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Form **990-PF****Return of Private Foundation**

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

OMB No 1545-0052

2016

Open to Public Inspection

Department of the Treasury
Internal Revenue ServiceDo not enter social security numbers on this form as it may be made public.
Information about Form 990-PF and its separate instructions is at www.irs.gov/form990

For calendar year 2016 or tax year beginning

SEP 1, 2016

, and ending

AUG 31, 2017

Name of foundation

ANDREW M PAUL FAMILY FOUNDATION

A Employer identification number

13-7143442

Number and street (or P O box number if mail is not delivered to street address)

283 PONDFIELD ROAD

Room/suite

B Telephone number

212-307-3385

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

BRONXVILLE, NY 10708

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 changeD 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 foundationE 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)

J Accounting method

☒ Cash☐ Accrual☐ Other (specify)F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐

▶ \$ 62,495. (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).)

(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	1,747,125.			
	2	Check ☐ if the foundation is not required to attach Sch B				
	3	Interest on savings and temporary cash investments				
	4	Dividends and interest from securities	53.	53.		STATEMENT 2
	5a	Gross rents				
	b	Net rental income or (loss)				
	6a	Net gain or (loss) from sale of assets not on line 10	<648.>			STATEMENT 1
	b	Gross sales price for all assets on line 6a	31,477.			
	7	Capital gain net income (from Part IV, line 2)		12,979.		
	8	Net short-term capital gain				
	9	Income modifications				
	10a	Gross sales less returns and allowances				
Operating and Administrative Expenses	b	Less Cost of goods sold				
	c	Gross profit or (loss)				
	11	Other income				
	12	Total. Add lines 1 through 11	1,746,530.	13,032.	0.	
	13	Compensation of officers, directors, trustees, etc	0.	0.	0.	0.
	14	Other employee salaries and wages				
	15	Pension plans, employee benefits				
	16a	Legal fees				
	b	Accounting fees STMT 3	4,425.	2,212.	0.	2,213.
	c	Other professional fees STMT 4	5,000.	5,000.	0.	0.
	17	Interest				
	18	Taxes STMT 5	4,937.	0.	0.	0.
	19	Depreciation and depletion				
	20	Occupancy				
	21	Travel, conferences, and meetings				
	22	Printing and publications				
	23	Other expenses STMT 6	104.	0.	0.	100.
	24	Total operating and administrative expenses. Add lines 13 through 23	14,466.	7,212.	0.	2,313.
	25	Contributions, gifts, grants paid	2,223,467.			2,223,467.
	26	Total expenses and disbursements. Add lines 24 and 25	2,237,933.	7,212.	0.	2,225,780.
	27	Subtract line 26 from line 12				
	a	Excess of revenue over expenses and disbursements	<491,403.>			
	b	Net investment income (if negative, enter -0-)		5,820.		
	c	Adjusted net income (if negative, enter -0-)			0.	

Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only		
		Beginning of year (a) Book Value	End of year (b) Book Value (c) Fair Market Value	
Assets	1 Cash - non-interest-bearing			
	2 Savings and temporary cash investments	553,898.	62,495.	62,495.
	3 Accounts receivable ▶			
	Less allowance for doubtful accounts ▶			
	4 Pledges receivable ▶			
	Less allowance for doubtful accounts ▶			
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons			
	7 Other notes and loans receivable ▶			
	Less allowance for doubtful accounts ▶			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10a Investments - U.S. and state government obligations			
	b Investments - corporate stock			
	c Investments - corporate bonds			
	11 Investments - land, buildings, and equipment basis ▶			
Less accumulated depreciation ▶				
12 Investments - mortgage loans				
13 Investments - other				
14 Land, buildings, and equipment basis ▶				
Less accumulated depreciation ▶				
15 Other assets (describe ▶)				
16 Total assets (to be completed by all filers - see the instructions. Also, see page 1, item I)	553,898.	62,495.	62,495.	
Liabilities	17 Accounts payable and accrued expenses			
	18 Grants payable			
	19 Deferred revenue			
	20 Loans from officers, directors, trustees, and other disqualified persons			
	21 Mortgages and other notes payable			
	22 Other liabilities (describe ▶)			
23 Total liabilities (add lines 17 through 22)	0.	0.		
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ ☐			
	24 Unrestricted			
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ ☒			
	27 Capital stock, trust principal, or current funds	651,713.	651,713.	
	28 Paid-in or capital surplus, or land, bldg., and equipment fund	0.	0.	
	29 Retained earnings, accumulated income, endowment, or other funds	<97,815.>	<589,218.>	
	30 Total net assets or fund balances	553,898.	62,495.	
31 Total liabilities and net assets/fund balances	553,898.	62,495.		

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	553,898.
2 Enter amount from Part I, line 27a	2	<491,403.>
3 Other increases not included in line 2 (itemize) ▶	3	0.
4 Add lines 1, 2, and 3	4	62,495.
5 Decreases not included in line 2 (itemize) ▶	5	0.
6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	62,495.

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co.)		(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a 1,937 SHS K2M GROUP HLDGS INC			08/22/16	09/12/16
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 31,477.		18,498.	12,979.
b			
c			
d			
e			

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(i) 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			12,979.
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	12,979.
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) If (loss), enter -0- in Part I, line 8		3	N/A

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

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

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

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period?

☐ Yes ☒ No

If "Yes," the foundation does not qualify under section 4940(e). Do not complete this part.

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2015	1,909,234.	592,374.	3.223021
2014	192,660.	390,494.	.493375
2013	277,713.	464,879.	.597388
2012	173,673.	730,837.	.237636
2011	214,068.	936,330.	.228625

2 Total of line 1, column (d)	2	4.780045
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	.956009
4 Enter the net value of noncharitable-use assets for 2016 from Part X, line 5	4	435,342.
5 Multiply line 4 by line 3	5	416,191.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	58.
7 Add lines 5 and 6	7	416,249.
8 Enter qualifying distributions from Part XII, line 4 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	8	2,225,780.

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	58.
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	58.
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	4	0.
5	Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-	5	58.
6	Credits/Payments		
a	2016 estimated tax payments and 2015 overpayment credited to 2016	6a	1,000.
b	Exempt foreign organizations - tax withheld at source	6b	
c	Tax paid with application for extension of time to file (Form 8868)	6c	
d	Backup withholding erroneously withheld	6d	
7	Total credits and payments. Add lines 6a through 6d	7	1,000.
8	Enter any penalty for underpayment of estimated tax. Check here ☐ if Form 2220 is attached	8	
9	Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9	
10	Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	942.
11	Enter the amount of line 10 to be Credited to 2017 estimated tax ☒ 942. Refunded ☐	11	0.

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?		X
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for the definition)? If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.		X
c Did the foundation file Form 1120-POL 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 ☒ \$ 0. (2) On foundation managers ☒ \$ 0.		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ☒ \$ 0.		
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	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? If "Yes," attach a conformed copy of the changes	3	X
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?	4a	X
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	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?	6	X
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 XIV	7	X
8a Enter the states to which the foundation reports or with which it is registered (see instructions) ☒ NY		
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation	8b	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)? If "Yes," complete Part XIV	9	X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses	10	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 ► N/A	13	X
14 The books are in care of ► ANDREW M PAUL Telephone no ► 212-207-3385 Located at ► 283 PONDFIELD ROAD, BRONXVILLE, NY ZIP+4 ► 10708		
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 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? See the instructions for exceptions and filing requirements for FinCEN Form 114. If "Yes," enter the name of the foreign country ►	16	X

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

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

	Yes	No
1a During the year did the foundation (either directly or indirectly) (1) Engage in the sale or exchange, or leasing of property with a disqualified person? ☐ 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)? Organizations relying on a current notice regarding disaster assistance check here ► 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? 1b 1c 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? ☐ Yes ☒ No If "Yes," list the years ► b Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see instructions) 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 ► 2b		
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.) N/A 3b 4a X		
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? 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	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)?

N/A

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?

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

6b

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?

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

7b

b If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction?

N/A

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

1 List all officers, directors, trustees, foundation managers and their compensation.

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
ANDREW M PAUL 283 PONDFIELD ROAD BRONXVILLE, NY 10708	PRESIDENT 1.00	0.	0.	0.
MARGARET PAUL 283 PONDFIELD ROAD BRONXVILLE, NY 10708	TRUSTEE 1.00	0.	0.	0.

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

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

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

0

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Part VIII

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

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

[illegible]

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.

1	N/A	
2		
3		
4		

Part IX-B

Summary of Program-Related Investments

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2

1	N/A	
2		
3	All other program-related investments See instructions	

Total. Add lines 1 through 3

0.

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes		
a	Average monthly fair market value of securities	1a	87.
b	Average of monthly cash balances	1b	441,885.
c	Fair market value of all other assets	1c	
d	Total (add lines 1a, b, and c)	1d	441,972.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	0.
2	Acquisition indebtedness applicable to line 1 assets	2	0.
3	Subtract line 2 from line 1d	3	441,972.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	6,630.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	435,342.
6	Minimum investment return. Enter 5% of line 5	6	21,767.

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	21,767.
2a	Tax on investment income for 2016 from Part VI, line 5	2a	58.
b	Income tax for 2016 (This does not include the tax from Part VI)	2b	
c	Add lines 2a and 2b	2c	58.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	21,709.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	21,709.
6	Deduction from distributable amount (see instructions)	6	0.
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	21,709.

Part XII Qualifying Distributions (see instructions)

1	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes		
a	Expenses, contributions, gifts, etc. - total from Part I, column (d), line 26	1a	2,225,780.
b	Program-related investments - total from Part IX-B	1b	0.
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	2,225,780.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b	5	58.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	2,225,722.

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.

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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				21,709.
2 Undistributed income, if any, as of the end of 2016				
a Enter amount for 2015 only			0.	
b Total for prior years		0.		
3 Excess distributions carryover, if any, to 2016				
a From 2011	181,104.			
b From 2012	137,133.			
c From 2013	254,469.			
d From 2014	185,527.			
e From 2015	1,887,403.			
f Total of lines 3a through e	2,645,636.			
4 Qualifying distributions for 2016 from Part XII, line 4 ▶ \$ 2,225,780.				
a Applied to 2015, but not more than line 2a			0.	
b Applied to undistributed income of prior years (Election required - see instructions)		0.		
c Treated as distributions out of corpus (Election required - see instructions)	0.			
d Applied to 2016 distributable amount	2,204,071.			21,709.
e Remaining amount distributed out of corpus	0.			0.
5 Excess distributions carryover applied to 2016 (If an amount appears in column (d), the same amount must be shown in column (a).)				
6 Enter the net total of each column as indicated below:	4,849,707.			
a Corpus Add lines 3f, 4c, and 4e Subtract line 5				
b Prior years' undistributed income Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b Taxable amount - see instructions		0.		
e Undistributed income for 2015 Subtract line 4a from line 2a Taxable amount - see instr			0.	
f Undistributed income for 2016 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2017				0.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions)	0.			
8 Excess distributions carryover from 2011 not applied on line 5 or line 7	181,104.			
9 Excess distributions carryover to 2017. Subtract lines 7 and 8 from line 6a	4,668,603.			
10 Analysis of line 9				
a Excess from 2012	137,133.			
b Excess from 2013	254,469.			
c Excess from 2014	185,527.			
d Excess from 2015	1,887,403.			
e Excess from 2016	2,204,071.			

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

N/A

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

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

☐ 4942(j)(3) or ☐ 4942(j)(5)

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

b 85% of line 2a

c Qualifying distributions from Part XII, line 4 for each year listed

d Amounts included in line 2c not used directly for active conduct of exempt activities

e Qualifying distributions made directly for active conduct of exempt activities

Subtract line 2d from line 2c

3 Complete 3a, b, or c for the alternative test relied upon

a "Assets" alternative test - enter

(1) Value of all assets

(2) Value of assets qualifying under section 4942(j)(3)(B)(i)

b "Endowment" alternative test - enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed

c "Support" alternative test - enter

(1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)

(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii)

(3) Largest amount of support from an exempt organization

(4) Gross investment income

Part XV Supplementary Information (Complete this part only if the foundation had \$5,000 or more in assets at any time during the year-see instructions.)**1 Information Regarding Foundation Managers:**

a List any managers of the foundation who have contributed more than 2% of the total contributions received by the foundation before the close of any tax year (but only if they have contributed more than \$5,000) (See section 507(d)(2))

ANDREW M PAUL

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)				
a Paid during the year				
AIM FOR MENTAL HEALTH P.O. BOX 4235 CARMEL, CA 93921	NONE	PUBLIC CHARITY	VARIOUS CHARITABLE ACTIVITIES BASED ON RECIPIENT ORGANIZATION'S MISSION.	1,500.
ALS.NET 300 TECHNOLOGY SQUARE SUITE 400 CAMBRIDGE, MA 02139	NONE	PUBLIC CHARITY	VARIOUS CHARITABLE ACTIVITIES BASED ON RECIPIENT ORGANIZATION'S MISSION.	1,000.
ASPEN INSTITUTE ONE DUPONT CIRCLE, NW SUITE 700 WASHINGTON, DC 20036	NONE	PUBLIC CHARITY	VARIOUS CHARITABLE ACTIVITIES BASED ON RECIPIENT ORGANIZATION'S MISSION.	10,000.
BEREAVEMENT CENTER 670 POST ROAD #213 SCARSDALE, NY 10583	NONE	PUBLIC CHARITY	VARIOUS CHARITABLE ACTIVITIES BASED ON RECIPIENT ORGANIZATION'S MISSION.	1,000.
BREAST CANCER RESEARCH FOUNDATION GALA 60 EAST 56TH STREET 8TH FL NEW YORK, NY 10022	NONE	PUBLIC CHARITY	VARIOUS CHARITABLE ACTIVITIES BASED ON RECIPIENT ORGANIZATION'S MISSION.	5,500.
Total SEE CONTINUATION SHEET(S) ▶ 3a				2,223,467.
b Approved for future payment				
NONE				
Total ▶ 3b				0.

Part XV - Supplementary Information**3 Grants and Contributions Paid During the Year (Continuation)**

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
BRONXVILLE BEAUTIFICATION P.O. BOX 127 BRONXVILLE, NY 10708	NONE	PUBLIC CHARITY	VARIOUS CHARITABLE ACTIVITIES BASED ON RECIPIENT ORGANIZATION'S MISSION.	250.
BRONXVILLE HISTORICAL SOCIETY P.O. BOX 989 BRONXVILLE, NY 10708	NONE	PUBLIC CHARITY	VARIOUS CHARITABLE ACTIVITIES BASED ON RECIPIENT ORGANIZATION'S MISSION.	1,000.
BRONXVILLE LIBRARY 201 PONDFIELD ROAD BRONXVILLE, NY 10708	NONE	PUBLIC CHARITY	VARIOUS CHARITABLE ACTIVITIES BASED ON RECIPIENT ORGANIZATION'S MISSION.	100.
BRONXVILLE REFORMED CHURCH 180 PONDFIELD ROAD BRONXVILLE, NY 10708	NONE	PUBLIC CHARITY	VARIOUS CHARITABLE ACTIVITIES BASED ON RECIPIENT ORGANIZATION'S MISSION.	75,000.
BRONXVILLE SCHOOL FOUNDATION 177 PONDFIELD ROAD BRONXVILLE, NY 10708	NONE	PUBLIC CHARITY	VARIOUS CHARITABLE ACTIVITIES BASED ON RECIPIENT ORGANIZATION'S MISSION.	1,000.
BRONXVILLE SENIOR CITIZEN COUNCIL 200 PONDFIELD RD BRONXVILLE, NY 10708	NONE	PUBLIC CHARITY	VARIOUS CHARITABLE ACTIVITIES BASED ON RECIPIENT ORGANIZATION'S MISSION.	500.
BRONXVILLE YOUTH LACROSSE ASSOCIATION 85 PARKWAY ROAD, 1R BRONXVILLE, NY 10708	NONE	PUBLIC CHARITY	VARIOUS CHARITABLE ACTIVITIES BASED ON RECIPIENT ORGANIZATION'S MISSION.	500.
CANCER RESEARCH INSTITUTE 55 BROADWAY, SUITE 1802 NEW YORK, NY 10006	NONE	PUBLIC CHARITY	VARIOUS CHARITABLE ACTIVITIES BASED ON RECIPIENT ORGANIZATION'S MISSION.	92,613.
COLORADO COLLEGE 14 E CACHE LA POUDE ST COLORADO SPRINGS, CO 80903	NONE	PUBLIC CHARITY	VARIOUS CHARITABLE ACTIVITIES BASED ON RECIPIENT ORGANIZATION'S MISSION.	7,500.
CORNELIA CONNELLY CENTER 220 E 4TH ST NEW YORK, NY 10009	NONE	PUBLIC CHARITY	VARIOUS CHARITABLE ACTIVITIES BASED ON RECIPIENT ORGANIZATION'S MISSION.	500.
Total from continuation sheets				2,204,467.

Part XV · Supplementary Information**3 Grants and Contributions Paid During the Year (Continuation)**

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
CORNELL FOOTBALL ASSOCIATION 6321 PORTER ROAD, SUITE 8 SARASOTA, FL 34240	NONE	PUBLIC CHARITY	VARIOUS CHARITABLE ACTIVITIES BASED ON RECIPIENT ORGANIZATION'S MISSION.	2,500.
CORNELL UNIVERSITY 144 EAST AVENUE ITHACA, NY 14853	NONE	PUBLIC CHARITY	VARIOUS CHARITABLE ACTIVITIES BASED ON RECIPIENT ORGANIZATION'S MISSION.	1,391,000.
DESTINATION COLLEGE 81 PONDFIELD ROAD #290 BRONXVILLE, NY 10708	NONE	PUBLIC CHARITY	VARIOUS CHARITABLE ACTIVITIES BASED ON RECIPIENT ORGANIZATION'S MISSION.	500.
FIBROLAMELLAR CANCER FOUNDATION 20 HORSENECK LN GREENWICH, CT 06830	NONE	PUBLIC CHARITY	VARIOUS CHARITABLE ACTIVITIES BASED ON RECIPIENT ORGANIZATION'S MISSION.	5,000.
FRED'S TEAM (MEMORIAL SLOANE KETTERING) 885 SECOND AVENUE, 7TH FLOOR NEW YORK, NY 10017	NONE	PUBLIC CHARITY	VARIOUS CHARITABLE ACTIVITIES BASED ON RECIPIENT ORGANIZATION'S MISSION.	1,000.
GRAHAM WINDHAM 6279 LAKE OSPREY DRIVE SARASOTA, FL 34240	NONE	PUBLIC CHARITY	VARIOUS CHARITABLE ACTIVITIES BASED ON RECIPIENT ORGANIZATION'S MISSION.	16,000.
HARVARD BUSINESS SCHOOL TEELE HALL BOSTON, MA 02163	NONE	PUBLIC CHARITY	VARIOUS CHARITABLE ACTIVITIES BASED ON RECIPIENT ORGANIZATION'S MISSION.	400,000.
JAZZ ASPEN SNOWMASS 110 E HALLAM ST #104 ASPEN, CO 81611	NONE	PUBLIC CHARITY	VARIOUS CHARITABLE ACTIVITIES BASED ON RECIPIENT ORGANIZATION'S MISSION.	10,200.
LAWRENCE HOSPITAL 55 PALMER AVE BRONXVILLE, NY 10708	NONE	PUBLIC CHARITY	VARIOUS CHARITABLE ACTIVITIES BASED ON RECIPIENT ORGANIZATION'S MISSION.	4,150.
MONTEREY PENINSULA FOUNDATION 1 LOWER RAGSDALE DR MONTEREY, CA 93940	NONE	PUBLIC CHARITY	VARIOUS CHARITABLE ACTIVITIES BASED ON RECIPIENT ORGANIZATION'S MISSION.	3,500.
Total from continuation sheets				

Part XV · **Supplementary Information****3 Grants and Contributions Paid During the Year (Continuation)**

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
NATIONAL MS 733 3RD AVE NEW YORK, NY 10017	NONE	PUBLIC CHARITY	VARIOUS CHARITABLE ACTIVITIES BASED ON RECIPIENT ORGANIZATION'S MISSION.	250.
ONE LOVE FOUNDATION 119 PONDFIELD ROAD BRONXVILLE, NY 10708	NONE	PUBLIC CHARITY	VARIOUS CHARITABLE ACTIVITIES BASED ON RECIPIENT ORGANIZATION'S MISSION.	2,000.
PAN-MASS CHALLENGE 77 4TH AVE NEEDHAM, MA 02494	NONE	PUBLIC CHARITY	VARIOUS CHARITABLE ACTIVITIES BASED ON RECIPIENT ORGANIZATION'S MISSION.	1,534.
PLANNED PARENTHOOD 349 E 149TH ST BRONX, NY 10451	NONE	PUBLIC CHARITY	VARIOUS CHARITABLE ACTIVITIES BASED ON RECIPIENT ORGANIZATION'S MISSION.	2,000.
PLAY FOR PINK 175 EAST 74TH STREET, #17B NEW YORK, NY 10021	NONE	PUBLIC CHARITY	VARIOUS CHARITABLE ACTIVITIES BASED ON RECIPIENT ORGANIZATION'S MISSION.	1,000.
RAINFOREST FUND 420 LEXINGTON AVENUE, SUITE 1710 NEW YORK, NY 10170	NONE	PUBLIC CHARITY	VARIOUS CHARITABLE ACTIVITIES BASED ON RECIPIENT ORGANIZATION'S MISSION.	4,380.
SACRED HEART GREENWICH 1177 KING ST GREENWICH, CT 06831	NONE	PUBLIC CHARITY	VARIOUS CHARITABLE ACTIVITIES BASED ON RECIPIENT ORGANIZATION'S MISSION.	25,240.
SPHINX HEAD SOCIETY P.O. BOX 876 ITHACA, NY 14851-0876	NONE	PUBLIC CHARITY	VARIOUS CHARITABLE ACTIVITIES BASED ON RECIPIENT ORGANIZATION'S MISSION.	250.
SUNY IMPACT FOUNDATION 116 E 55TH STREET NEW YORK, NY 10022	NONE	PUBLIC CHARITY	VARIOUS CHARITABLE ACTIVITIES BASED ON RECIPIENT ORGANIZATION'S MISSION.	10,000.
THE JANADA L. BATCHELOR FOUNDATION FOR CHILDREN PO BOX 4541 TULSA, OK 74159	NONE	PUBLIC CHARITY	VARIOUS CHARITABLE ACTIVITIES BASED ON RECIPIENT ORGANIZATION'S MISSION.	75,000.
Total from continuation sheets				

Part XV . Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)

[illegible]

Schedule B
(Form 990, 990-EZ,
or 990-PF)

Department of the Treasury
Internal Revenue Service

Schedule of Contributors

▶ Attach to Form 990, Form 990-EZ, or Form 990-PF.
▶ Information about Schedule B (Form 990, 990-EZ, or 990-PF) and
its instructions is at www.irs.gov/form990

OMB No 1545-0047

2016

Name of the organization

Employer identification number

ANDREW M PAUL FAMILY FOUNDATION

13-7143442

Organization type (check one):

Filers of:

Section:

Form 990 or 990-EZ

☐ 501(c)() (enter number) organization

☐ 4947(a)(1) nonexempt charitable trust **not** treated as a private foundation

☐ 527 political organization

Form 990-PF

☒ 501(c)(3) exempt private foundation

☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation

☐ 501(c)(3) taxable private foundation

Check if your organization is covered by the **General Rule** or a **Special Rule**.

Note: Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule. See instructions.

General Rule

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

Special Rules

- ☐ For an organization described in section 501(c)(3) filing Form 990 or 990-EZ that met the 33 1/3% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi), that checked Schedule A (Form 990 or 990-EZ), Part II, line 13, 16a, or 16b, and that received from any one contributor, during the year, total contributions of the greater of (1) \$5,000 or (2) 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1. Complete Parts I and II.
- ☐ For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than \$1,000 *exclusively* for religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals. Complete Parts I, II, and III.
- ☐ For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions *exclusively* for religious, charitable, etc., purposes, but no such contributions totaled more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Don't complete any of the parts unless the **General Rule** applies to this organization because it received *nonexclusively* religious, charitable, etc., contributions totaling \$5,000 or more during the year ▶ \$ _____

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

LHA For Paperwork Reduction Act Notice, see the Instructions for Form 990, 990-EZ, or 990-PF. Schedule B (Form 990, 990-EZ, or 990-PF) (2016)

Name of organization ANDREW M PAUL FAMILY FOUNDATION	Employer identification number 13-7143442
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Part I Contributors (See instructions) Use duplicate copies of Part I if additional space is needed.

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	ANDREW M PAUL 283 PONDFIELD ROAD BRONXVILLE, NY 10708	\$ 32,125.	Person ☐ Payroll ☐ Noncash ☒ (Complete Part II for noncash contributions.)
2	ANDREW M PAUL 283 PONDFIELD ROAD BRONXVILLE, NY 10708	\$ 1,715,000.	Person ☒ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)
			Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)
			Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)
			Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)
			Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)
			Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)

Name of organization

Employer identification number

ANDREW M PAUL FAMILY FOUNDATION**13-7143442****Part II Noncash Property** (See instructions). Use duplicate copies of Part II if additional space is needed.

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions)	(d) Date received
1	1,937 SHARES OF K2M GROUP HOLDINGS (KTWO)	\$ 32,125.	09/12/16
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	

Name of organization

Employer identification number

ANDREW M PAUL FAMILY FOUNDATION

13-7143442

Part III Exclusively religious, charitable, etc., contributions to organizations described in section 501(c)(7), (8), or (10) that total more than \$1,000 for the year from any one contributor. Complete columns (a) through (e) and the following line entry. For organizations completing Part III, enter the total of exclusively religious, charitable, etc., contributions of \$1,000 or less for the year (Enter this info once) ▶ \$

Use duplicate copies of Part III if additional space is needed.

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee

FORM 990-PF	GAIN OR (LOSS) FROM SALE OF ASSETS	STATEMENT	1
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(A) DESCRIPTION OF PROPERTY	MANNER ACQUIRED	DATE ACQUIRED	DATE SOLD	
1,937 SHS K2M GROUP HLDGS INC		08/22/16	09/12/16	
(B) GROSS SALES PRICE	(C) COST OR OTHER BASIS	(D) EXPENSE OF SALE	(E) DEPREC.	(F) GAIN OR LOSS
31,477.	32,125.	0.	0.	<648.>
CAPITAL GAINS DIVIDENDS FROM PART IV				0.
TOTAL TO FORM 990-PF, PART I, LINE 6A				<648.>

FORM 990-PF	DIVIDENDS AND INTEREST FROM SECURITIES	STATEMENT	2
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SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
BANK OF AMERICA	11.	0.	11.	11.	11.
MORGAN STANLEY	42.	0.	42.	42.	42.
TO PART I, LINE 4	53.	0.	53.	53.	53.

FORM 990-PF	ACCOUNTING FEES	STATEMENT	3
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ACCOUNTING FEES	4,425.	2,212.	0.	2,213.
TO FORM 990-PF, PG 1, LN 16B	4,425.	2,212.	0.	2,213.

FORM 990-PF	OTHER PROFESSIONAL FEES	STATEMENT	4
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
CONSULTING FEES	5,000.	5,000.	0.	0.
TO FORM 990-PF, PG 1, LN 16C	5,000.	5,000.	0.	0.

FORM 990-PF	TAXES	STATEMENT	5
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
EXCISE TAXES	4,937.	0.	0.	0.
TO FORM 990-PF, PG 1, LN 18	4,937.	0.	0.	0.

FORM 990-PF	OTHER EXPENSES	STATEMENT	6
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
BANK CHARGE	4.	0.	0.	0.
FILING FEE	100.	0.	0.	100.
TO FORM 990-PF, PG 1, LN 23	104.	0.	0.	100.