

Form **990-PF**
 Department of the Treasury
 Internal Revenue Service

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

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

OMB No 1545-0052
2016
Open to Public Inspection

For calendar year 2016, or tax year beginning 10-01-2016, and ending 09-30-2017

Name of foundation THE ROSENTHAL FUND C/O CHARLES ROSENTHAL		A Employer identification number 13-3919545	
Number and street (or P O box number if mail is not delivered to street address) 784 PARK AVENUE NO 19B	Room/suite	B Telephone number (see instructions) (646) 536-5120	
City or town, state or province, country, and ZIP or foreign postal code NEW YORK, NY 10021		C If exemption application is pending, check here <input type="checkbox"/>	
G Check all that apply: <input type="checkbox"/> Initial return <input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Final return <input type="checkbox"/> Amended return <input type="checkbox"/> Address change <input type="checkbox"/> Name change		D 1. Foreign organizations, check here <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/>	
H Check type of organization: <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/>	
I Fair market value of all assets at end of year (from Part II, col (c), line 16) ▶ \$ 12,971,029		J Accounting method: <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____ (Part I, column (d) must be on cash basis)	
		F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>	

Part I Analysis of Revenue and Expenses <i>(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions))</i>		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc., received (attach schedule)	467,321			
	2 Check <input 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	164,035	164,035		
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	382,820			
	b Gross sales price for all assets on line 6a	2,609,088			
	7 Capital gain net income (from Part IV, line 2)		1,177,827		
	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)	10,511	10,511			
12 Total. Add lines 1 through 11	1,024,687	1,352,373			
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc	0	0		0
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees (attach schedule)				
	b Accounting fees (attach schedule)	8,000	4,000		4,000
	c Other professional fees (attach schedule)				
	17 Interest				
	18 Taxes (attach schedule) (see instructions)	120,644	5,644		0
	19 Depreciation (attach schedule) and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses (attach schedule)	957	132		825
	24 Total operating and administrative expenses. Add lines 13 through 23	129,601	9,776		4,825
	25 Contributions, gifts, grants paid	307,485			307,485
26 Total expenses and disbursements. Add lines 24 and 25	437,086	9,776		312,310	
27 Subtract line 26 from line 12					
a Excess of revenue over expenses and disbursements	587,601				
b Net investment income (if negative, enter -0-)		1,342,597			
c Adjusted net income (if negative, enter -0-)					

Part II Balance Sheets Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1 Cash—non-interest-bearing	574,895	145,493	145,493
	2 Savings and temporary cash investments	807,973	2,999,692	2,999,692
	3 Accounts receivable ▶ _____ Less allowance for doubtful accounts ▶ _____			
	4 Pledges receivable ▶ _____ Less allowance for doubtful accounts ▶ _____			
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
	7 Other notes and loans receivable (attach schedule) ▶ _____ Less allowance for doubtful accounts ▶ _____			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10a Investments—U S and state government obligations (attach schedule)			
	b Investments—corporate stock (attach schedule)	6,116,257	4,913,319	9,502,294
	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)	201,012	200,769	323,550
	14 Land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
15 Other assets (describe ▶ _____)				
16 Total assets (to be completed by all filers—see the instructions Also, see page 1, item I)	7,700,137	8,259,273	12,971,029	
Liabilities	17 Accounts payable and accrued expenses			
	18 Grants payable			
	19 Deferred revenue			
	20 Loans from officers, directors, trustees, and other disqualified persons			
	21 Mortgages and other notes payable (attach schedule)			
	22 Other liabilities (describe ▶ _____)			
	23 Total liabilities (add lines 17 through 22)	0	0	
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here <input type="checkbox"/> and complete lines 24 through 26 and lines 30 and 31.			
	24 Unrestricted			
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here <input checked="" type="checkbox"/> and complete lines 27 through 31.			
	27 Capital stock, trust principal, or current funds	0	0	
	28 Paid-in or capital surplus, or land, bldg , and equipment fund	0	0	
29 Retained earnings, accumulated income, endowment, or other funds	7,700,137	8,259,273		
30 Total net assets or fund balances (see instructions)	7,700,137	8,259,273		
31 Total liabilities and net assets/fund balances (see instructions) .	7,700,137	8,259,273		

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	7,700,137
2 Enter amount from Part I, line 27a	2	587,601
3 Other increases not included in line 2 (itemize) ▶ _____	3	0
4 Add lines 1, 2, and 3	4	8,287,738
5 Decreases not included in line 2 (itemize) ▶ _____	5	28,465
6 Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30 .	6	8,259,273

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co)		(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo, day, yr)	(d) Date sold (mo, day, yr)
1a See Additional Data Table				
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 See Additional Data Table				
b				
c				
d				
e				
(i) F M V as of 12/31/69			(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any
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))	
a See Additional Data Table				
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 1,177,827
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		{ If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7		3

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

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

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

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2015	776,525	11,970,520	0 064870
2014	787,175	12,013,943	0 065522
2013	1,145,377	10,456,437	0 109538
2012	408,023	8,467,431	0 048187
2011	595,379	6,542,889	0 090996
2 Total of line 1, column (d)			2 0 379113
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 075823
4 Enter the net value of noncharitable-use assets for 2016 from Part X, line 5			4 12,242,645
5 Multiply line 4 by line 3			5 928,274
6 Enter 1% of net investment income (1% of Part I, line 27b)			6 13,426
7 Add lines 5 and 6			7 941,700
8 Enter qualifying distributions from Part XII, line 4			8 312,310

If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate. See the Part VI instructions.

Part VI Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948—see instructions)

1a	Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1 Date of ruling or determination letter _____ (attach copy of letter if necessary—see instructions)		
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input type="checkbox"/> and enter 1% of Part I, line 27b	1	26,852
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	26,852
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	26,852
6	Credits/Payments		
a	2016 estimated tax payments and 2015 overpayment credited to 2016	6a	120,562
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	120,562
8	Enter any penalty for underpayment of estimated tax Check here <input checked="" type="checkbox"/> if Form 2220 is attached	8	
9	Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed ▶	9	
10	Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid ▶	10	93,710
11	Enter the amount of line 10 to be Credited to 2017 estimated tax ▶ 93,710 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?	1a	No
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see Instructions for definition)? <i>If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities</i>	1b	No
c Did the foundation file Form 1120-POL for this year?	1c	No
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year (1) On the foundation ▶ \$ _____ 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? <i>If "Yes," attach a detailed description of the activities</i>	2	No
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? <i>If "Yes," attach a conformed copy of the changes</i>	3	No
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?	4a	No
b If "Yes," has it filed a tax return on Form 990-T for this year?	4b	
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? <i>If "Yes," attach the statement required by General Instruction T</i>	5	No
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	6	No
7 Did the foundation have at least \$5,000 in assets at any time during the year? <i>If "Yes," complete Part II, col (c), and Part XV</i>	7	Yes
8a Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ 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? <i>If "No," attach explanation</i> .	8b	Yes
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2016 or the taxable year beginning in 2016 (see instructions for Part XIV)? <i>If "Yes," complete Part XIV</i>	9	No
10 Did any persons become substantial contributors during the tax year? <i>If "Yes," attach a schedule listing their names and addresses</i>	10	No

Part VII-A Statements Regarding Activities (continued)

Table with 3 columns: Question, Yes, No. Rows 11-14 regarding controlled entities, donor advised funds, public inspection requirements, and books in care.

Located at 220 EAST 42ND STREET SUITE 2201 NEW YORK NY ZIP+4 10017

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.

Table with 3 columns: Question, Yes, No. Row 16 regarding interest in foreign countries.

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.

Main table with 3 columns: Question, Yes, No. Rows 1a-4b regarding Form 4720 exceptions and requirements.

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

5a During the year did the foundation pay or incur any amount to

(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? Yes No

(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive? Yes No

(3) Provide a grant to an individual for travel, study, or other similar purposes? Yes No

(4) Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? (see instructions). Yes No

(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? Yes No

b If any answer is "Yes" to 5a(1)–(5), did **any** of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)? Yes No
Organizations relying on a current notice regarding disaster assistance check here.

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

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

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? Yes No
If "Yes" to 6b, file Form 8870

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

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

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

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

(a) Name and address	Title, and average hours per week (b) devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
CHARLES ROSENTHAL 784 PARK AVENUE APT 19B NEW YORK, NY 10021	PRESIDENT & TREASURER P/T 0 00	0	0	0
EVA ROSENTHAL 784 PARK AVENUE APT 19B NEW YORK, NY 10021	VICE PRESIDENT & SECRETARY 0 00	0	0	0
NICOLE HARTNETT 105 HUDSON STREET APT 8S NEW YORK, NY 10013	DIRECTOR P/T 0 00	0	0	0

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

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

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

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

3 Five highest-paid independent contractors for professional services (see instructions). If none, enter "NONE".		
(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
NONE		
Total number of others receiving over \$50,000 for professional services.		0

Part IX-A Summary of Direct Charitable Activities

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

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

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2	Amount
1	
2	
All other program-related investments. See instructions.	
3	
Total. Add lines 1 through 3	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	10,242,234
b	Average of monthly cash balances.	1b	1,901,216
c	Fair market value of all other assets (see instructions).	1c	285,631
d	Total (add lines 1a, b, and c).	1d	12,429,081
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	12,429,081
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	186,436
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4.	5	12,242,645
6	Minimum investment return. Enter 5% of line 5.	6	612,132

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	612,132
2a	Tax on investment income for 2016 from Part VI, line 5.	2a	26,852
b	Income tax for 2016 (This does not include the tax from Part VI).	2b	
c	Add lines 2a and 2b.	2c	26,852
3	Distributable amount before adjustments. Subtract line 2c from line 1.	3	585,280
4	Recoveries of amounts treated as qualifying distributions.	4	0
5	Add lines 3 and 4.	5	585,280
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	585,280

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	312,310
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	312,310
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b (see instructions).	5	0
6	Adjusted qualifying distributions. Subtract line 5 from line 4.	6	312,310

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				585,280
2 Undistributed income, if any, as of the end of 2016				
a Enter amount for 2015 only.			0	
b Total for prior years 20___, 20___, 20___		0		
3 Excess distributions carryover, if any, to 2016				
a From 2011.	276,237			
b From 2012.				
c From 2013.	630,677			
d From 2014.	214,266			
e From 2015.	205,437			
f Total of lines 3a through e.	1,326,617			
4 Qualifying distributions for 2016 from Part XII, line 4 ▶ \$ <u>312,310</u>				
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.				312,310
e Remaining amount distributed out of corpus	0			
5 Excess distributions carryover applied to 2016 (If an amount appears in column (d), the same amount must be shown in column (a))	272,970			272,970
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	1,053,647			
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 instructions			0	
f Undistributed income for 2016 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2017				0
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions).	0			
8 Excess distributions carryover from 2011 not applied on line 5 or line 7 (see instructions).	3,267			
9 Excess distributions carryover to 2017. Subtract lines 7 and 8 from line 6a	1,050,380			
10 Analysis of line 9				
a Excess from 2012.				
b Excess from 2013.	630,677			
c Excess from 2014.	214,266			
d Excess from 2015.	205,437			
e Excess from 2016.				

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

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

b Check box to indicate whether the organization is a private operating foundation described in section 4942(j)(3) or 4942(j)(5)

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

	Tax year	Prior 3 years			(e) Total
	(a) 2016	(b) 2015	(c) 2014	(d) 2013	
b 85% of line 2a					
c Qualifying distributions from Part XII, line 4 for each year listed					
d Amounts included in line 2c not used directly for active conduct of exempt activities					
e Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c					

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

a "Assets" alternative test—enter

(1) Value of all assets

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

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

c "Support" alternative test—enter

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

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

(3) Largest amount of support from an exempt organization

(4) Gross investment income

Part XV Supplementary Information (Complete this part only if the organization had \$5,000 or more in assets at any time during the year—see instructions.)

1 Information Regarding Foundation Managers:

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

b List any managers of the foundation who own 10% or more of the stock of a corporation (or an equally large portion of the ownership of a partnership or other entity) of which the foundation has a 10% or greater interest

2 Information Regarding Contribution, Grant, Gift, Loan, Scholarship, etc., Programs:

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

a The name, address, and telephone number or email address of the person to whom applications should be addressed

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

c Any submission deadlines

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

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i> See Additional Data Table				
Total ▶ 3a				307,485
b <i>Approved for future payment</i>				
Total ▶ 3b				0

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

List and describe the kind(s) of property sold (e.g., real estate, (a) 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)
3000 SH UNILEVER PLC ADR (4 ORDS)	P	2017-02-17	2017-04-04
18,000 SH COTY INC CLASS A	P	2016-11-22	2017-09-19
1,800 SH ZIMMER BIOMET HOLDINGS	P	2016-03-24	2017-05-05
2,000 SH CARROLS RESTAURANT	P	2015-10-08	2017-02-23
1,000 SH ZIMMER BIOMET HOLDINGS	P	2015-02-27	2017-05-05
80 SH ADVANSIX INC COMMON STOCK	P	2012-11-07	2016-11-07
20 SH ADVANSIX INC COMMON STOCK	P	2012-02-10	2016-11-07
35 SH TRISURA GROUP COMMON	P	2010-05-19	2017-06-26
4,000 SH WELLS FARGO & CO	P	2010-01-05	2016-10-04
27 SH TRISURA GROUP COMMON	P	2007-09-04	2017-06-26

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

(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)
147,135		141,238	5,897
299,229		352,137	-52,908
208,599		185,839	22,760
32,000		24,130	7,870
115,888		120,857	-4,969
1,188		660	528
297		157	140
557		248	309
175,122		112,561	62,561
430		256	174

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			5,897
			-52,908
			22,760
			7,870
			-4,969
			528
			140
			309
			62,561
			174

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

List and describe the kind(s) of property sold (e.g., real estate, (a) 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)
26 SH TRISURA GROUP COMMON	P	2006-05-05	2017-06-26
3,800 SH CVS HEALTH CORP	P	2005-01-07	2017-06-01
500 SH CVS HEALTH CORP	D	2004-05-21	2017-06-01
800 SH CVS HEALTH CORP	P	2004-05-05	2017-06-01
8,900 SH CVS HEALTH CORP	D	2004-04-07	2017-06-01
3,100 SH CVS HEALTH CORP	D	2004-04-07	2017-06-01
3,600 SH PACIFIC MERCANT BANC	P	2004-01-23	2016-10-14
3,400 SH PACIFIC MERCANT BANC	P	2004-01-22	2016-10-14
3,000 SH PACIFIC MERCANT BANC	P	2003-12-11	2016-10-14
3,000 SH CVS HEALTH CORP	D	2000-02-14	2017-06-01

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

(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)
414		214	200
293,660		86,745	206,915
38,639		9,996	28,643
61,823		16,008	45,815
687,782		164,622	523,160
239,565		57,341	182,224
26,972		37,122	-10,150
25,474		36,530	-11,056
22,477		29,109	-6,632
231,837		55,491	176,346

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			200
			206,915
			28,643
			45,815
			523,160
			182,224
			-10,150
			-11,056
			-6,632
			176,346

Form 990PF Part XV Line 1a - 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).

CHARLES ROSENTHAL

EVA ROSENTHAL

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
92ND STREET Y (YOUNG MENS & YOUNG WOMENS HEBREW ASSOCIATION) 1395 LEXINGTON AVE NEW YORK, NY 10128			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	500
ALZHEIMER'S DRUG DISCOVERY FOUNDATION 57 W 57TH STREET SUITE 904 NEW YORK, NY 10019			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	1,000
WNPR (CONNECTICUT PUBLIC BROADCASTING INC) 1049 ASYLUM AVE HARTFORD, CT 06105			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	500
BROOKLYN FRIENDS SCHOOL 375 PEARL STREET BROOKLYN, NY 11201			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	1,000
WNET 825 EIGHTH AVENUE NEW YORK, NY 10019			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	1,500
Total ► 3a				307,485

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
CHILDREN'S AID SOCIETY 711 THIRD AVENUE SUITE 700 NEW YORK, NY 10017			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	500
NATIONAL SEPTEMBER 11 MEMORIAL & MUSEUM 180 GREENWICH STREET NEW YORK, NY 10007			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	100
ASPCA 424 EAST 92ND STREET NEW YORK, NY 10128			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	200
FUND FOR PARK AVENUE NEW YORK INC 445 PARK AVENUE 9TH FLOOR NEW YORK, NY 10022			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	100
MIGHTY MUTTS INC 430 EAST 9TH STREET NEW YORK, NY 10009			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	250
Total ▶ 3a				307,485

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
MODERN LANGUAGE ASSOCIATION 85 BROAD STREET NEW YORK, NY 10004			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	500
NEW YORK PUBLIC RADIO 160 VARICK STREET NEW YORK, NY 10013			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	1,200
NEW YORK UNIVERSITY 194 MERCER STREET 4TH FL NEW YORK, NY 10012			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	500
WILDLIFE CONSERVATION RESEARCH UNIT 500 5TH AVE NEW YORK, NY 10110			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	500
BROOKLYN FRIENDS SCHOOL 375 PEARL STREET BROOKLYN, NY 11201			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	20,000
Total ► 3a				307,485

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
ROUND TABLE OF CULTURAL SEMINARS LTD 45 EAST 78TH STREET 5TH FLOOR NEW YORK, NY 10075			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	900
ASPCA 424 EAST 92ND STREET NEW YORK, NY 10128			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	200
HENRY STREET SETTLEMENT 265 HENRY STREET NEW YORK, NY 10002			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	500
NYU LANGONE HEALTH SYSTEM 333 E 38TH STREET NEW YORK, NY 10016			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	5,000
ORCHESTRA OF ST LUKES 450 WEST 37TH STREET SUITE 502 NEW YORK, NY 10018			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	2,000
Total 3a				307,485

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
NEW YORK PUBLIC RADIO 160 VARICK STREET NEW YORK, NY 10013			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	2,000
LENOX HILL HOSPITAL 100 EAST 77TH STREET NEW YORK, NY 10075			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	250
CARNEGIE HALL SOCIETY INC 881 7TH AVENUE NEW YORK, NY 10019			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	250,000
LEGAL INFORMATION FOR FAMILIES TODAY 32 COURT STREET SUITE 1208 BROOKLYN, NY 11201			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	1,000
LINCOLN CENTER (FRIENDS OF MOSTLY MOZART) 70 LINCOLN CENTER PLAZA NEW YORK, NY 10023			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	500
Total 3a				307,485

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
BRIDGEHAMPTON CHILDCARE & RECREATION CENTER 551 SAG HARBOR TURNPIKE BRIDGEHAMPTON, NY 11932			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	500
FUND FOR PARK AVENUE NEW YORK INC 445 PARK AVENUE 9TH FLOOR NEW YORK, NY 10022			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	250
FRIENDS OF THE HIGH LINE INC 820 WASHINGTON STREET NEW YORK, NY 10014			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	135
ROUND TABLE OF CULTURAL SEMINARS LTD 45 EAST 78TH STREET 5TH FLOOR NEW YORK, NY 10075			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	450
CONGREGATION EMANU-EL OF THE CITY OF NEW YORK 1 EAST 65TH STREET NEW YORK, NY 10065			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	3,500
Total ▶ 3a				307,485

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
BRIDGEHAMPTON CHAMBER MUSIC ASSOCIATES INC 850 7TH AVENUE SUITE 700 NEW YORK, NY 10019			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	3,000
THE METROPOLITAN MUSEUM OF ART 1000 5TH AVENUE NEW YORK, NY 10028			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	1,000
BRIDGEHAMPTON CHAMBER MUSIC ASSOCIATES INC 850 7TH AVENUE SUITE 700 NEW YORK, NY 10019			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	350
MIGHTY MUTTS INC 430 EAST 9TH STREET NEW YORK, NY 10009			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	250
NEUE GALERIE NEW YORK 1048 5TH AVENUE NEW YORK, NY 10028			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	1,000
Total 3a				307,485

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
SWIM ACROSS AMERICA INC 11600 NORTH COMMUNITY HOUSE ROAD SUITE 100 CHARLOTTE, NC 28277			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	100
THE VPS OF EAST HAMPTON (VILLAGE PRESERVATION SOCIETY INC) PO BOX 2015 EAST HAMPTON, NY 11937			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	250
BRIDGEHAMPTON CHAMBER MUSIC ASSOCIATES INC 850 7TH AVENUE SUITE 700 NEW YORK, NY 10019			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	1,000
FUND FOR PARK AVENUE NEW YORK INC 445 PARK AVENUE 9TH FLOOR NEW YORK, NY 10022			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	200
BEST FRIENDS ANIMAL SOCIETY 5001 ANGEL CANYON ROAD KANAB, UT 84741			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	500
Total ▶ 3a				307,485

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
RAMAPO FOR CHILDREN 49 WEST 38TH STREET 5TH FLOOR NEW YORK, NY 10018			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	300
ACKERMAN INSTITUTE FOR THE FAMILY 936 BROADWAY NEW YORK, NY 10010			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	1,000
BEST FRIENDS ANIMAL SOCIETY 5001 ANGEL CANYON ROAD KANAB, UT 84741			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	2,000
NEW YORK HISTORICAL SOCIETY 170 CENTRAL PARK WEST NEW YORK, NY 10024			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	1,000
Total 3a				307,485

TY 2016 Accounting Fees Schedule

Name: THE ROSENTHAL FUND
C/O CHARLES ROSENTHAL
EIN: 13-3919545

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
WOLF MARYLES & ASSOCIATES, LLC	8,000	4,000		4,000

TY 2016 Investments Corporate Stock Schedule

Name: THE ROSENTHAL FUND
C/O CHARLES ROSENTHAL
EIN: 13-3919545

Name of Stock	End of Year Book Value	End of Year Fair Market Value
MARKETABLE SECURITIES	4,913,319	9,502,294

TY 2016 Investments - Other Schedule

Name: THE ROSENTHAL FUND
C/O CHARLES ROSENTHAL
EIN: 13-3919545

Category/ Item	Listed at Cost or FMV	Book Value	End of Year Fair Market Value
BROOKFIELD INFRASTRUCTURE PARTNERS, LP	AT COST	200,769	323,550

TY 2016 Other Decreases Schedule

Name: THE ROSENTHAL FUND
C/O CHARLES ROSENTHAL
EIN: 13-3919545

Description	Amount
UNREALIZED DEPRECIATION	28,465

TY 2016 Other Expenses Schedule

Name: THE ROSENTHAL FUND
C/O CHARLES ROSENTHAL

EIN: 13-3919545

Other Expenses Schedule

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
NYS FILING FEE	750	0		750
BANK CHARGES	132	132		0
PUBLIC NOTICE AD	75	0		75

TY 2016 Other Income Schedule

Name: THE ROSENTHAL FUND
C/O CHARLES ROSENTHAL
EIN: 13-3919545

Other Income Schedule

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
BROOKFIELD INFRASTRUCTURE PARTNERS, LP	10,511	10,511	10,511

TY 2016 Taxes Schedule

Name: THE ROSENTHAL FUND
C/O CHARLES ROSENTHAL

EIN: 13-3919545

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FOREIGN TAX WITHHELD - FIRST MANHATTAN	5,644	5,644		0
FEDERAL EXCISE TAX PAYMENT	115,000	0		0

Schedule B
(Form 990, 990-EZ, or 990-PF)
Department of the Treasury
Internal Revenue Service

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

OMB No 1545-0047
2016

Name of the organization
THE ROSENTHAL FUND
C/O CHARLES ROSENTHAL

Employer identification number
13-3919545

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

Form 990-PF

- 527 political organization
- 501(c)(3) exempt private foundation
- 4947(a)(1) nonexempt charitable trust treated as a private foundation
- 501(c)(3) taxable private foundation

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

General Rule

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

Special Rules

- For an organization described in section 501(c)(3) filing Form 990 or 990-EZ that met the 33¹ 3% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi), that checked Schedule A (Form 990 or 990-EZ), Part II, line 13, 16a, or 16b, and that received from any one contributor, during the year, total contributions of the greater of (1) \$5,000 or (2) 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1 Complete Parts I and II
- For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than \$1,000 *exclusively* for religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals Complete Parts I, II, and III
- For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions *exclusively* for religious, charitable, etc , purposes, but no such contributions totaled more than \$1,000 If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc , purpose Do not complete any of the parts unless the **General Rule** applies to this organization because it received *nonexclusively* religious, charitable, etc , contributions totaling \$5,000 or more during the year ▶ \$ _____

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

Name of organization THE ROSENTHAL FUND C/O CHARLES ROSENTHAL	Employer identification number 13-3919545
--	---

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	CHARLES ROSENTHAL 784 PARK AVENUE APT 19B _____ NEW YORK, NY 10021	\$ 237,491	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input checked="" type="checkbox"/> (Complete Part II for noncash contributions)
2	CHARLES ROSENTHAL 784 PARK AVENUE APT 19B _____ NEW YORK, NY 10021	\$ 229,830	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input checked="" type="checkbox"/> (Complete Part II for noncash contributions)
.	_____ _____ _____	\$ _____	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
.	_____ _____ _____	\$ _____	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
.	_____ _____ _____	\$ _____	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
.	_____ _____ _____	\$ _____	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)

Name of organization THE ROSENTHAL FUND C/O CHARLES ROSENTHAL	Employer identification number 13-3919545
--	---

Part II **Noncash Property**

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
1	(see instructions) Use duplicate copies of Part II if additional space is needed 3,100 SHARES CVS HEALTH CORPORATION	\$ 237 491	2017-05-31
2	3,000 SHARES CVS HEALTH CORPORATION	\$ 229 830	2017-05-31
_____	_____	\$ _____	_____
_____	_____	\$ _____	_____
_____	_____	\$ _____	_____
_____	_____	\$ _____	_____
_____	_____	\$ _____	_____

Name of organization THE ROSENTHAL FUND C/O CHARLES ROSENTHAL	Employer identification number 13-3919545
--	---

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

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held

Transferee's name, address, and ZIP 4	(e) Transfer of gift Relationship of transferor to transferee

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held

Transferee's name, address, and ZIP 4	(e) Transfer of gift Relationship of transferor to transferee

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held

Transferee's name, address, and ZIP 4	(e) Transfer of gift Relationship of transferor to transferee

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held

Transferee's name, address, and ZIP 4	(e) Transfer of gift Relationship of transferor to transferee