.63
Less: Cash	(180,985.19)	(180,985.19)
Subtotal Investment-corp stock	4,689,291.58	4,083,180.44
Add: Accrued income	3,905.42	0.00
Total Investment-corp stock	4,693,197.00	4,083,180.44

THE KLEIN FAMILY FOUNDATION, INC.
2016 FORM 990-PF
EIN #: 52-1705026
PART XV, LINE 3(a)
CONTRIBUTIONS

DONEE	ADDRESS	DATE	CHECK NO.	AMOUNT
ALVIN AILEY DANCE FOUNDATION, INC (AKA ALVIN AILEY AMERICAN DANCE THEATER)	THE JOAN WEILL CENTER FOR DANCE 405 WEST 55TH STREET NEW YORK, NY 10019	06/19/17	271	10,000
AMERICAN MUSEUM OF NATURAL HISTORY (AKA A M N H)	79TH STREET & CENTRAL PARK WEST NEW YORK, NY 10024	06/19/17	272	24,755
BROOKLYN INSTITUTE OF ARTS AND SCIENCES (AKA BROOKLYN MUSEUM)	200 EASTERN PARKWAY BROOKLYN, NY 11238	06/27/17	290	4,575
CHILDREN'S AID SOCIETY (AKA CHILDREN'S AID, CAS)	711 THIRD AVENUE, SUITE 700 NEW YORK, NY 10017	06/19/17	282	25,000
CITY HARVEST, INC	6 EAST 32ND STREET, 5TH FLOOR NEW YORK, NY 10016	06/19/17	283	2,000
DANCE THEATRE OF HARLEM INC (AKA DTH)	THE EVERETT CENTER FOR THE PERFORMING ARTS 466 WEST 152ND STREET NEW YORK, NY 10031	06/19/17	274	5,000
HARLEM ACADEMY	1330 FIFTH AVENUE NEW YORK, NY 10026	06/19/17	276	5,000
MOHONK PRESERVE, INC	P O BOX 715 NEW PALTZ, NY 12561	06/19/17	279	1,500
NARAL PRO-CHOICE AMERICA FOUNDATION	1156 15TH ST , SUITE 700 WASHINGTON, DC 20005	06/19/17	284	10,000
NATURE CONSERVANCY, INC (AKA THE NATURE CONSERVANCY)	4245 NORTH FAIRFAX DRIVE, SUITE 100 ARLINGTON, VA 22203	06/19/17	281	10,000
NEW CANAAN LIBRARY INC	151 MAIN STREET NEW CANAAN, CT 06840	06/19/17	278	10,000
NEW YORK CITY BALLET, INC	NEW YORK STATE THEATER 20 LINCOLN CENTER NEW YORK, NY 10025	06/19/17	275	2,392
NEW YORK PUBLIC LIBRARY ASTOR LENOX AND TILDEN FOUNDATIONS (AKA THE NEW YORK PUBLIC LIBRARY)	476 FIFTH AVENUE NEW YORK, NY 10018	06/19/17	277	9,785
WILDLIFE CONSERVATION SOCIETY (AKA WCS)	2300 SOUTHERN BOULEVARD BRONX, NY 10460	06/19/17	280	10,000
PLANNED PARENTHOOD OF NEW YORK CITY INC	26 BLEECKER STREET NEW YORK, NY 10012	06/19/17	286	10,000

THE KLEIN FAMILY FOUNDATION, INC.
2016 FORM 990-PF
EIN #: 52-1705026
PART XV, LINE 3(a)
CONTRIBUTIONS

<u>DONEE</u>	<u>ADDRESS</u>	<u>DATE</u>	<u>CHECK NO.</u>	<u>AMOUNT</u>
PLANNED PARENTHOOD FEDERATION OF AMERICA, INC (AKA PPFA)	123 WILLIAM STREET NEW YORK, NY 10038	06/19/17	285	5,000
THE DOOR - A CENTER OF ALTERNATIVES, INC	121 AVENUE OF THE AMERICAS NEW YORK, NY 10013	06/19/17	287	5,000
TRICKLE UP PROGRAM, INC (AKA TRICKLE UP)	104 WEST 27TH STREET, 12TH FLOOR NEW YORK, NY 10001	06/19/17	288	25,000
TOTAL				<u>175,007</u>

The Klein Family Foundation, Inc. Realized Gains and Losses From 07-01-16 Through 06-30-17

Date Sold	Quantity	Security	Proceeds	Cost Basis	Gain/Loss
07/14/16	1,540	LDR Holding Corp	56,980.00	38,261.28	18,718.72
10/06/16	496	Apple Inc	56,325.67	55,153.07	1,172.60
10/06/16	560	Argan Inc	32,926.05	16,520.07	16,405.98
10/06/16	741	American International Group	44,189.82	31,644.38	12,545.44
10/06/16	1,522	Citigroup Inc	73,962.34	66,350.92	7,611.42
10/06/16	890	CVS Health Corp	77,107.02	43,431.86	33,675.16
10/06/16	2,226	Envision Healthcare Holdings Inc	48,409.71	54,517.48	(6,107.77)
10/06/16	320	Twenty-First Century Fox Inc	7,886.17	8,346.50	(460.33)
10/06/16	2,926	Gentex Corp	51,924.28	47,645.41	4,278.87
10/19/16	95	Alphabet Inc	76,189.80	45,075.12	31,114.68
10/06/16	395	Goldman Sachs Group Inc	65,512.91	54,127.35	11,385.56
10/06/16	1,629	HD Supply Holdings Inc	52,000.88	47,672.87	4,328.01
10/06/16	270	JP Morgan Chase & Co	18,190.61	17,630.38	560.23
10/06/16	2,141	Morgan Stanley	69,439.01	43,138.98	26,300.03
10/06/16	1,458	Oracle Corp	56,393.63	49,567.69	6,825.94
10/06/16	3,860	Pandora Media Inc	55,408.00	47,968.65	7,439.35
10/06/16	2,055	Premier Inc	64,813.27	62,497.38	2,315.89
10/06/16	2,626	Party City Holdco Inc	45,095.62	37,063.07	8,032.55
10/06/16	1,120	Surgical Care Affiliates Inc	52,953.55	35,179.70	17,773.85
10/06/16	2,177	AT&T Inc	84,869.85	75,553.02	9,316.83
10/19/16	420	Williams Sonoma Inc	19,679.76	24,990.49	(5,310.73)
10/06/16	1,002	WP Carey Inc	61,590.66	61,800.52	(209.86)
10/06/16	2,808	Blackstone Group LP	69,698.48	88,307.44	(18,608.96)
02/17/17	1,500	Sanofi	64,871.41	57,681.30	7,190.11
02/17/17	1,500	Sanofi	64,871.41	56,370.30	8,501.11
05/19/17	1,500	Vodafone Group PLC	43,691.06	42,801.30	889.76
05/19/17	1,500	Vodafone Group PLC	43,691.06	41,843.10	1,847.96
05/19/17	1,000	Vodafone Group PLC	29,127.38	26,538.95	2,588.43
05/19/17	1,000	Vodafone Group PLC	29,127.37	25,465.95	3,661.42
05/19/17	380	Check Point Software Technologies	41,251.51	25,761.38	15,490.13
12/14/16	-	Dividend Tax Reclaim Swiss 2014	-	349.31	(349.31)
			<u>1,558,178.29</u>	<u>1,329,255.22</u>	<u>228,923.07</u>