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Form **990-PF**

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

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

▶ Do not enter social security numbers on this form as it may be made public.
▶ Information about Form 990-PF and its instructions is at *www.irs.gov/form990pf*.

OMB No 1545-0052

2016

Open to Public Inspection

For calendar year 2016, or tax year beginning 08-01-2016 , and ending 07-31-2017

Name of foundation
HELEN L & MARIE F ROTTERMAN TRUST UW OF M ROTTERMAN

A Employer identification number
31-6236156

Number and street (or P O box number if mail is not delivered to street address) Room/suite
1900 KETTERING TOWER

B Telephone number (see instructions)
(937) 222-2500

City or town, state or province, country, and ZIP or foreign postal code
DAYTON, OH 45423

C If exemption application is pending, check here ▶ ☐

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)*▶$ 3,743,887

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	Check ▶ ☑ if the foundation is **not** required to attach Sch B				
	3	Interest on savings and temporary cash investments	57	57		
	4	Dividends and interest from securities	96,160	96,160		
	5a	Gross rents				
	b	Net rental income or (loss)				
	6a	Net gain or (loss) from sale of assets not on line 10	125,719			
	b	Gross sales price for all assets on line 6a 1,036,406				
	7	Capital gain net income (from Part IV, line 2)		125,719		
	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) (attach schedule)				
	11	Other income (attach schedule)				
	12	**Total.** Add lines 1 through 11	221,936	221,936		
Operating and Administrative Expenses	13	Compensation of officers, directors, trustees, etc	13,770	6,885		6,885
	14	Other employee salaries and wages				
	15	Pension plans, employee benefits				
	16a	Legal fees (attach schedule)				
	b	Accounting fees (attach schedule)	400			400
	c	Other professional fees (attach schedule)				
	17	Interest				
	18	Taxes (attach schedule) (see instructions)				
	19	Depreciation (attach schedule) and depletion				
	20	Occupancy				
	21	Travel, conferences, and meetings	86	43		43
	22	Printing and publications	100			100
	23	Other expenses (attach schedule)	21,039	20,199		840
	24	**Total operating and administrative expenses.** Add lines 13 through 23	35,395	27,127		8,268
	25	Contributions, gifts, grants paid	144,000			144,000
	26	**Total expenses and disbursements.** Add lines 24 and 25	179,395	27,127		152,268
	27	Subtract line 26 from line 12				
	a	**Excess of revenue over expenses and disbursements**	42,541			
	b	**Net investment income** (if negative, enter -0-)		194,809		
	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	4,540	4,540	4,540
2 Savings and temporary cash investments	149,744	245,146	245,146
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)	105,088	103,416	103,152
b Investments—corporate stock (attach schedule)	1,405,736	1,481,214	2,124,159
c Investments—corporate bonds (attach schedule)	1,238,991	1,148,699	1,140,500
11 Investments—land, buildings, and equipment basis ▶			
Less accumulated depreciation (attach schedule) ▶			
12 Investments—mortgage loans			
13 Investments—other (attach schedule)	115,470	79,095	126,390
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)	3,019,569	3,062,110	3,743,887
Liabilities			
17 Accounts payable and accrued expenses			
18 Grants payable			
19 Deferred revenue			
20 Loans from officers, directors, trustees, and other disqualified persons			
21 Mortgages and other notes payable (attach schedule)			
22 Other liabilities (describe ▶)			
23 **Total liabilities**(add lines 17 through 22)		0	
Net Assets or Fund Balances			
Foundations that follow SFAS 117, check here ▶ ☐ 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	3,019,569	3,062,110	
28 Paid-in or capital surplus, or land, bldg , and equipment fund			
29 Retained earnings, accumulated income, endowment, or other funds			
30 **Total net assets or fund balances** (see instructions)	3,019,569	3,062,110	
31 **Total liabilities and net assets/fund balances** (see instructions)	3,019,569	3,062,110	

Part III Analysis of Changes in Net Assets or Fund Balances

1	Total net assets or fund balances at beginning of year—Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return)	1	3,019,569
2	Enter amount from Part I, line 27a	2	42,541
3	Other increases not included in line 2 (itemize) ▶	3	
4	Add lines 1, 2, and 3	4	3,062,110
5	Decreases not included in line 2 (itemize) ▶	5	
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	3,062,110

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	PUBLICLY TRADED SECURITIES	P		
b				
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	1,036,406	0	910,687	125,719
b				
c				
d				
e				

	Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) **or** Losses (from col (h))
	(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
a	0	0	0	125,719
b				
c				
d				
e				

2	Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 }	2	125,719
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	166,841	3,556,019	0 046918
2014	206,337	3,759,423	0 054885
2013	182,322	3,707,273	0 049180
2012	179,369	3,523,009	0 050914
2011	195,383	3,432,201	0 056926

2 Total of line 1, column (d)	2	0 258823
3 Average distribution ratio for the 5-year base period—divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years	3	0 051765
4 Enter the net value of noncharitable-use assets for 2016 from Part X, line 5	4	3,571,909
5 Multiply line 4 by line 3	5	184,900
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	1,948
7 Add lines 5 and 6	7	186,848
8 Enter qualifying distributions from Part XII, line 4	8	152,268

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	3,896
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	3,896
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	3,896
6	Credits/Payments		
a	2016 estimated tax payments and 2015 overpayment credited to 2016 — 6a: 2,077		
b	Exempt foreign organizations—tax withheld at source — 6b		
c	Tax paid with application for extension of time to file (Form 8868) — 6c		
d	Backup withholding erroneously withheld — 6d		
7	Total credits and payments Add lines 6a through 6d	7	2,077
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	1,819
10	**Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶	10	
11	Enter the amount of line 10 to be **Credited to 2017 estimated tax** ▶ 0 **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)?	1b		No
	*If the answer is "Yes" to **1a** or **1b**, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities*			
c	Did the foundation file **Form 1120-POL** for this year?	1c		No
d	Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year **(1)** On the foundation ▶ $ ______ **(2)** On foundation managers ▶ $ ______			
e	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ▶ $ ______			
2	Has the foundation engaged in any activities that have not previously been reported to the IRS? *If "Yes," attach a detailed description of the activities*	2		No
3	Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? *If "Yes," attach a conformed copy of the changes*	3		No
4a	Did the foundation have unrelated business gross income of $1,000 or more during the year?	4a		No
b	If "Yes," has it filed a tax return on **Form 990-T** for this year?	4b		
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year? *If "Yes," attach the statement required by General Instruction T*	5		No
6	Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	6	Yes	
7	Did the foundation have at least $5,000 in assets at any time during the year? *If "Yes," complete Part II, col (c), and Part XV*	7	Yes	
8a	Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ OH			
b	If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? *If "No," attach explanation*	8b	Yes	
9	Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2016 or the taxable year beginning in 2016 (see instructions for Part XIV)? *If "Yes," complete Part XIV*	9		No
10	Did any persons become substantial contributors during the tax year? *If "Yes," attach a schedule listing their names and addresses*	10		No

Part VII-A Statements Regarding Activities (continued)

			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)	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?	13	Yes	

Website address ▶N/A

14 The books are in care of ▶JAN S SCHEID Telephone no ▶(937) 293-7462

Located at ▶47 SPIREA DRIVE DAYTON OH ZIP+4 ▶454193408

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

			Yes	No
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		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.			Yes	No
1a	During the year did the foundation (either directly or indirectly)				
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person?	☐ Yes ☑ No			
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?	☐ Yes ☑ No			
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?	☐ Yes ☑ No			
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?	☑ Yes ☐ No			
	(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)?	☐ Yes ☑ No			
	(6) Agree to pay money or property to a government official? (**Exception.** Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days)	☐ Yes ☑ No			
b	If any answer is "Yes" to 1a(1)–(6), did **any** of the acts fail to qualify under the exceptions described in Regulations section 53 4941(d)-3 or in a current notice regarding disaster assistance (see instructions)?		1b		No
	Organizations relying on a current notice regarding disaster assistance check here ▶	☐			
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		No
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))				
a	At the end of tax year 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		No
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)? **5b**

Organizations relying on a current notice regarding disaster assistance check here ▶ ☐

c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? ☐ Yes ☐ No

If "Yes," attach the statement required by Regulations section 53 4945–5(d)

6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? ☐ Yes ☑ No

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? **6b** No

If "Yes" to 6b, file Form 8870

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

b If yes, did the foundation receive any proceeds or have any net income attributable to the transaction? **7b**

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

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

(a) Name and address	(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
JEFFREY B SHULMAN 1900 KETTERING TOWERDAYTON, OH 45423	TRUSTEE 2 00	4,590	0	0
MILDRED HUBLER 2230 S PATTERSON BLVD DAYTON, OH 45409	TRUSTEE 2 00	4,590	0	0
JAN S SCHEID 47 SPIREA DRIVE DAYTON, OH 45419	TRUSTEE 4 00	4,590	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	(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 (see instructions). If none, enter "NONE".

(a) Name and address of each person paid more than $50,000	**(b)** Type of service	**(c)** Compensation
NONE		

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

Part IX-A **Summary of Direct Charitable Activities**

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

Part IX-B **Summary of Program-Related Investments** (see instructions)

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

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	3,442,249
b	Average of monthly cash balances.	1b	184,055
c	Fair market value of all other assets (see instructions).	1c	0
d	**Total** (add lines 1a, b, and c).	1d	3,626,304
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation). 1e		
2	Acquisition indebtedness applicable to line 1 assets.	2	
3	Subtract line 2 from line 1d.	3	3,626,304
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	54,395
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3 Enter here and on Part V, line 4	5	3,571,909
6	**Minimum investment return.** Enter 5% of line 5.	6	178,595

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	178,595
2a	Tax on investment income for 2016 from Part VI, line 5.	2a	3,896		
b	Income tax for 2016 (This does not include the tax from Part VI).	2b			
c	Add lines 2a and 2b.			2c	3,896
3	Distributable amount before adjustments Subtract line 2c from line 1.			3	174,699
4	Recoveries of amounts treated as qualifying distributions.			4	
5	Add lines 3 and 4.			5	174,699
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	174,699

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	152,268
b	Program-related investments—total from Part IX-B.	1b	
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc , purposes.	2	
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required).	3a	
b	Cash distribution test (attach the required schedule).	3b	
4	**Qualifying distributions.** Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4	4	152,268
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income Enter 1% of Part I, line 27b (see instructions).	5	
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4.	6	152,268

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				174,699
2 Undistributed income, if any, as of the end of 2016				
a Enter amount for 2015 only.			53,898	
b Total for prior years 20___, 20___, 20___				
3 Excess distributions carryover, if any, to 2016				
a From 2011.				
b From 2012.				
c From 2013.				
d From 2014.				
e From 2015.				
f **Total** of lines 3a through e.				
4 Qualifying distributions for 2016 from Part XII, line 4 ▶ $ 152,268				
a Applied to 2015, but not more than line 2a			53,898	
b Applied to undistributed income of prior years (Election required—see instructions).				
c Treated as distributions out of corpus (Election required—see instructions).				
d Applied to 2016 distributable amount.				98,370
e Remaining amount distributed out of corpus				
5 Excess distributions carryover applied to 2016 *(If an amount appears in column (d), the same amount must be shown in column (a))*				
6 **Enter the net total of each column as indicated below:**				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5				
b Prior years' undistributed income Subtract line 4b from line 2b				
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed.				
d Subtract line 6c from line 6b Taxable amount —see instructions				
e Undistributed income for 2015 Subtract line 4a from line 2a Taxable amount—see instructions				
f Undistributed income for 2016 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2017				76,329
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions)				
8 Excess distributions carryover from 2011 not applied on line 5 or line 7 (see instructions)				
9 **Excess distributions carryover to 2017.** Subtract lines 7 and 8 from line 6a				
10 Analysis of line 9				
a Excess from 2012.				
b Excess from 2013.				
c Excess from 2014.				
d Excess from 2015.				
e Excess from 2016.				

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

1a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2016, enter the date of the ruling. . . . . . . ▶

b Check box to indicate whether the organization is a private operating foundation described in section ☐ 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))

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

JEFFREY B SHULMAN
1900 KETTERING TOWER
DAYTON, OH 45423
(937) 222-2500

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

SEE STATEMENT 1 ATTACHED

c Any submission deadlines

SEE STATEMENT 1 ATTACHED

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

SEE STATEMENT 1 ATTACHED

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
a *Paid during the year* See Additional Data Table				
Total . . . . ▶ **3a**				144,000
b *Approved for future payment*				
Total . . . . ▶ **3b**				

Part XVI-A Analysis of Income-Producing Activities

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	57	
4 Dividends and interest from securities. . . .			14	96,160	
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			19	125,719	
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). .				221,936	

13 Total. Add line 12, columns (b), (d), and (e). **13** 221,936

(See worksheet in line 13 instructions to verify calculations)

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

Line No. ▼	Explain below how each activity for which income is reported in column (e) of Part XVI-A contributed importantly to the accomplishment of the foundation's exempt purposes (other than by providing funds for such purposes) (See instructions)

Part XVII **Information Regarding Transfers To and Transactions and Relationships With Noncharitable Exempt Organizations**

		Yes	No
1 Did the organization directly or indirectly engage in any of the following with any other organization described in section 501 (c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?			
a Transfers from the reporting foundation to a noncharitable exempt organization of			
(1) Cash.	1a(1)		No
(2) Other assets.	1a(2)		No
b Other transactions			
(1) Sales of assets to a noncharitable exempt organization.	1b(1)		No
(2) Purchases of assets from a noncharitable exempt organization.	1b(2)		No
(3) Rental of facilities, equipment, or other assets.	1b(3)		No
(4) Reimbursement arrangements.	1b(4)		No
(5) Loans or loan guarantees.	1b(5)		No
(6) Performance of services or membership or fundraising solicitations.	1b(6)		No
c Sharing of facilities, equipment, mailing lists, other assets, or paid employees.	1c		No

d If the answer to any of the above is "Yes," complete the following schedule Column **(b)** should always show the fair market value of the goods, other assets, or services given by the reporting foundation If the foundation received less than fair market value in any transaction or sharing arrangement, show in column **(d)** the value of the goods, other assets, or services received

(a) Line No	(b) Amount involved	(c) Name of noncharitable exempt organization	(d) Description of transfers, transactions, and sharing arrangements

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

******	2017-08-21	******	May the IRS discuss this return with the preparer shown below (see instr)? ☑ Yes ☐ No
Signature of officer or trustee	Date	Title	

Paid Preparer Use Only

Print/Type preparer's name	Preparer's Signature	Date	Check if self-employed ▶ ☑	PTIN
JAN S SCHEID				
Firm's name ▶ Jan S Scheid CPA LLC				Firm's EIN ▶
Firm's address ▶ 47 Spirea Dr Dayton, OH 454193408				Phone no (937) 293-7462

Form 990PF Part XV Line 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
a *Paid during the year*				
TRINITY COLLEGE OFFICE OF DEVELOPMENT WASHINGTON, DC 20017		PUBLIC	UNRESTRICTED	96,000
CATHOLIC UNIVERSITY OF AMER OFFICE OF DEVELOPMENT WASHINGTON, DC 20064		PUBLIC	UNRESTRICTED	16,000
MARYKNOLL FATHERS OFFICE OF DEVELOPMENT MARYKNOLL, NY 10545		PUBLIC	UNRESTRICTED	16,000
MEDICAL MISSIONARY SISTERS OFFICE OF DEVELOPMENT PHILADELPHIA, PA 19102		PUBLIC	UNRESTRICTED	8,000
MARYKNOLL SISTERS OFFICE OF DEVELOPMENT MARYKNOLL, NY 10545		PUBLIC	UNRESTRICTED	8,000
Total . . . . ▶ **3a**				144,000

TY 2016 Accounting Fees Schedule

Name: HELEN L & MARIE F ROTTERMAN TRUST UW OF M ROTTERMAN

EIN: 31-6236156

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FIFTH THIRD BANK TAX SERVICE FEE	400			400

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

TY 2016 Gain/Loss from Sale of Other Assets Schedule

Name: HELEN L & MARIE F ROTTERMAN TRUST UW OF M ROTTERMAN

EIN: 31-6236156

Name	Date Acquired	How Acquired	Date Sold	Purchaser Name	Gross Sales Price	Basis	Basis Method	Sales Expenses	Total (net)	Accumulated Depreciation
INVESTMENTS--SEE PART IV					1,036,406	910,687			125,719	

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TY 2016 General Explanation Attachment

Name: HELEN L & MARIE F ROTTERMAN TRUST UW OF M ROTTERMAN

EIN: 31-6236156

General Explanation Attachment

Identifier	Return Reference	Explanation	
1		PART XV, LINES 2(b), (c), and (d) STMT 1	2(B) ANY INDIVIDUAL APPLICANT IS REQUIRED TO FURNISH THE TRUSTEES WITH A COPY OF HER TRINITY COLLEGE APPLICATION AND, WHERE APPLICABLE, A COPY OF HER HIGH SCHOOL RECORD AND CERTIFICATION OF HER CATHOLIC CHURCH AFFILIATION 2(C) APPLICATIONS ARE ACCEPTED ANYTIME. BUT, IN ORDER TO BE CONSIDERED FOR A SCHOOL YEAR, THE APPLICATION SHOULD BE IN THE HANDS OF THE TRUSTEES FOUR TO SIX MONTHS PRIOR TO THE BEGINNING OF THAT SCHOOL YEAR. 2(D) THE TERMS OF THE WILL OF MARIE ROTTERMAN SET THE QUALIFICATIONS AND LIMIT CONSIDERATION TO CATHOLIC GIRLS WHO ATTEND OR ARE ENROLLED AT TRINITY COLLEGE WITH SPECIAL CONSIDERATION GIVEN TO ELIGIBLE GIRLS FROM THE DAYTON METROPOLITAN AREA

TY 2016 Investments Corporate Bonds Schedule

Name: HELEN L & MARIE F ROTTERMAN TRUST UW OF M ROTTERMAN

EIN: 31-6236156

Name of Bond	End of Year Book Value	End of Year Fair Market Value
CHEVRON CORP	49,017	50,395
DODGE & COX INCOME FUND	289,750	289,880
ISHARES HIGH YIELD CORP	54,245	55,569
POWERSHARES EMERGING MKT	70,900	74,311
GENERAL ELECTRIC	111,122	101,323
JPM CHASE	102,958	106,647
EATON VANCE FLOATING	35,000	35,078
DOUBLELINE TOTAL RETURN	77,511	75,470
EMERSON ELECTRIC	112,229	104,276
ISHARES S&P PFD	92,408	92,237
QUALCOMM	50,375	51,580
SIMON PPTY GROUP	53,154	53,417
WELLS FARGO	50,030	50,317

TY 2016 Investments Corporate Stock Schedule

Name: HELEN L & MARIE F ROTTERMAN TRUST UW OF M ROTTERMAN

EIN: 31-6236156

Name of Stock	End of Year Book Value	End of Year Fair Market Value
2300 BANK AMERICA	52,130	55,476
350 ACCENTURE	17,694	45,087
700 TE CONNECTIVITY LTC	35,001	46,224
425 CHUBB	49,005	62,245
525 APPLE	19,486	78,083
75 ALPHABET INC	34,612	70,913
300 AMGEN	44,137	52,353
100 BLACKROCK	39,400	42,653
825 ABBVIE	50,540	57,676
500 CVS	29,100	39,965
575 CARNIVAL CORP	36,179	38,398
500 DANAHER	23,760	40,745
350 CHEVRON	38,286	38,216
1500 ISHARES MSCI EAFE	55,327	60,036
1375 GE	41,947	35,214
375 HOME DEPOT	13,811	56,100
609 ISHARES RUSSELL INDEX	44,092	86,180
719 ISHARES INC CORE MSCI	37,082	37,956
500 MASTERCARD	7,589	63,900
450 TIME WARNER	35,611	46,089
500 EXXON MOBIL	43,789	40,020
425 NEXTERA ENERGY	42,929	62,088
425 PNC FINANCIAL	53,920	54,740
1000 NIKE	18,089	59,050
225 GENERAL DYNAMICS	37,268	44,174
300 PRAXAIR	21,853	39,048
625 SCHLUMBERGER	45,446	42,875
425 PROCTER & GAMBLE	36,786	38,599
900 VERIZON	39,968	43,560
475 KRAFT HEINZ	40,346	41,544

Name of Stock	End of Year Book Value	End of Year Fair Market Value
1000 STARBUCKS	20,916	53,980
425 FACEBOOK	37,157	71,931
500 PACKAGING CORP	30,627	54,740
675 JPMORGAN CHASE	46,423	61,965
450 JOHNSON & JOHNSON	50,829	59,724
775 MICROSOFT	41,745	56,343
375 HONEYWELL	39,170	51,045
325 UNITEDHEALTH GROUP	17,012	62,338
500 PEPSICO	40,270	58,305
350 NORFOLK SOUTHERN	37,050	39,403
250 ILLINOIS TOOL WORKS	34,832	35,178

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TY 2016 Investments Government Obligations Schedule

Name:	HELEN L & MARIE F ROTTERMAN TRUST UW OF M ROTTERMAN
EIN:	31-6236156
US Government Securities - End of Year Book Value:	103,416
US Government Securities - End of Year Fair Market Value:	103,152
State & Local Government Securities - End of Year Book Value:	
State & Local Government Securities - End of Year Fair Market Value:	

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TY 2016 Investments - Other Schedule

Name: HELEN L & MARIE F ROTTERMAN TRUST UW OF M ROTTERMAN

EIN: 31-6236156

Category/ Item	Listed at Cost or FMV	Book Value	End of Year Fair Market Value
VANGUARD REIT ETF		79,095	126,390

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TY 2016 Other Expenses Schedule

Name: HELEN L & MARIE F ROTTERMAN TRUST UW OF M ROTTERMAN

EIN: 31-6236156

Other Expenses Schedule

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
INVESTMENT FEES & EXPENSES	19,560	19,560		
INSURANCE	1,279	639		640
ANNUAL FILING FEE-OH	200			200

ACCOUNT ACTIVITY (continued)

Date	Description	Cost Basis	Income Cash	Principal Cash
Adjustments				(continued)
05/22/17	QUALCOMM INC 05/20/15 3.000 05/20/22 AMORTIZED PREMIUM	$(12 65)		
	Total Adjustments	***$(3,641.72)***		

GAIN / (LOSS) ON SALE OF SECURITIES

Date	Description	Quantity	Sale Price	Proceeds	Cost Basis	Realized Gain/(Loss) Short-Term	Long-Term
08/04/16	BOEING CO	300.0000	$132.8061	$39,834.96	$37,512.00	$2,322.96	
08/16/16	DISNEY WALT CO MTN	100,000.0000	$100.0000	$100,000.00	$100,548.44		$(548.44)
10/20/16	ADVANSIX INC COM	15 0000	$15.8350	$236.92	$209.89		$27.03
11/02/16	MCKESSON CORPORATION	250.0000	$121.9723	$30,482.41	$19,260.00		$11,222.41
11/07/16	BOTTLING GROUP LLC	100,000.0000	$108 5500	$108,208.00	$111,819.09		$(3,611.09)
11/23/16	FORTIVE CORP COM	250.0000	$54.3900	$13,587 20	$7,392.34		$6,194 86
11/23/16	YUM CHINA HLDGS INC	450.0000	$27.5210	$12,366.18	$9,037.56	$3,328.62	
11/28/16	WELLS FARGO & COMPANY	850.0000	$52.2784	$44,418.67	$21,161.10		$23,257 57
12/09/16	ALLEGION PUB LTD CO	600.0000	$64.6162	$38,750.87	$36,136.21		$2,614 66
12/19/16	DODGE & COX INCOME FD	736.3770	$13.5800	$10,000.00	$10,250.37	$(250.37)	
12/21/16	ISHARES MSCI EAFE INDEX FD	603.0000	$58.0600	$34,985.29	$37,193.04		$(2,207 75)
12/21/16	ISHARES HIGH YIELD CORP BND FND	600.0000	$86.1900	$51,688.87	$54,655.15		$(2,966.28)
12/21/16	SPDR DJ INTL REAL ESTATE ETF	881.0000	$35.1601	$30,940.13	$34,785.40		$(3,845 27)
12/27/16	BRISTOL MYERS SQUIBB CO	725.0000	$58.9599	$42,737.74	$47,989.87	$(182.43)	$(5,069.70)
12/27/16	MOODYS CORP	525.0000	$97.0501	$50,944.93	$53,189.47	$(717.86)	$(1,526.68)
03/02/17	EAST WEST BANCORP INC	325.0000	$54.0892	$17,565.61	$11,423.72		$6,141.89
03/02/17	HOME DEPOT INC	125.0000	$145.1800	$18,142.10	$9,131.65		$9,010.45
03/02/17	ISHARES HIGH YIELD CORP BND FND	500.0000	$88 2500	$44,104.04	$44,070 00		$34.04
03/02/17	TYSON FOODS INC	250.0000	$62.1500	$15,527.16	$10,400.00		$5,127 16
03/02/17	UNITEDHEALTH GROUP INC	175.0000	$164.1300	$28,715.12	$9,278.87		$19,436.25
03/09/17	DOUBLELINE TOTAL RETURN BOND I	6,616.2580	$10.5800	$70,000.01	$72,489.03		$(2,489.02)
03/13/17	ISHARES HIGH YIELD CORP BND FND	375.0000	$86.9350	$32,584.91	$34,036 23		$(1,451.32)
05/11/17	ACCENTURE PLC CLASS A	150.0000	$120.8901	$18,127.12	$9,330.39		$8,796.73
05/11/17	TE CONNECTIVITY LTD REG SHS	125.0000	$75.3001	$9,407.30	$7,608 93		$1,798 37
05/11/17	TYSON FOODS INC	850.0000	$59.4959	$50,536.41	$35,360.00		$15,176.41

GAIN / (LOSS) ON SALE OF SECURITIES (continued)

Date	Description	Quantity	Sale Price	Proceeds	Cost Basis	Realized Gain/(Loss) Short-Term	Long-Term
05/11/17	YUM! BRANDS INC	450.0000	$69.1002	$31,076.41	$22,253 18		$8,823.23
07/18/17	CHEVRON CORPORATION	100.0000	$103.9100	$10,386.75	$11,831.50	$(1,444 75)	
07/18/17	PACKAGING CORP AMER	100.0000	$112.9600	$11,291.73	$7,292 00		$3,999.73
07/18/17	TIME WARNER INC	125.0000	$99.3810	$12,417.34	$9,892.04		$2,525.30
07/19/17	EAST WEST BANCORP INC	1,000.0000	$57.3830	$57,341.67	$35,149.90		$22,191.77
	Net Gain/(Loss) on Securities Sold			**$1,036,405.85**	**$910,687.37**	**$3,056.17**	**$122,662.31**

*** * * * End of statement for Investment Account 70-70-000-7786387 * * * ***