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

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2016

Open to Public Inspection

For calendar year 2016 or tax year beginning 9/01, 2016, and ending 8/31, 2017

THE NEUWIRTH FOUNDATION, INC.  
175 GREAT NECK RD #405  
GREAT NECK, NY 11021

A Employer identification number  
11-3048776

B Telephone number (see instructions)  
516-482-3260

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 ☐ Initial return of a former public charity  
☐ Final return ☐ Amended return  
☐ Address change ☐ 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, column (c), line 16) ☐ \$ 5,977,950.  
J Accounting method: ☐ Cash ☒ Accrual  
☐ Other (specify) (Part I, column (d) must be on cash basis.)

Part I	Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions))	(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
1	Contributions, gifts, grants, etc., received (attach schedule)				
2	Check <input checked="" type="checkbox"/> if the foundation is not required to attach Sch B				
3	Interest on savings and temporary cash investments				
4	Dividends and interest from securities	251,148.	251,148.	251,148.	
5a	Gross rents				
b	Net rental income or (loss)				
6a	Net gain or (loss) from sale of assets not on line 10	-99,430.			
b	Gross sales price for all assets on line 6a 1,292,592.				
7	Capital gain net income (from Part IV, line 2)		0.		
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	151,718.	251,148.	251,148.	
13	Compensation of officers, directors, trustees, etc	0.			
14	Other employee salaries and wages				
15	Pension plans, employee benefits				
16a	Legal fees (attach schedule) SEE ST 1	3,690.	3,690.		
b	Accounting fees (attach sch) SEE ST 2	11,150.	11,150.		
c	Other professional fees (attach sch) SEE ST 3	30,000.	30,000.		
17	Interest				
18	Taxes (attach schedule)(see instrs) SEE STM 4	4,469.			
19	Depreciation (attach schedule) and depletion				
20	Occupancy				
21	Travel, conferences, and meetings	2,710.	2,710.		
22	Printing and publications				
23	Other expenses (attach schedule) SEE STATEMENT 5	625.	625.		
24	Total operating and administrative expenses. Add lines 13 through 23 PART XV	52,644.	48,175.		
25	Contributions, gifts, grants paid	474,692.			474,692.
26	Total expenses and disbursements. Add lines 24 and 25	527,336.	48,175.	0.	474,692.
27	Subtract line 26 from line 12.				
a	Excess of revenue over expenses and disbursements	-375,618.			
b	Net investment income (if negative, enter -0-)		202,973.		
c	Adjusted net income (if negative, enter -0-)			251,148.	

Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value		
ASSETS	1	Cash — non-interest-bearing		729,855.	411,102.	411,102.
	2	Savings and temporary cash investments				
	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 sch)				
		Less: allowance for doubtful accounts				
	8	Inventories for sale or use				
	9	Prepaid expenses and deferred charges		9,366.	4,897.	4,897.
	10a	Investments — U S and state government obligations (attach schedule)				
	b	Investments — corporate stock (attach schedule) STATEMENT 6	4,498,368.	4,445,502.	5,547,887.	
	c	Investments — corporate bonds (attach schedule)				
	11	Investments — land, buildings, and equipment basis				
	Less: accumulated depreciation (attach schedule)					
12	Investments — mortgage loans					
13	Investments — other (attach schedule)					
14	Land, buildings, and equipment basis					
	Less: accumulated depreciation (attach schedule)					
15	Other assets (describe SEE STATEMENT 7)	13,445.	14,064.	14,064.		
16	Total assets (to be completed by all filers — see the instructions. Also, see page 1, item I)	5,251,034.	4,875,565.	5,977,950.		
LIABILITIES	17	Accounts payable and accrued expenses	11,252.	11,401.		
	18	Grants payable				
	19	Deferred revenue				
	20	Loans from officers, directors, trustees, & other disqualified persons				
	21	Mortgages and other notes payable (attach schedule)				
	22	Other liabilities (describe SEE STATEMENT 8)	4.	4.		
	23	Total liabilities (add lines 17 through 22)	11,256.	11,405.		
NET ASSETS OR FUND BALANCES	Foundations that follow SFAS 117, check here and complete lines 24 through 26 and lines 30 and 31. <input type="checkbox"/>					
	24	Unrestricted				
	25	Temporarily restricted				
	26	Permanently restricted				
	Foundations that do not follow SFAS 117, check here and complete lines 27 through 31. <input checked="" type="checkbox"/>					
	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	5,239,778.	4,864,160.		
	30	Total net assets or fund balances (see instructions)	5,239,778.	4,864,160.		
	31	Total liabilities and net assets/fund balances (see instructions)	5,251,034.	4,875,565.		

## 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	5,239,778.
2	Enter amount from Part I, line 27a	2	-375,618.
3	Other increases not included in line 2 (itemize)	3	
4	Add lines 1, 2, and 3	4	4,864,160.
5	Decreases not included in line 2 (itemize)	5	
6	Total net assets or fund balances at end of year (line 4 minus line 5) — Part II, column (b), line 30	6	4,864,160.

**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 shares MLC Company)		(b) How acquired P — Purchase D — Donation	(c) Date acquired (mo, day, yr)	(d) Date sold (mo, day, yr)
1 a SCHEDULE ATTACHED		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 1,292,592.		1,392,022.	-99,430.
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) FMV as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
a			-99,430.
b			
c			
d			
e			

  

2 Capital gain net income or (net capital loss). <span style="border: 1px solid black; padding: 2px;">If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7</span>	2	-99,430.
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 <span style="border: 1px solid black; padding: 2px;"> </span>	3	-99,430.

**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	313,780.	5,864,600.	0.053504
2014	584,451.	6,992,433.	0.083583
2013	507,660.	7,512,110.	0.067579
2012	571,590.	7,028,795.	0.081321
2011	527,200.	6,595,786.	0.079930

  

2 Total of line 1, column (d)	2	0.365917
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	0.073183
4 Enter the net value of noncharitable-use assets for 2016 from Part X, line 5	4	6,037,261.
5 Multiply line 4 by line 3	5	441,825.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	2,030.
7 Add lines 5 and 6	7	443,855.
8 Enter qualifying distributions from Part XII, line 4	8	474,692.

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)**

1 a 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 checked="" type="checkbox"/> and enter 1% of Part I, line 27b		1	2,030.
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	2,030.
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		4	0.
5 <b>Tax based on investment income.</b> Subtract line 4 from line 3. If zero or less, enter -0-		5	2,030.
6 Credits/Payments			
a 2016 estimated tax pmts and 2015 overpayment credited to 2016	6 a	6,927.	
b Exempt foreign organizations – tax withheld at source	6 b		
c Tax paid with application for extension of time to file (Form 8868)	6 c		
d Backup withholding erroneously withheld	6 d		
7 Total credits and payments. Add lines 6a through 6d	7	6,927.	
8 Enter any <b>penalty</b> for underpayment of estimated tax. Check here <input type="checkbox"/> if Form 2220 is attached	8		
9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9	0.	
10 <b>Overpayment.</b> If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	4,897.	
11 Enter the amount of line 10 to be <b>Credited to 2017 estimated tax</b> <input checked="" type="checkbox"/> <b>Refunded</b> <input type="checkbox"/>	11	0.	

**Part VII-A Statements Regarding Activities**

	Yes	No
1 a 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?		X
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for the definition)? <i>If the answer is 'Yes' to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities</i>		X
c Did the foundation file <b>Form 1120-POL</b> for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation <input checked="" type="checkbox"/> \$ 0. (2) On foundation managers <input checked="" type="checkbox"/> \$ 0.		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers <input checked="" type="checkbox"/> \$ 0.		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? <i>If 'Yes,' attach a detailed description of the activities</i>		X
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? <i>If 'Yes,' attach a conformed copy of the changes</i>		X
4 a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		X
b If 'Yes,' has it filed a tax return on <b>Form 990-T</b> for this year?		N/A
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? <i>If 'Yes,' attach the statement required by General Instruction T.</i>		X
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?	X	
7 Did the foundation have at least \$5,000 in assets at any time during the year? <i>If 'Yes,' complete Part II, col. (c), and Part XIV</i>	X	
8 a Enter the states to which the foundation reports or with which it is registered (see instructions) N/A		
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 <i>General Instruction G</i> ? <i>If 'No,' attach explanation</i>	X	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2016 or the taxable year beginning in 2016 (see instructions for Part XIV)? <i>If 'Yes,' complete Part XIV</i>		X
10 Did any persons become substantial contributors during the tax year? <i>If 'Yes,' attach a schedule listing their names and addresses</i>		X

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**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	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)	12	X
13 Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address <u>N/A</u>	13	X
14 The books are in care of <u>CUMMINGS &amp; CARROLL, P.C.</u> Telephone no <u>516-482-3260</u> Located at <u>175 GREAT NECK ROAD GREAT NECK NY</u> ZIP + 4 <u>11021</u>		
15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here <u>N/A</u> and enter the amount of tax-exempt interest received or accrued during the year <u>15</u>		N/A
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	X

See the instructions for exceptions and filing requirements for FinCEN Form 114. 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
1 a During the year did the foundation (either directly or indirectly):		
(1) Engage in the sale or exchange, or leasing of property with a disqualified person?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(6) Agree to pay money or property to a government official? (Exception. Check 'No' if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
b If any answer is 'Yes' to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4947(d)-3 or in a current notice regarding disaster assistance (see instructions)? Organizations relying on a current notice regarding disaster assistance check here <input type="checkbox"/>	1 b	N/A
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?	1 c	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? If 'Yes,' list the years <u>20 __ , 20 __ , 20 __ , 20 __</u>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
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.)	2 b	N/A
c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. <u>20 __ , 20 __ , 20 __ , 20 __</u>		
3 a 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)	3 b	N/A
4 a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4 a	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?	4 b	X

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**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**

N/A

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?

N/A

☐ 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**

X

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?

N/A

**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
BARBARA BRAUN P.O. BOX 41, AELFIES WAY BRIDGEHAMPTON, NY 11932	PRESIDENT 0	0.	0.	0.
MARVIN R. NEUWIRTH 15 AELFIES WAY BRIDGEHAMPTON, NY 11932	CHAIRMAN 0	0.	0.	0.
RICHARD J. BIRNBACH 111 HILLPARK AVENUE GREAT NECK, NY 11021	TREASURER 0	0.	0.	0.
ROBERT HALPER 1133 AVENUE OF THE AMERICAS NEW YORK, NY 10036-6799	SECRETARY 0	0.	0.	0.

**2** Compensation of five highest-paid employees (other than those included on line 1 – see instructions). If none, enter 'NONE.'

(a) Name and address of each employee paid more than \$50,000	(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		

**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.

1	<u>N/A</u>	
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.

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2.		Amount
1	N/A	
2		
All other program-related investments See instructions.		
3		
<b>Total.</b> Add lines 1 through 3		0

**BAA**

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

<b>1</b>	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes		
<b>a</b>	Average monthly fair market value of securities	<b>1 a</b>	5,316,204.
<b>b</b>	Average of monthly cash balances	<b>1 b</b>	812,995.
<b>c</b>	Fair market value of all other assets (see instructions)	<b>1 c</b>	
<b>d</b>	<b>Total</b> (add lines 1a, b, and c)	<b>1 d</b>	6,129,199.
<b>e</b>	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	<b>1 e</b>	0.
<b>2</b>	Acquisition indebtedness applicable to line 1 assets	<b>2</b>	0.
<b>3</b>	Subtract line 2 from line 1d	<b>3</b>	6,129,199.
<b>4</b>	Cash deemed held for charitable activities. Enter 1-1/2% of line 3 (for greater amount, see instructions)	<b>4</b>	91,938.
<b>5</b>	<b>Net value of noncharitable-use assets.</b> Subtract line 4 from line 3. Enter here and on Part V, line 4	<b>5</b>	6,037,261.
<b>6</b>	<b>Minimum investment return.</b> Enter 5% of line 5	<b>6</b>	301,863.

**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.)

<b>1</b>	Minimum investment return from Part X, line 6	<b>1</b>	301,863.
<b>2 a</b>	Tax on investment income for 2016 from Part VI, line 5	<b>2 a</b>	2,030.
<b>b</b>	Income tax for 2016 (This does not include the tax from Part VI.)	<b>2 b</b>	
<b>c</b>	Add lines 2a and 2b	<b>2 c</b>	2,030.
<b>3</b>	Distributable amount before adjustments. Subtract line 2c from line 1	<b>3</b>	299,833.
<b>4</b>	Recoveries of amounts treated as qualifying distributions	<b>4</b>	
<b>5</b>	Add lines 3 and 4	<b>5</b>	299,833.
<b>6</b>	Deduction from distributable amount (see instructions)	<b>6</b>	
<b>7</b>	<b>Distributable amount</b> as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	<b>7</b>	299,833.

**Part XII Qualifying Distributions** (see instructions)

<b>1</b>	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes:		
<b>a</b>	Expenses, contributions, gifts, etc. — total from Part I, column (d), line 26	<b>1 a</b>	474,692.
<b>b</b>	Program-related investments — total from Part IX-B	<b>1 b</b>	
<b>2</b>	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	<b>2</b>	
<b>3</b>	Amounts set aside for specific charitable projects that satisfy the:		
<b>a</b>	Suitability test (prior IRS approval required)	<b>3 a</b>	
<b>b</b>	Cash distribution test (attach the required schedule)	<b>3 b</b>	
<b>4</b>	<b>Qualifying distributions.</b> Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	<b>4</b>	474,692.
<b>5</b>	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)	<b>5</b>	2,030.
<b>6</b>	<b>Adjusted qualifying distributions.</b> Subtract line 5 from line 4	<b>6</b>	472,662.

**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				132,513
2 Undistributed income if any as of the end of 2016				
a Enter amount for 2015 only			17,096	
b Total for prior years 20____, 20____, 20____		NONE		
3 Excess distributions carryover if any to 2016				
a From 2011	NONE			
b From 2012	NONE			
c From 2013	NONE			
d From 2014	NONE			
e From 2015	NONE			
f Total of lines 3a through e	NONE			
4 Qualifying distributions for 2016 from Part XII, line 4 ▶ \$ 38,407				
a Applied to 2015 but not more than line 2a			17,096	
b Applied to undistributed income of prior years (Election required see instructions)		NONE		
c Treated as distributions out of corpus (Election required see instructions)	NONE			
d Applied to 2016 distributable amount				21,311
e Remaining amount distributed out of corpus	NONE			
5 Excess distributions carryover applied to 2016 (If an amount appears in column (d) the same amount must be shown in column (a) )	NONE			NONE
6 Enter the net total of each column as indicated below				
a Corpus Add lines 3f 4c and 4e Subtract line 5	NONE			
b Prior years undistributed income Subtract line 4b from line 2b		NONE		
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		NONE		
d Subtract line 6c from line 6b Taxable amount see instructions		NONE		
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				111,202
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)	NONE			
8 Excess distributions carryover from 2011 not applied on line 5 or line 7 (see instructions)	NONE			
9 Excess distributions carryover to 2017 Subtract lines 7 and 8 from line 6a	NONE			
10 Analysis of line 9				
a Excess from 2012	NONE			
b Excess from 2013	NONE			
c Excess from 2014	NONE			
d Excess from 2015	NONE			
e Excess from 2016	NONE			

Form 990-PF (2016)

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

- 2a** Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed.

[illegible]

**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

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

- c** Any submission deadlines:

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

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<i>a</i> Paid during the year SCHEDULE ATTACHED		PUBLIC	CHARITABLE, SCIENTIFIC, EDUCATIONAL	474,692.
<b>Total</b>			<b>3 a</b>	474,692.
<i>b</i> Approved for future payment				
<b>Total</b>			<b>3 b</b>	

<b>Part XVI-A</b>	<b>Analysis of Income-Producing Activities</b>
-------------------	--

Enter gross amounts unless otherwise indicated.

Enter gross amounts unless otherwise indicated.		Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See instructions )
	(a) Business code	(b) Amount	(c) Exclu- sion code	(d) Amount		
1	Program service revenue:					
a						
b						
c						
d						
e						
f						
g	Fees and contracts from government agencies					
2	Membership dues and assessments					
3	Interest on savings and temporary cash investments					
4	Dividends and interest from securities					251,148.
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					-99,430.
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)					151,718.
13	<b>Total.</b> Add line 12, columns (b), (d), and (e)					151,718.

<b>Part XVI-B</b>	<b>Relationship of Activities to the Accomplishment of Exempt Purposes</b>
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[illegible]



2016

## FEDERAL STATEMENTS

PAGE 1

THE NEUWIRTH FOUNDATION, INC.

11-3048776

**STATEMENT 1**  
**FORM 990-PF, PART I, LINE 16A**  
**LEGAL FEES**

	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
LEGAL FEES	\$ 3,690.	\$ 3,690.		
TOTAL	<u>\$ 3,690.</u>	<u>\$ 3,690.</u>	<u>\$ 0.</u>	<u>\$ 0.</u>

**STATEMENT 2**  
**FORM 990-PF, PART I, LINE 16B**  
**ACCOUNTING FEES**

	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ACCOUNTING FEES	\$ 11,150.	\$ 11,150.		
TOTAL	<u>\$ 11,150.</u>	<u>\$ 11,150.</u>	<u>\$ 0.</u>	<u>\$ 0.</u>

**STATEMENT 3**  
**FORM 990-PF, PART I, LINE 16C**  
**OTHER PROFESSIONAL FEES**

	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
INVESTMENT ADVISORY FEES	\$ 30,000.	\$ 30,000.		
TOTAL	<u>\$ 30,000.</u>	<u>\$ 30,000.</u>	<u>\$ 0.</u>	<u>\$ 0.</u>

**STATEMENT 4**  
**FORM 990-PF, PART I, LINE 18**  
**TAXES**

	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
EXCISE TAX	\$ 4,469.			
TOTAL	<u>\$ 4,469.</u>	<u>\$ 0.</u>	<u>\$ 0.</u>	<u>\$ 0.</u>

THE NEUWIRTH FOUNDATION, INC.

11-3048776

STATEMENT 5  
FORM 990-PF, PART I, LINE 23  
OTHER EXPENSES

	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FEES AND SERVICE CHARGE.	\$ 625.	\$ 625.		
TOTAL	<u>\$ 625.</u>	<u>\$ 625.</u>	<u>\$ 0.</u>	<u>\$ 0.</u>

STATEMENT 6  
FORM 990-PF, PART II, LINE 10B  
INVESTMENTS - CORPORATE STOCKS

CORPORATE STOCKS	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
CORPORATE STOCK	COST	\$ 4,445,502.	\$ 5,547,887.
	TOTAL	<u>\$ 4,445,502.</u>	<u>\$ 5,547,887.</u>

STATEMENT 7  
FORM 990-PF, PART II, LINE 15  
OTHER ASSETS

	BOOK VALUE	FAIR MARKET VALUE
ACCRUED DIVIDEND RECEIVABLE	\$ 14,064.	\$ 14,064.
TOTAL	<u>\$ 14,064.</u>	<u>\$ 14,064.</u>

STATEMENT 8  
FORM 990-PF, PART II, LINE 22  
OTHER LIABILITIES

	\$ 4.
TOTAL	<u>\$ 4.</u>



# The Newirth Foundation Inc, Sale of Securities FYE 8/31/17

Initials	Date
Prepared By	
Approved By	

1		2		3		4		5		6	
Date Purch	Date Sold		Description	Sales Price	Cost	Gain or (Loss)					
1 6/14/16	11/7/16	2000	American Airlines Co.	8299524	62784	2021	124				
2 Various	11/1/16	2500	United Rentals Inc	22573613	230082	4315	87				
21/6/13 + Reinvest	11/21/16	27270552	Jvy High Income	19984320	23105104	31207	84				
4 6/25/12	12/13/16	362	Larso Resources	1965171	28829	917	29				
11/28/15 + 2/9/15	11/01/17	7000	Kinofed Biosciences	4024017	46935	669	83				
6 2/6/14	11/20/17	3500	SKWworks Solutions	29748456	106682	19080	56				
11/3/16	11/31/17	250	Allyearn P/L	5473980	4941493	5324	93				
8 11/9/14	3/1/17	1500	Lyondell Basell Ind	14173996	133064	8675	9				
9 7/10/12	3/20/17	7000	Antares Pharma	1119778	19889	869	122				
10 5/15/13	3/20/17	6000	Antares Pharma	1679666	23645	684	834				
11 6/25/12	6/15/17	5000	Gamco Global Ind	2743341	67618	401	845				
11/5/12 + 6/27/13	6/15/17	15000	Gamco Global Gld	8230024	171508	89207	76				
13 9/16/14	6/15/17	5000	Gamco Global Gld	2743341	50659	2322	559				
14 Various	6/14/17		Kinder Morgan	6751	0	6751					
15 6/1/06	7/5/17	Cash in Lieu	ONEOK Inc	2549	0	2549					
16 3/2/17	7/5/17	1000	Bed Bath + Beyond	3065404	3812495	7470	91				
17 8/12/13	8/14/17	4000	CVR Refining LP	2740221	106336	7893	379				
9/10/13 + 6/25/14	8/14/17	1000	CVR Refining LP	685055	25400	1854	945				
				129259213	139202192	99429	79				

THE NEUWIRTH FOUNDATION, INC.  
STATEMENTS OF FINANCIAL POSITION  
AUGUST 31,  
(Unaudited)

ASSETS

	<u>2017</u>	<u>2016</u>
Current Assets:		
Cash - Charles Schwab & Co.	\$ 411,102	\$ 729,855
Accrued dividend receivable	14,064	13,445
Prepaid federal excise tax	<u>4,897</u>	<u>9,366</u>
Total Current Assets	<u>430,063</u>	<u>752,666</u>
Other Assets:		
Marketable securities, at market (cost - 2017, \$4,445,502 and 2016, \$4,498,368)	<u>5,547,887</u>	<u>5,487,356</u>
	<u>5,547,887</u>	<u>5,487,356</u>
Total Assets	<u><u>\$ 5,977,950</u></u>	<u><u>\$ 6,240,022</u></u>
Current Liabilities:		
Accrued expenses and other	\$ 11,401	\$ 11,252
Federal excise tax payable	<u>-</u>	<u>-</u>
Total Current Liabilities	11,401	11,252
Unrestricted Net Assets	<u>5,966,549</u>	<u>6,228,770</u>
Total Liabilities and Unrestricted Net Assets	<u><u>\$ 5,977,950</u></u>	<u><u>\$ 6,240,022</u></u>

THE NEUWIRTH FOUNDATION, INC.  
STATEMENTS OF ACTIVITY  
FOR THE YEARS ENDED AUGUST 31,  
(Unaudited)

	<u>2017</u>	<u>2016</u>
Revenue:		
Dividends and interest	\$ 251,148	\$ 285,501
Increase in unrealized appreciation of securities	113,397	177,401
(Loss) on sale of securities	<u>(99,430)</u>	<u>(79,908)</u>
Total revenue (deficit)	<u>265,115</u>	<u>382,994</u>
Expenses:		
Investment advisory fee	30,000	30,000
Professional fees	14,840	11,000
Fees and service charge	625	577
Travel expenses	2,710	-
Federal excise tax	<u>4,469</u>	<u>2,439</u>
Total expenses	<u>52,644</u>	<u>44,016</u>
Excess (deficit) of revenue over expenses	212,471	338,978
Charitable contributions	<u>474,692</u>	<u>313,780</u>
Increase (decrease) in unrestricted net assets	(262,221)	25,198
Unrestricted Net Assets - September 1, 2016 - 2015	<u>6,228,770</u>	<u>6,203,572</u>
Unrestricted Net Assets - August 31, 2017 - 2016	<u><u>\$ 5,966,549</u></u>	<u><u>\$ 6,228,770</u></u>

THE NEUWIRTH FOUNDATION, INC.  
STATEMENTS OF CASH FLOWS  
FOR THE YEARS ENDED AUGUST 31,  
(Unaudited)

	<u>2017</u>	<u>2016</u>
Cash Flows From Operating Activities:		
Increase (decrease) in unrestricted assets	\$ (262,221)	\$ 25,198
Non-cash increase (decrease) in unrealized appreciation of securities	(113,397)	(177,401)
Adjustments to reconcile excess of net revenue over contributions to cash from operating activities:		
Increase or (decrease) in accrued dividend receivable	(619)	(205)
Increase in accrued expenses and other	149	250
Increase or (decrease) in Federal excise tax payable	-	-
Increase in prepaid Federal excise tax	<u>4,469</u>	<u>2,439</u>
Net cash provided (used) by operating activities	<u>(371,619)</u>	<u>(149,719)</u>
Cash Flows From Investing Activities:		
Sales of marketable securities	1,392,022	695,581
Net purchases of marketable securities	<u>(1,339,156)</u>	<u>(118,468)</u>
Net cash provided by (used for) investing activities	<u>52,866</u>	<u>577,113</u>
Net increase (decrease) in cash	(318,753)	427,394
Cash - September 1, 2016 - 2015	<u>729,855</u>	<u>302,461</u>
Cash - August 31, 2017 - 2016	<u>\$ 411,102</u>	<u>\$ 729,855</u>
Supplemental disclosures of Cash Information:		
Cash paid during the years for:		
Federal excise taxes	\$ -	\$ -

THE NEUWIRTH FOUNDATION, INC.  
NOTES TO FINANCIAL STATEMENTS  
AUGUST 31, 2017  
(Unaudited)

**Note 2 - Fair Value Measurements**

The following table summarizes the fair value measurements of investments as of August 31, 2017 and 2016 based on the three levels established by ASC 820, "Fair Value Measurements and Disclosures" (in thousands).

Fair Value Measurements as of August 31, 2017 using:

	Quoted Prices in Active Markets for Identical Assets (Level 1)	Significant Other Observable Outputs (Level 2)	Significant Unobservable Outputs (Level 3)	Total
U.S. Government Securities	\$ -	\$ -	\$ -	\$ -
Corporate Bonds Funds	-	-	-	-
Common Stock: Equity Securities	4,697	-	-	4,697
Master Limited Partnerships (Public)	<u>850</u>	<u>-</u>	<u>-</u>	<u>850</u>
Total Common Stock	<u>5,547</u>	<u>-</u>	<u>-</u>	<u>5,547</u>
Total Assets, at Fair Value	<u>5,547</u>	<u>-</u>	<u>-</u>	<u>5,547</u>

THE NEUWIRTH FOUNDATION, INC.  
NOTES TO FINANCIAL STATEMENTS  
AUGUST 31, 2017  
(Unaudited)

Note 2 - Fair Value Measurements (continued)

Fair Value Measurements as of August 31, 2016 using:

	Quoted Prices in Active Markets for Identical Assets (Level 1)	Significant Other Observable Outputs (Level 2)	Significant Unobservable Outputs (Level 3)	Total
U.S. Government Securities	\$ -	\$ -	\$ -	\$ -
Corporate Bonds Funds	198	-	-	198
Common Stock: Equity Securities	4,398	-	-	4,398
Master Limited Partnerships (Public)	<u>891</u>	<u>-</u>	<u>-</u>	<u>891</u>
Total Common Stock	<u>5,487</u>	<u>-</u>	<u>-</u>	<u>5,487</u>
Total Assets, at Fair Value	<u>5,487</u>	<u>-</u>	<u>-</u>	<u>5,487</u>

THE NEUWIRTH FOUNDATION, INC.  
SCHEDULE OF INVESTMENTS  
AUGUST 31, 2017  
(Unaudited)

Date Acquired		Description	Cost	Market Value
<b>Common Stock and Options:</b>				
10/13/09	324 shares	AT&T	\$ 8,262	\$ 12,137
12/21/12	1,892 shares	AT&T	50,009	70,874
02/19/13	1,892 shares	AT&T	49,209	70,874
03/01/13	1,892 shares	AT&T	48,109	70,874
02/18/14 & 02/26/14	4,000 shares	AT&T	130,115	149,841
04/26/17	500 shares	Acacia Communication	25,855	24,415
05/03/17	500 shares	Acacia Communication	22,590	24,415
09/14/06	200 shares	Alphabet Inc Class C	40,688	191,048
04/15/10	105 shares	Alphabet Inc. Class C	31,304	100,300
09/14/06	200 shares	Alphabet Inc. Class C	40,558	187,866
04/15/10	105 shares	Alphabet Inc. Class C	31,204	98,630
09/29/14	15,000 shares	Annaly Capital Management	163,476	187,500
10/14/16	5,000 shares	Annaly Capital Management	50,319	62,500
01/15/13 & 06/25/13	1,750 shares	Apple Inc	118,114	287,000
08/25/17	500 shares	Blackstone Group LP	15,857	16,365
06/25/12	2,000 shares	Boardwalk Pipeline Partners	49,192	30,220
01/05/14 & 02/19/14	8,000 shares	Boardwalk Pipeline Partners	127,146	120,880
08/04/17	300 shares	Centene Corp.	24,853	26,655
03/18/10	1,500 shares	Centurylink Inc.	52,435	29,580
07/15/11	1,500 shares	Centurylink Inc	57,847	29,580
02/15/13 & 08/16/13	3,000 shares	Centurylink Inc.	98,918	59,160
11/07/13	1,000 shares	Centurylink Inc.	31,909	19,720
08/21/17	1,000 shares	Centurylink Inc.	9,455	9,860
1970	6,000 shares	Chevron Corp.	17,443	645,720
Various	1,400 shares	Chicago Bridge & Iron	83,682	17,276
09/29/14	2,600 shares	Chicago Bridge & Iron	155,901	32,084
08/09/17 & 08/21/17	1,000 shares	Citizens Financial Group	33,821	33,130
08/12/13	4,000 shares	CVR Refining	126,971	42,250
05/02/17 & 0/21/17	1,000 shares	CVS Health Corp.	77,362	77,340
07/20/17	1,000 shares	CVS Health Corp.	76,605	77,340
08/24/17	300 shares	Delta Air Lines	13,805	14,157
06/01/06	6,880 shares	Energy Transfer Equity LP	45,968	119,505
06/28/12 & 08/15/12	2,000 shares	Energy Transfer Partners LP	87,218	57,030
09/13/12 & 10/03/12	2,000 shares	Energy Transfer Partners LP	84,546	57,030
06/01/06	2,380 shares	Enterprise Products LP	28,749	62,047
06/28/12	3,620 shares	Enterprise Products LP	45,782	94,373
1958	1,000 shares	Exxon Mobil Corp.	1,725	76,330
Various	4,000 shares	Exxon Mobil Corp	141,500	305,320
Subtotal carried forward			<u>\$ 2,298,502</u>	<u>\$ 3,591,226</u>

THE NEUWIRTH FOUNDATION, INC.  
SCHEDULE OF INVESTMENTS  
AUGUST 31, 2017  
(Unaudited)

Date Acquired		Description	Cost	Market Value
		Subtotal carried forward	2,298,502	3,591,226
12/24/12	1,000 shares	Frontier Communications Corp	63,009	13,470
Various	2,000 shares	Gilead Sciences Inc.	196,575	167,420
07/27/16	500 shares	Gilead Sciences Inc.	40,559	41,855
06/30/17	10,000 shares	Government Properties	184,527	185,500
09/04/14	1,000 shares	Kinder Morgan Energy	39,009	19,330
12/03/14	2,193 shares	Kinder Morgan Energy	91,086	42,391
05/14/17	500 shares	Lyondellbasell Inds.	40,421	45,295
10/17/16	1,200 shares	Magna International	48,009	57,720
04/03/17	1,000 shares	Magna International	42,005	48,100
10/14/11	2,500 shares	Newberger Berman Hi Yld	30,384	29,913
08/01/14	7,500 shares	Newberger Berman Hi Yld.	98,709	89,737
08/11/17	100 shares	Nivida Corp	15,505	16,944
06/01/06	1,477 shares	Oneok Partners LP	37,613	79,994
Various	20,000 shares	Pimco Strategic Global	210,639	199,000
09/26/14	5,000 shares	Pimco Strategic Global	49,136	49,750
04/30/13	2,000 shares	Qualcomm, Inc.	123,509	104,540
02/24/17	100 shares	Rio Tinto, PLC	4,142	4,908
04/18/17	300 shares	Rio Tinto, PLC	11,555	14,724
05/25/17	500 shares	Schumberger LTD	35,233	31,755
07/12/17	500 shares	Schumberger LTD	32,790	31,755
08/10/17	1,000 shares	Schumberger LTD	65,005	63,510
11/23/16	2,000 shares	Teva Pharm Inds LTD	75,998	31,720
12/02/16	shares	Teva Pharm Inds LTD	36,809	15,860
08/03/17	shares	Teva Pharm Inds LTD	25,755	15,860
04/29/15	1,000 shares	Twitter, Inc.	39,887	16,910
05/06/10	1,000 shares	Verizon Communications	51,665	95,940
05/15/17	1,000 shares	Verizon Communications	45,298	47,970
07/12/17	200 shares	Verizon Communications	86,584	95,940
12/20/16	4,000 shares	Vodafone Group	99,518	116,120
01/25/17	2,000 shares	Vodafone Group	49,357	58,060
<b>Closed End Funds:</b>				
04/27/04 & Reinvest	10,000 shares	Kayne Anderson MLP	176,709	124,670
			<u>\$ 4,445,502</u>	<u>\$ 5,547,887</u>



THE NEUWIRTH FOUNDATION, INC.  
SCHEDULE OF INVESTMENTS  
AUGUST 31, 2016  
(Unaudited)

Date Acquired		Description	Cost	Market Value
<b>Common Stock and Options:</b>				
10/13/09	324 shares	AT&T	\$ 8,262	\$ 13,245
12/21/12	1,892 shares	AT&T	50,009	77,345
02/19/13	1,892 shares	AT&T	49,209	77,345
03/01/13	1,892 shares	AT&T	48,109	77,345
02/18/14 & 02/26/14	4,000 shares	AT&T	130,115	163,520
09/14/06	200 shares	Alphabet Inc. Class C	40,558	153,410
04/15/10	105 shares	Alphabet Inc. Class C	31,204	80,540
09/14/06	200 shares	Alphabet Inc. Class C	40,688	157,970
04/15/10	105 shares	Alphabet Inc. Class C	31,304	82,934
06/14/16	2,000 shares	American Airlines Group	62,784	72,600
09/29/14	15,000 shares	Annaly Capital Management	163,476	160,650
07/10/12	4,000 shares	Antares Phama Inc.	19,889	4,880
05/15/13	6,000 shares	Antares Phama Inc.	23,645	7,320
01/15/13 & 06/25/13	1,750 shares	Apple Inc.	118,114	185,675
06/25/12	2,000 shares	Boardwalk Pipeline Partners	49,192	32,460
01/05/14 & 02/19/14	8,000 shares	Boardwalk Pipeline Partners	127,146	129,840
03/18/10	1,500 shares	Centurylink Inc.	52,435	41,700
07/15/11	1,500 shares	Centurylink Inc.	57,847	41,700
02/15/13 & 08/16/13	3,000 shares	Centurylink Inc.	98,918	83,400
11/07/13	1,000 shares	Centurylink Inc.	31,909	27,800
1970	6,000 shares	Chevron Corp.	17,443	603,480
Various	1,400 shares	Chicago Bridge & Iron	83,682	41,692
09/29/14	2,600 shares	Chicago Bridge & Iron	155,901	77,428
08/12/13	4,000 shares	CVR Refining	106,336	27,560
09/10/13 & 06/25/14	6,000 shares	CVR Refining	152,371	41,340
06/01/06	6,880 shares	Energy Transfer Equity LP	45,968	123,152
06/28/12 & 08/15/12	2,000 shares	Energy Transfer Partners LP	87,218	79,880
09/13/12 & 10/03/12	2,000 shares	Energy Transfer Partners LP	84,546	79,880
06/01/06	2,380 shares	Enterprise Prd Partners LP	28,749	62,832
06/28/12	3,620 shares	Enterprise Prd Partners LP	45,782	95,568
1958	1,000 shares	Exxon Mobil Corp.	1,725	87,140
Various	4,000 shares	Exxon Mobil Corp.	141,500	348,560
12/24/12	15,000 shares	Frontier Communications Corp	63,009	69,000
06/25/12	5,000 shares	Gamco Global Gld Natural	67,618	31,650
11/15/12 & 06/27/13	15,000 shares	Gamco Global Gld Natural	171,508	94,950
09/16/14	5,000 shares	Gamco Global Gld Natural	50,659	31,650
Various	2,000 shares	Gilead Sciences Inc.	196,575	156,760
07/27/16	500 shares	Gilead Sciences Inc.	40,559	39,190
09/04/14	1,000 shares	Kinder Morgan Energy	39,009	21,850
12/03/14	2,193 shares	Kinder Morgan Energy	91,086	47,917
01/28/15 & 02/09/15	7,000 shares	Kindred Biosciences	46,935	29,120
11/19/14	1,500 shares	Lyondellbasell Inds.	133,064	118,335
10/14/11	2,500 shares	Newberger Berman Hi Yld.	30,384	29,600
08/01/14	7,500 shares	Newberger Berman Hi Yld	98,709	88,800
Subtotal carried forward			<u>\$ 3,215,149</u>	<u>\$ 4,099,013</u>

THE NEUWIRTH FOUNDATION, INC.  
SCHEDULE OF INVESTMENTS  
AUGUST 31, 2016  
(Unaudited)

Date Acquired		Description	Cost	Market Value
		Subtotal carried forward	3,215,149	4,099,013
06/01/06	1,500 shares	Oneok Partners LP	37,613	58,125
Various	20,000 shares	Pimco Strategic Global	210,639	208,600
09/26/14	5,000 shares	Pimco Strategic Global	49,136	52,150
04/30/13	2,000 shares	Qualcomm, Inc.	123,509	126,140
02/06/14	3,500 shares	Skyworks Solutions	106,682	262,010
06/25/12	362 shares	Targa Resources Corp	28,829	15,776
04/29/15	1,000 shares	Twitter, Inc.	39,887	19,210
Various	2,500 shares	United Rentals, Inc.	230,082	205,775
05/06/10	2,000 shares	Verizon Communications	51,665	104,660
<b>Closed End Funds:</b>				
04/27/04 & Reinvest	7,000 shares	Kayne Anderson MLP	176,709	137,760
<b>Mutual Funds:</b>				
02/16/13 & Reinvest	26,921 shares	Ivy High Income Fund	228,468	198,137
			<u>\$ 4,498,368</u>	<u>\$ 5,487,356</u>

THE NEUWIRTH FOUNDATION, INC.  
SCHEDULE OF CHARITABLE CONTRIBUTIONS  
FOR THE YEARS ENDED AUGUST 31,  
(Unaudited)

	<u>2017</u>	<u>2016</u>
Adirondack Zone	\$ -	\$ 500
Amarylis Farm	1,000	1,000
American Diabetes Association	500	500
Anne's Night	-	1,750
Alzheimers Association	170,700	7,000
Beth El Temple	2,000	2,000
Bridgehampton Child Care and Recreation Center	-	500
Bridgehampton Fire Department	-	100
Bridgehampton Library	-	150
Broward Children's Center	250	180
Chicago Children's Museum	2,500	2,500
Danny and Ron's Rescue	-	5,000
East End Hospice	1,000	1,100
Ellen Frank Illumination	5,000	-
Ellen Run/Hermanson Foundation	5,000	5,000
Equestrian Aids Foundation	1,000	1,000
Equus Foundation	10,000	-
Fayette Alliance	275	250
Food Pantry Farm, Inc.	-	250
Friends of L'Arche Long Island	-	500
Frick Collection	1,200	-
Guild Hall	2,500	2,000
Hampton Classic	11,800	25,000
Hartford Jewish Federation	7,000	7,000
Hartford Stage	500	500
Hartford Symphony	500	500
Heart Association	10,500	8,500
Hebrew Home	2,000	2,000
Jewish Congregation of the Hamptons	23,237	41,500
Kentucky Horse Foundation	5,000	5,000
Lion of Judah	6,000	-
Los Altos Educational Foundation	1,200	-
Long Horse Reserve	-	1,500
Mackey Cancer Foundation	2,500	6,000
Material for the Arts	12,500	11,000
Metropolitan Museum of Art	1,500	1,500
Subtotal carried forward	<u>287,162</u>	<u>141,280</u>