

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

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

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/form990pf.

OMB No 1545-0052

2016

Open to Public Inspection

For calendar year 2016 or tax year beginning **NOV 1, 2016**, and ending **OCT 31, 2017**

Name of foundation ROBERT AND MARJORIE ALPERN FOUNDATION		A Employer identification number 38-6162747
Number and street (or P.O. box number if mail is not delivered to street address) 184 COUNTY HIGHWAY 52	Room/suite	B Telephone number 607-437-0206
City or town, state or province, country, and ZIP or foreign postal code COOPERSTOWN, NY 13326		C If exemption application is pending, check here <input type="checkbox"/>
G Check all that apply. <input type="checkbox"/> Initial return <input type="checkbox"/> Final return <input type="checkbox"/> Address change <input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Amended return <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) \$ 1,009,351.	J Accounting method <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____	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 (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)
1 Contributions, gifts, grants, etc., received					
2 Check <input checked="" type="checkbox"/> if the foundation is not required to attach Sch. B					
3 Interest on savings and temporary cash investments		6.	6.	6.	STATEMENT 1
4 Dividends and interest from securities		21,375.	21,375.	21,375.	STATEMENT 2
5a Gross rents					
b Net rental income or (loss)					
6a Net gain or (loss) from sale of assets not on line 10		5,703.			
b Gross sales price for all assets on line 6a		22,846.			
7 Capital gain net income (from Part IV, line 2)			5,703.		
8 Net short-term capital gain				N/A	
9 Income modifications				100,000.	
10a Gross sales less returns and allowances					
b Less Cost of goods sold					
c Gross profit or (loss)					
11 Other income					
12 Total. Add lines 1 through 11		27,084.	27,084.		
13 Compensation of officers, directors, trustees, etc		10,000.	5,000.		
14 Other employee salaries and wages					
15 Pension plans, employee benefits					
16a Legal fees					
b Accounting fees					
c Other professional fees		2,883.	2,883.	0.	0.
17 Interest					
18 Taxes					
19 Depreciation and depletion					
20 Occupancy					
21 Travel, conferences, and meetings					
22 Printing and publications					
23 Other expenses					
24 Total operating and administrative expenses. Add lines 13 through 23		12,883.	7,883.	0.	5,000.
25 Contributions, gifts, grants paid		83,014.			83,014.
26 Total expenses and disbursements. Add lines 24 and 25		95,897.	7,883.	0.	88,014.
27 Subtract line 26 from line 12		<68,813.>			
a Excess of revenue over expenses and disbursements					
b Net investment income (if negative, enter -0-)			19,201.		
c Adjusted net income (if negative, enter -0-)				121,381.	

Part II Balance Sheets Attached schedules and amounts in the description column should be for end-of-year amounts only

		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1 Cash - non-interest-bearing			
	2 Savings and temporary cash investments	8,251.	17,397.	17,397.
	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			
	Liabilities	11 Investments - land, buildings, and equipment basis ▶		
Less accumulated depreciation ▶				
12 Investments - mortgage loans				
13 Investments - other STMT 6		764,362.	786,403.	991,954.
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)		772,613.	803,800.	1,009,351.
17 Accounts payable and accrued expenses				
18 Grants payable				
Net Assets or Fund Balances	19 Deferred revenue			
	20 Loans from officers, directors, trustees, and other disqualified persons			
	21 Mortgages and other notes payable			
	22 Other liabilities (describe ▶)			
23 Total liabilities (add lines 17 through 22)	0.	0.		
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ <input type="checkbox"/>			
	24 Unrestricted and complete lines 24 through 26 and lines 30 and 31.			
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ <input checked="" type="checkbox"/>			
	27 Capital stock, trust principal, or current funds	1,830,048.	1,830,048.	
	28 Paid-in or capital surplus, or land, bldg, and equipment fund	0.	0.	
	29 Retained earnings, accumulated income, endowment, or other funds	<1,057,435.>	<1,026,248.>	
30 Total net assets or fund balances	772,613.	803,800.		
31 Total liabilities and net assets/fund balances	772,613.	803,800.		

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	772,613.
2 Enter amount from Part I, line 27a	2	<68,813.>
3 Other increases not included in line 2 (itemize) ▶ SEE STATEMENT 5	3	100,000.
4 Add lines 1, 2, and 3	4	803,800.
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	803,800.

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 365.623 SHS VANGUARD DEVELOPED MARKETS INDEX			
b ADMIRAL	P	07/30/14	08/07/17
c 19.544 SHS GOLDMAN SACHS STRATEGIC INCOME	P	VARIOUS	10/06/17
d 1185.748 SHS GOLDMAN SACHS STRATEGIC INCOME	P	VARIOUS	10/06/17
e CAPITAL GAINS DIVIDENDS			

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a			
b 5,010.		4,965.	45.
c 187.		188.	<1.>
d 11,354.		11,990.	<636.>
e 6,295.			6,295.

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

(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	(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
a			
b			45.
c			<1.>
d			<636.>
e			6,295.

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	5,703.
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	<1.>

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	75,212.	881,547.	.085318
2014	935,935.	1,715,109.	.545700
2013	351,969.	2,416,319.	.145663
2012	44,545.	2,061,064.	.021613
2011	50,670.	1,944,280.	.026061

2 Total of line 1, column (d)	2	.824355
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	.164871
4 Enter the net value of noncharitable-use assets for 2016 from Part X, line 5	4	966,800.
5 Multiply line 4 by line 3	5	159,397.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	192.
7 Add lines 5 and 6	7	159,589.
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	88,014.

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	384.
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	384.
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	384.
6 Credits/Payments			
a 2016 estimated tax payments and 2015 overpayment credited to 2016	6a	3,026.	
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	3,026.	
8 Enter any penalty for underpayment of estimated tax. Check here <input type="checkbox"/> if Form 2220 is attached	8		
9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9		
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	2,642.	
11 Enter the amount of line 10 to be Credited to 2017 estimated tax	11	0.	
			Refunded

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
1b 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
1c 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 <input type="checkbox"/> \$ 0. (2) On foundation managers <input type="checkbox"/> \$ 0.		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers <input type="checkbox"/> \$ 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.		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		X
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		X
b If "Yes," has it filed a tax return on Form 990-T for this year?		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by General Instruction T.		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	X	
7 Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col. (c), and Part XV	X	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) <input type="checkbox"/> MI		
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	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		X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses		X

N/A

Part VII-A Statements Regarding Activities (continued)

	Yes	No
11 At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)		X
12 Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)		X
13 Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ▶ N/A	X	
14 The books are in care of ▶ KATHRYN LENTER Telephone no ▶ 248-855-4943 Located at ▶ 32500 TELEGRAPH RD, STE 104, BINGHAM FARMS, MI ZIP+4 ▶ 48025		
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 ▶		X

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

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

	Yes	No
1a During the year did the foundation (either directly or indirectly) (1) Engage in the sale or exchange, or leasing of property with a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(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	1b	
c Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2016?	1c	X
2 Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)) a At the end of tax year 2016, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2016? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If "Yes," list the years ▶		
b Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see instructions.) c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here ▶ N/A	2b	
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No b If "Yes," did it have excess business holdings in 2016 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969, (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2016.) N/A	3b	
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a	X
b Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2016?	4b	X

Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required (continued)**5a** During the year did the foundation pay or incur any amount to

(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?

☐ Yes ☒ No

(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive?

☐ Yes ☒ No

(3) Provide a grant to an individual for travel, study, or other similar purposes?

☐ Yes ☒ No

(4) Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? (see instructions)

☐ Yes ☒ No

(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?

☐ Yes ☒ No**b** If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)?

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

6b

X

If "Yes" to 6b, file Form 8870.

7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?☐ Yes ☒ No**b** If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction?

N/A

7b

Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors**1** List all officers, directors, trustees, foundation managers and their compensation.

(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
WAYNE ALPERN	CO-TRUSTEE			
450 WEST END AVE APT #C	5.00	4,000.	0.	0.
NEW YORK, NY 10024				
HARLAN ALPERN	CO-TRUSTEE			
184 COUNTY HWY 52	6.00	6,000.	0.	0.
COOPERSTOWN, NY 13326				

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

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

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

0

Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors *(continued)***3** Five highest-paid independent contractors for professional services. If none, enter "NONE."

(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 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

	Amount
1 N/A	
2	
All other program-related investments See instructions	
3	
Total. Add lines 1 through 3	0.

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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	936,235.
b	Average of monthly cash balances	1b	45,288.
c	Fair market value of all other assets	1c	
d	Total (add lines 1a, b, and c)	1d	981,523.
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	981,523.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	14,723.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	966,800.
6	Minimum investment return. Enter 5% of line 5	6	48,340.

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	48,340.
2a	Tax on investment income for 2016 from Part VI, line 5	2a	384.
b	Income tax for 2016 (This does not include the tax from Part VI)	2b	
c	Add lines 2a and 2b	2c	384.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	47,956.
4	Recoveries of amounts treated as qualifying distributions	4	100,000.
5	Add lines 3 and 4	5	147,956.
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	147,956.

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	88,014.
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	88,014.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b	5	0.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	88,014.

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				147,956.
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				
b From 2012				
c From 2013				235,525.
d From 2014				851,081.
e From 2015				31,608.
f Total of lines 3a through e	1,118,214.			
4 Qualifying distributions for 2016 from Part XII, line 4 ▶ \$	88,014.			
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				88,014.
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))	59,942.			59,942.
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	1,058,272.			
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	0.			
9 Excess distributions carryover to 2017. Subtract lines 7 and 8 from line 6a	1,058,272.			
10 Analysis of line 9				
a Excess from 2012				
b Excess from 2013				175,583.
c Excess from 2014				851,081.
d Excess from 2015				31,608.
e Excess from 2016				

N/A

- ☐ 4942(j)(3) or ☐ 4942(j)(5)

- (4) Gross investment income**

[illegible]Form **990-PF** (2016)

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a Paid during the year				
ALL CONTRIBUTIONS LISTED WERE PAID TO EXEMPT ORGANIZATIONS		PUBLICLY SUPPORTED CHARITIES	EXEMPT PURPOSE	83,014.
Total			3a	83,014.
b Approved for future payment				
NONE				
Total			3b	0.

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

SOURCE	(A) REVENUE PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME
UBS BANK	6.	6.	6.
TOTAL TO PART I, LINE 3	6.	6.	6.

FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 2

SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
CHARLES SCHWAB	11,730.	1,630.	10,100.	10,100.	10,100.
UBS FINANCIAL SERVICES	15,940.	4,665.	11,275.	11,275.	11,275.
TO PART I, LINE 4	27,670.	6,295.	21,375.	21,375.	21,375.

FORM 990-PF OTHER PROFESSIONAL FEES STATEMENT 3

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
INVESTMENT MANAGER	2,883.	2,883.	0.	0.
TO FORM 990-PF, PG 1, LN 16C	2,883.	2,883.	0.	0.

FOOTNOTES STATEMENT 4

FORM 990-PF	OTHER INCREASES IN NET ASSETS OR FUND BALANCES	STATEMENT	5
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DESCRIPTION	AMOUNT
REFUND OF CHARITABLE CONTRIBUTION MADE IN A PRIOR YEAR	100,000.
TOTAL TO FORM 990-PF, PART III, LINE 3	100,000.

FORM 990-PF	OTHER INVESTMENTS	STATEMENT	6
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DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
MUTUAL FUNDS	COST	786,403.	991,954.
TOTAL TO FORM 990-PF, PART II, LINE 13		786,403.	991,954.

Charitable Contributions

11/01/2016 through 10/31/2017

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Date	Numb	Description	Amount
02/15/2017	1154	Alley Car Allies	-50.00
12/19/2016	460	Alzheimer's Association Of NE NY	-200.00
12/19/2016	468	American Cancer Society	-200.00
12/19/2016	464	American Diabetes Association	-200.00
12/19/2016	467	American Heart Association	-200.00
12/19/2016	424	Angel Network Of Cooperstown	-1,000.00
02/07/2017	1152	ASPCA	-150.00
12/19/2016	461	Care	-200.00
04/12/2017	476	Center For Continuous Adult Learning	-100.00
12/19/2016	416	Chokgyur Lingpa Foundation	-2,000.00
12/19/2016	420	Cooperstown Art Association	-300.00
12/19/2016	451	Cooperstown Fire Department Fund	-100.00
12/19/2016	422	Cooperstown Food Bank	-2,000.00
12/19/2016	417	Experience Children's Museum	-1,000.00
10/20/2017	483	Fenimore Art Museum	-250.00
02/25/2017	471	Fly Creek Methodist Church	-100.00
08/27/2017	480	Franklin Stage Theatre	-100.00
08/29/2017	481	Glimmerglass Festival	-100.00
12/19/2016	416	Humane Society Of United States	-35.00

Charitable Contributions

11/01/2016 through 10/31/2017

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02/02/2018

Date	Num	Description	Amount
11/21/2016	1142	Humane Society Of United States	-35.00
Institute For Creative Music	244	W. 109th St Apt 2D New York, NY 10025	-46,500.00
12/06/2016	1145	Institute For Creative Music	-5,000.00
02/27/2017	1155	Institute For Creative Music	-1,500.00
05/23/2017	1162	Institute For Creative Music	-40,000.00
Jones Foundation	2501	W 18th Ave, 5th D Somerville, MA 02144	-100.00
01/13/2017	1148	Jones Foundation	-100.00
March Of Dimes	P.O. Box 673467	Marquette, MI 49806	-200.00
12/19/2016	466	March Of Dimes	-200.00
Norman Rockwell Museum	9	Glendale Rd, Ste 183 Stoughton, MA 01962	-535.00
05/18/2017	1160	Norman Rockwell Museum	-450.00
10/04/2017	1161	Norman Rockwell Museum	-85.00
Oberlin College	Box 101	W Lorain St Oberlin, OH 44074	-500.00
01/09/2017	1149	Oberlin College	-500.00
Otsego 2000 Foundation	101	Main St Cooperstown, NY 13326	-100.00
12/19/2016	455	Otsego 2000 Foundation	-100.00
Otsego County Conservation Association	P.O. Box 921	Cooperstown, NY 13326	-200.00
12/19/2016	453	Otsego County Conservation Association	-200.00
Oxfam America	226	Chesnut St, 5th Floor Boston, MA 02114	-200.00
12/19/2016	456	Oxfam America	-200.00
Paralyzed Veterans Of America	301	Eighteen St, NW Washington, DC 20006	-200.00
12/19/2016	459	Paralyzed Veterans Of America	-200.00
Portlandville Methodist Church	P.O. Box 306	Portlandville, NY 13834	-500.00
02/14/2017	470	Portlandville Methodist Church	-500.00
PPFA	123	William St, 10th Floor New York, NY 10038	-150.00
02/15/2017	1153	PPFA	-150.00
Rescue Mission Of Utica, NY	212	Buttler St Utica, NY 13501	-300.00
12/19/2016	452	Rescue Mission Of Utica, NY	-300.00
Richfield Springs Veterans Club	13	Lake St Richfield Springs, NY 13439	-6,000.00
02/02/2017	469	Richfield Springs Veterans Club	-3,000.00
08/09/2017	479	Richfield Springs Veterans Club	-3,000.00
Richfield Veterans Club			-2,000.00
12/07/2016	415	Richfield Veterans Club	-2,000.00
Ronald McDonald House	One	Kroc Drive Oakbrook, IL 60523	-70.00
11/22/2016	1144	Ronald McDonald House	-70.00
Salvation Army	25	Power St Ontario, NY 13820	-300.00
12/19/2016	418	Salvation Army	-300.00
SEVA Foundation	1786	Fifth St Berkeley, CA 94701	-2,000.00

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Charitable Contributions

11/01/2016 through 10/31/2017

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02/02/2018

Date	Num	Description	Amount
12/19/2016	454	SEVA Foundation	-2,000.00
12/19/2016	421	Smithy Pioneer Gallery 55 Pioneer St Cooperstown, NY 13326	-100.00
11/01/2016	414	Susquehanna Animal Shelter 1541 St Hwy 26 Cooperstown, NY 13326	-1,485.00
12/19/2016	419	Susquehanna Animal Shelter	-500.00
03/24/2017	473	Susquehanna Animal Shelter	-300.00
The Field	75	Maiden Lane #906 New York, NY 10038	-685.00
02/23/2017	1156	The Field	-400.00
10/11/2017	1165	The Jerusalem Foundation 120 Lexington Ave #11th New York, NY 10170	-10,000.00
01/06/2017	1147	Thirteen WNET 825 Eighth Ave New York, New York 10019	-200.00
03/21/2017	1157	Tom Gold Dance 51 West 87th St No 24 New York, NY 10024	-100.00
12/19/2016	465	UNICEF 125 Maiden Lane, 11th floor New York, NY 10038	-200.00
12/19/2016	423	United Way Otsego Delaware Counties P.O. Box 631 Oneonta, NY 13820	-200.00
06/01/2017	478	University Of Michigan 500 S. State St Ann Arbor, MI 48109	-500.00
12/19/2016	425	Village Of Cooperstown Library 22 Water St #1 Cooperstown, NY 13326	-100.00
05/17/2017	477	WCNY Television Syracuse 506 Old Liverpool Rd, PO Box 2400, Syracuse NY 13220	250.00
12/19/2016	457	Wikimedia Foundation 149 New Montgomery St, Floor 6, San Francisco, CA 94105	-100.00
01/12/2017	1146	WNYC Radio 160 Varock St, New York, NY 10013	-470.00
02/07/2017	1151	WNYC Radio	-120.00
04/19/2017	1158	WNYC Radio	-100.00
06/05/2017	1164	WNYC Radio	-125.00
11/23/2016	1143	World Wildlife Fund 24th St N.W. Washington, DC 20037	-169.00
05/26/2017	1163	World Wildlife Fund	-75.00
12/19/2016	458	Wounded Warrior Project 1509 Belton Rd, Ste 300 Jacksonville, FL 32256	-94.00
12/19/2016	458	Wounded Warrior Project	-200.00
		Ymca Oneonta Scholarship Fund 20 - 26 Ford Avenue Oneonta, NY 13820	-300.00

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Charitable Contributions
11/01/2016 through 10/31/2017

Amount	-300.00
OVERALL TOTAL	-83,014.00

02/02/2018

Date

12/19/2016

Num

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Ymca Oneonta Scholarship Fund

Description

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