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Form 990-PF

Department of the Treasury
Internal Revenue Service

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

Do not enter social security numbers on this form as it may be made public.
Go to www.irs.gov/Form990PF for instructions and the latest information

OMB No 1545-0052

2017

Open to Public Inspection

For calendar year 2017 or tax year beginning , 2017, and ending ,

The Lenore & Howard Klein Foundation Inc
c/o Ivey Barnum etc. 170 Mason St.
Greenwich, CT 06830

A Employer identification number
13-3673818

B Telephone number (see instructions)
(203) 661-6000

C If exemption application is pending, check here ☐

D 1 Foreign organizations, check here ☐
2 Foreign organizations meeting the 85% test, check here and attach computation ☐

E If private foundation status was terminated under section 507(b)(1)(A), check here ☐

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

G Check all that apply.

☐ Initial return	☐ Initial return of a former public charity
☐ Final return	☐ Amended return
☐ Address change	☐ Name change

H Check type of organization ☒ Section 501(c)(3) exempt private foundation ☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation

I Fair market value of all assets at end of year (from Part II, column (c), line 16)
\$ 3,103,309.

J Accounting method: ☒ Cash ☐ Accrual ☐ Other (specify) _____
(Part I, column (d) must be on cash basis.)

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions).)		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
REVENUE	1 Contributions, gifts, grants, etc., received (attach schedule)				
	2 Check ☒ if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments	578.	578.	578.	
	4 Dividends and interest from securities	70,780.	70,780.	70,780.	
	5 a Gross rents				
	b Net rental income or (loss)				
	6 a Net gain or (loss) from sale of assets not on line 10	69,590.			
	b Gross sales price for all assets on line 6a 1,112,609.				
	7 Capital gain net income (from Part IV, line 2)		69,590.		
	8 Net short-term capital gain				
	9 Income modifications				
ADMINISTRATIVE EXPENSES	10 a Gross sales less returns and allowances				
	b Less Cost of goods sold				
	c Gross profit or (loss) (attach schedule)				
	11 Other income (attach schedule)				
	12 Total. Add lines 1 through 11	140,948.	141,072.	71,482.	
	13 Compensation of officers, directors, trustees, etc.	16,000.	5,000.	5,000.	11,000.
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16 a Legal fees (attach schedule) See St 1	16,774.	5,500.	5,500.	11,274.
	b Accounting fees (attach sch)				
	c Other professional fees (attach sch) See St 2	18,223.	18,223.	18,223.	18,223.
	17 Interest				
	18 Taxes (attach schedule)(see instrs) See Stm 3	3,586.	1,586.	3,586.	
	19 Depreciation (attach schedule) and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications.	155.			155.
	23 Other expenses (attach schedule) See Statement 4	250.			250.
	24 Total operating and administrative expenses. Add lines 13 through 23	54,988.	30,309.	30,309.	44,488.
	25 Contributions, gifts, grants paid Part XV	122,500.			122,500.
	26 Total expenses and disbursements Add lines 24 and 25	177,488.	30,309.	30,309.	166,988.
	27 Subtract line 26 from line 12:				
a Excess of revenue over expenses and disbursements		-36,540.			
b Net investment income (if negative, enter -0-)			110,763.		
c Adjusted net income (if negative, enter -0-)				41,173.	

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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
A S S E T S	1 Cash – non-interest-bearing			
	2 Savings and temporary cash investments	435,007.	82,585.	82,585.
	3 Accounts receivable			
	Less allowance for doubtful accounts			
	4 Pledges receivable			
	Less allowance for doubtful accounts			
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
	7 Other notes and loans receivable (attach sch)			
	Less allowance for doubtful accounts			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10 a Investments – U.S. and state government obligations (attach schedule)			
	b Investments – corporate stock (attach schedule)	2,316,953.	2,626,615.	3,020,724.
	c Investments – corporate bonds (attach schedule)			
	11 Investments – land, buildings, and equipment: basis			
Less accumulated depreciation (attach schedule)				
12 Investments – mortgage loans				
13 Investments – other (attach schedule)				
14 Land, buildings, and equipment: basis				
Less accumulated depreciation (attach schedule)				
15 Other assets (describe)				
16 Total assets (to be completed by all filers – see the instructions. Also, see page 1, item I)	2,751,960.	2,709,200.	3,103,309.	
L I A B I L I T I E S	17 Accounts payable and accrued expenses			
	18 Grants payable			
	19 Deferred revenue			
	20 Loans from officers, directors, trustees, & other disqualified persons			
	21 Mortgages and other notes payable (attach schedule)			
	22 Other liabilities (describe)			
	23 Total liabilities (add lines 17 through 22)	0.	0.	
F U N D A S S E T A N C E S	Foundations that follow SFAS 117, check here and complete lines 24 through 26, and lines 30 and 31. ☐			
	24 Unrestricted			
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here and complete lines 27 through 31. ☒			
	27 Capital stock, trust principal, or current funds	2,751,960.	2,709,200.	
	28 Paid-in or capital surplus, or land, bldg., and equipment fund			
	29 Retained earnings, accumulated income, endowment, or other funds			
	30 Total net assets or fund balances (see instructions)	2,751,960.	2,709,200.	
	31 Total liabilities and net assets/fund balances (see instructions)	2,751,960.	2,709,200.	

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	2,751,960.
2 Enter amount from Part I, line 27a	2	-36,540.
3 Other increases not included in line 2 (itemize)	3	
4 Add lines 1, 2, and 3	4	2,715,420.
5 Decreases not included in line 2 (itemize) <u>See Statement 5</u>	5	6,220.
6 Total net assets or fund balances at end of year (line 4 minus line 5) – Part II, column (b), line 30	6	2,709,200.

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold (for example, real estate, 2-story brick warehouse; or common stock, 200 shares MLC Company)		(b) How acquired P — Purchase D — Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1 a Sales at a Gain - See Attached		P	Various	Various
b Sales at a Loss - See Attached		P	Various	Various
c Capital Gain Distributions-See Attached		P	Various	Various
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 853,215.		781,377.	71,838.
b 247,883.		261,642.	-13,759.
c 11,511.			11,511.
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			71,838.
b			-13,759.
c			11,511.
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	69,590.
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6):	If gain, also enter in Part I, line 8, column (c) See instructions. If (loss), enter -0- in Part I, line 8		3	0.

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 doesn't 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))
2016	148,549.	2,725,042.	0.054513
2015	159,432.	2,907,767.	0.054830
2014	178,600.	3,187,110.	0.056038
2013	171,559.	2,870,605.	0.059764
2012	156,912.	2,708,712.	0.057929

2 Total of line 1, column (d)	2	0.283074
3 Average distribution ratio for the 5-year base period — divide the total on line 2 by 5 0, or by the number of years the foundation has been in existence if less than 5 years	3	0.056615
4 Enter the net value of noncharitable-use assets for 2017 from Part X, line 5	4	2,973,863.
5 Multiply line 4 by line 3	5	168,365.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	1,108.
7 Add lines 5 and 6	7	169,473.
8 Enter qualifying distributions from Part XII, line 4	8	166,988.

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

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

1 a	Exempt operating foundations described in section 4940(d)(2), check here ☐ and enter 'N/A' on line 1 Date of ruling or determination letter _____ (attach copy of letter if necessary – see instructions)	1	2,215.
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☐ and enter 1% of Part I, line 27b		
c	All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b)		
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only, others, enter -0-)	2	0.
3	Add lines 1 and 2	3	2,215.
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	2,215.
6	Credits/Payments		
a	2017 estimated tax pmts and 2016 overpayment credited to 2017	6 a	1,099.
b	Exempt foreign organizations – tax withheld at source	6 b	
c	Tax paid with application for extension of time to file (Form 8868)	6 c	
d	Backup withholding erroneously withheld	6 d	
7	Total credits and payments. Add lines 6a through 6d	7	1,099.
8	Enter any penalty for underpayment of estimated tax. Check here ☐ if Form 2220 is attached	8	
9	Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9	1,116.
10	Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	
11	Enter the amount of line 10 to be Credited to 2018 estimated tax ☐ Refunded ☐	11	

Part VII-A Statements Regarding Activities

	Yes	No
1 a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		X
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes? See the instructions for the definition		X
If the answer is 'Yes' to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.		
c Did the foundation file Form 1120-POL for this year?		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		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
4 a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		X
b If 'Yes,' has it filed a tax return on Form 990-T for this year?		N/A
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	
8 a Enter the states to which the foundation reports or with which it is registered. See instructions. <u>NY</u>		
b If the answer is 'Yes' to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by <i>General Instruction G</i> ? 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 2017 or the tax year beginning in 2017? See the 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

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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		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 <u>N/A</u>	X	
14 The books are in care of <u>Jennifer D. Port, Esq.</u> Telephone no. <u>(203) 661-6000</u> Located at <u>170 Mason St. Greenwich CT</u> ZIP + 4 <u>06830</u>		
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 <u>N/A</u>		
16 At any time during calendar year 2017, 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?		X
See the instructions for exceptions and filing requirements for FinCEN Form 114. If 'Yes,' enter the name of the foreign country <u>N/A</u>		

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

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

	Yes	No
1 a During the year, did the foundation (either directly or indirectly):		
(1) Engage in the sale or exchange, or leasing of property with a disqualified person?	☐ 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 ☐	1 b	N/A
c Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2017?	1 c	X
2 Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)):		
a At the end of tax year 2017, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2017?	☐ Yes ☒ No	
If 'Yes,' list the years <u>20 __ , 20 __ , 20 __ , 20 __</u>		
b Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer 'No' and attach statement - see instructions.)	2 b	N/A
c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. <u>20 __ , 20 __ , 20 __ , 20 __</u>		
3 a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?	☐ Yes ☒ No	
b If 'Yes,' did it have excess business holdings in 2017 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 2017.)	3 b	N/A
4 a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4 a	X
b Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2017?	4 b	X

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Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required (continued)**5 a** 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

5 b N/A

Organizations relying on a current notice regarding disaster assistance, check here

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

If 'Yes,' attach the statement required by Regulations section 53.4945–5(d).

6 a 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?

6 b X

If 'Yes' to 6b, file Form 8870

7 a 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

7 b

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

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
Janice Levinson Gillman 2405 Rancho Cabeba Santa Rosa, CA 95404	VP, Dir & Of 10.00	0.	0.	0.
Jane Laffend 10 Lantern Lane Media, PA 19063	Pres, Dir & 10.00	0.	0.	0.
Jennifer D. Port One Dewart Road Greenwich, CT 06830	VP, Sec & Tr 15.00	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	(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 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	1 a	2,955,161.
b	Average of monthly cash balances	1 b	63,989.
c	Fair market value of all other assets (see instructions)	1 c	
d	Total (add lines 1a, b, and c)	1 d	3,019,150.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1 e	0.
2	Acquisition indebtedness applicable to line 1 assets	2	0.
3	Subtract line 2 from line 1d	3	3,019,150.
4	Cash deemed held for charitable activities. Enter 1-1/2% of line 3 (for greater amount, see instructions)	4	45,287.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	2,973,863.
6	Minimum investment return. Enter 5% of line 5	6	148,693.

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	148,693.
2 a	Tax on investment income for 2017 from Part VI, line 5	2 a	2,215.
b	Income tax for 2017 (This does not include the tax from Part VI.)	2 b	
c	Add lines 2a and 2b	2 c	2,215.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	146,478.
4	Recoveries of amounts treated as qualifying distributions	4	
5	Add lines 3 and 4	5	146,478.
6	Deduction from distributable amount (see instructions)	6	
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	146,478.

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	1 a	166,988.
b	Program-related investments — total from Part IX-B	1 b	
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)	3 a	
b	Cash distribution test (attach the required schedule)	3 b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	166,988.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b. See instructions.	5	
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	166,988.

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 2016	(c) 2016	(d) 2017
1 Distributable amount for 2017 from Part XI, line 7				146,478.
2 Undistributed income, if any, as of the end of 2017				
a Enter amount for 2016 only			0.	
b Total for prior years 20____, 20____, 20____		0.		
3 Excess distributions carryover, if any, to 2017.				
a From 2012	22,376.			
b From 2013	30,765.			
c From 2014	27,304.			
d From 2015	16,029.			
e From 2016	13,189.			
f Total of lines 3a through e	109,663.			
4 Qualifying distributions for 2017 from Part XII, line 4: ► \$ 166,988.				
a Applied to 2016, 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 2017 distributable amount				146,478.
e Remaining amount distributed out of corpus	20,510.			
5 Excess distributions carryover applied to 2017 (If an amount appears in column (d), the same amount must be shown in column (a))	0.			0.
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	130,173.			
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 2016 Subtract line 4a from line 2a Taxable amount – see instructions			0.	
f Undistributed income for 2017. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2018				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 2012 not applied on line 5 or line 7 (see instructions)	22,376.			
9 Excess distributions carryover to 2018. Subtract lines 7 and 8 from line 6a	107,797.			
10 Analysis of line 9.				
a Excess from 2013	30,765.			
b Excess from 2014	27,304.			
c Excess from 2015	16,029.			
d Excess from 2016	13,189.			
e Excess from 2017	20,510.			

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 2017, enter the date of the ruling | | | | | ☐ 4942(j)(3) or ☐ 4942(j)(5) | |
| b Check box to indicate whether the foundation is a private operating foundation described in section | | | | | | |
| 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))

None

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

None

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

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

- 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 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
<i>a</i> Paid during the year See Exhibit Attached	None			122,500.
Total				122,500.
<i>b</i> Approved for future payment				
Total				

Form 990-PF (2017) The Lenore & Howard Klein Foundation Inc

13-3673818

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Part VII Information Regarding Transfers to and Transactions and Relationships With Noncharitable Exempt Organizations

- 1 Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?

■ Transfers from the reporting foundation to a noncharitable exempt organization of:

- (1) Cash
- (2) Other assets

b Other transactions:

- (1) Sales of assets to a noncharitable exempt organization
- (2) Purchases of assets from a noncharitable exempt organization
- (3) Rental of facilities, equipment, or other assets
- (4) Reimbursement arrangements
- (5) Loans or loan guarantees
- (6) Performance of services or membership or fundraising solicitations

c Sharing of facilities, equipment, mailing lists, other assets, or paid employees

	Yes	No
1a(1)		X
1a(2)		X
1b(1)		X
1b(2)		X
1b(3)		X
1b(4)		X
1b(5)		X
1b(6)		X
1c		X

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

[illegible]

2a Is the foundation directly or indirectly affiliated with, or related to, one or more tax-exempt organizations described in section 501(c) of the Code (other than section 501(c)(3)) or in section 527?

☐ Yes ☒ No

b If 'Yes,' complete the following schedule.

(a) Name of organization	(b) Type of organization	(c) Description of relationship
N/A		

**Sign
Here**

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct and complete. Declaration of preparer (other than taxpayer) is based on all information of which preparer has any knowledge.

Signature of officer or trustee

Date _____

Vice President

Title

May the IRS discuss this return with the preparer shown below?
See instructions.

**Paid
Preparer
Use Only**

Print/Type preparer's name

Jennifer D. Port

Firm's name

► Ivey, Barnum & O'Mara, LLC

Firm's address

170 Mason Street
Greenwich, CT 06830

Date	Time	Location	Weather	Wind	Sea	Visibility	Remarks
1970	0000	10°N 155°E	100	000	000	000	000
1970	0100	10°N 155°E	100	000	000	000	000
1970	0200	10°N 155°E	100	000	000	000	000
1970	0300	10°N 155°E	100	000	000	000	000
1970	0400	10°N 155°E	100	000	000	000	000
1970	0500	10°N 155°E	100	000	000	000	000
1970	0600	10°N 155°E	100	000	000	000	000
1970	0700	10°N 155°E	100	000	000	000	000
1970	0800	10°N 155°E	100	000	000	000	000
1970	0900	10°N 155°E	100	000	000	000	000
1970	1000	10°N 155°E	100	000	000	000	000
1970	1100	10°N 155°E	100	000	000	000	000
1970	1200	10°N 155°E	100	000	000	000	000
1970	1300	10°N 155°E	100	000	000	000	000
1970	1400	10°N 155°E	100	000	000	000	000
1970	1500	10°N 155°E	100	000	000	000	000
1970	1600	10°N 155°E	100	000	000	000	000
1970	1700	10°N 155°E	100	000	000	000	000
1970	1800	10°N 155°E	100	000	000	000	000
1970	1900	10°N 155°E	100	000	000	000	000
1970	2000	10°N 155°E	100	000	000	000	000
1970	2100	10°N 155°E	100	000	000	000	000
1970	2200	10°N 155°E	100	000	000	000	000
1970	2300	10°N 155°E	100	000	000	000	000
1970	2400	10°N 155°E	100	000	000	000	000
1970	2500	10°N 155°E	100	000	000	000	000
1970	2600	10°N 155°E	100	000	000	000	000
1970	2700	10°N 155°E	100	000	000	000	000
1970	2800	10°N 155°E	100	000	000	000	000
1970	2900	10°N 155°E	100	000	000	000	000
1970	3000	10°N 155°E	100	000	000	000	000
1970	3100	10°N 155°E	100	000	000	000	000
1970	3200	10°N 155°E	100	000	000	000	000
1970	3300	10°N 155°E	100	000	000	000	000
1970	3400	10°N 155°E	100	000	000	000	000
1970	3500	10°N 155°E	100	000	000	000	000
1970	3600	10°N 155°E	100	000	000	000	000
1970	3700	10°N 155°E	100	000	000	000	000
1970	3800	10°N 155°E	100	000	000	000	000
1970	3900	10°N 155°E	100	000	000	000	000
1970	4000	10°N 155°E	100	000	000	000	000
1970	4100	10°N 155°E	100	000	000	000	000
1970	4200	10°N 155°E	100	000	000	000	000
1970	4300	10°N 155°E	100	000	000	000	000
1970	4400	10°N 155°E	100	000	000	000	000
1970	4500	10°N 155°E	100	000			

11/13/18

2	2
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self-employed

15

P00098503

Phone no

(203) 661-6000

BAA

Form 990-PF (2017)

Client 15225-01

The Lenore & Howard Klein Foundation Inc

13-3673818

Statement 1
Form 990-PF, Part I, Line 16a
Legal Fees

	(a) Expenses Per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes
Ivey Barnum & O'Mara, LLC	\$ 16,774.	\$ 5,500.	\$ 5,500.	\$ 11,274.
Total	<u>\$ 16,774.</u>	<u>\$ 5,500.</u>	<u>\$ 5,500.</u>	<u>\$ 11,274.</u>

Statement 2
Form 990-PF, Part I, Line 16c
Other Professional Fees

	(a) Expenses per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes
Northern Trust Company-Investment Fee	\$ 18,223.	\$ 18,223.	\$ 18,223.	\$ 18,223.
Total	<u>\$ 18,223.</u>	<u>\$ 18,223.</u>	<u>\$ 18,223.</u>	<u>\$ 18,223.</u>

Statement 3
Form 990-PF, Part I, Line 18
Taxes

	(a) Expenses per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes
Balance of 2016 Excise Tax	\$ 2,000.			\$ 2,000.
Foreign Tax	1,586.	\$ 1,586.	\$ 1,586.	1,586.
Total	<u>\$ 3,586.</u>	<u>\$ 1,586.</u>	<u>\$ 1,586.</u>	<u>\$ 3,586.</u>

Statement 4
Form 990-PF, Part I, Line 23
Other Expenses

	(a) Expenses per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes
New York State Department of Law	\$ 250.			\$ 250.
Total	<u>\$ 250.</u>	<u>\$ 0.</u>	<u>\$ 0.</u>	<u>\$ 250.</u>

2017

Federal Statements

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Client 15225-01

The Lenore & Howard Klein Foundation Inc

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Statement 5
Form 990-PF, Part III, Line 5
Other Decreases

Adjustment to Basis

Total \$ 6,220.
\$ 6,220.

Lenore and Howard Klein Foundation, Inc.
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 List of Charitable Grants

Name and Address of Organization receiving Grant	Status of Organization Receiving Grant	Purpose of the Grant	Amount of the Grant
At Home in Greenwich 139 East Putnam Avenue Greenwich, Connecticut 06830-5612	Public Charity	To assist people over the age of 50 to continue to reside at home	\$ 1,500.00
CASA of Santa Cruz 813 Freedom Blvd. Watsonville, California 95075	Public Charity	To advocate for abused, neglected or abandoned children	1,500.00
Chops Teen Club 509 Adams Street Santa Rosa, California	Public Charity	To provide support for programs benefiting the poor, homeless and addicted	3,000.00
Congregation Beth Israel of Media PA 542 South New Middletown Road, Media, Pennsylvania 19063	Public Charity	To promote religious education	1,000.00
E4FC-Community Initiatives 354 Pine Street, Suite 700 San Francisco, CA 94104	Public Charity	To provide scholarships	13,000.00
Food For Thought 6550 Railroad Avenue Forestville, California 95436	Public Charity	To provide support for the victims of the fires in California	1,200.00

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List of Charitable Grants

<u>Name and Address of Organization receiving Grant</u>	<u>Status of Organization Receiving Grant</u>	<u>Purpose of the Grant</u>	<u>Amount of the Grant</u>
Fox Chase Cancer Center 333 Cottman Avenue Philadelphia, PA 19111-2497	Public Charity	To provide funding for breast cancer research	10,000.00
Hawaii Performing Arts Festival, Inc. 4011B Primavera Road Santa Barbara, California 93110	Public Charity	To fund the training program and summer festival	1,500.00
Impact 100 Redwood Circle Community Foundation Sonoma City 120 Stony Point Road, Suite 220 Santa Rosa, California 95401	Public Charity	To assist the victims of the California fires	1,100.00
Jewish Family and Children's Services 2150 Post Road San Francisco, California 94115	Public Charity	To support various programs	2,500.00
Jewish Family Services of Greenwich One Holly Hill Lane Greenwich, Connecticut 06830	Public Charity	To fund the program called SuperMarketing for Seniors	4,000.00
Lankenau Hospital Foundation 100 East Lancaster Ave, MOB East Wynnewood, Pennsylvania 19096	Public Charity	To support medical treatment for individuals in needing financial assistance	10,000.00

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Name and Address of Organization receiving Grant	Status of Organization Receiving Grant	Purpose of the Grant	Amount of the Grant
Neighbor to Neighbor 248 East Putnam Avenue Greenwich, Connecticut 06830	Public Charity	To provide food to people in need	2,000.00
On the Move 780 Lincoln Avenue Napa, California 94558	Public Charity	To assist the victims of the California fires	1,500.00
Pennsylvania Ballet 1819 JFK Boulevard Philadelphia, Pennsylvania 19103	Public Charity	To support special programs	7,500.00
PlayGround 268 Bush Street #2912 San Francisco, California 94104	Public Charity	To promote the performing arts	7,500.00
Redwood Credit Union Community Fund North Bay Fire Relief Sonoma P.O. Box 6104 Santa Rosa, California 95406	Public Charity	To assist the victims of the California fires	3,200.00
Redwood Empire Food Bank 3990 Brickway Blvd. Santa Rosa, California 95403	Public Charity	To assist the victims of the California fires	2,300.00

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Name and Address of Organization receiving Grant	Status of Organization Receiving Grant	Purpose of the Grant	Amount of the Grant
Santa Rosa Junior College Foundation 1501 Mendocino Avenue Santa Rosa, California 95401	Public Charity	To provide scholarships for foster children	6,000.00
Seeds of Peace 370 Lexington Avenue, Suite 2103 New York, New York 10017	Public Charity	To support the Organization's summer program in Maine	1,000.00
Friends of the Smithsonian P. O. Box 37012, MRC 712 Washington DC 20013-7012	Public Charity	To promote the arts	2,500.00
Sonoma County Humane Society 5345 Highway 12 West Santa Rosa, California 95407	Public Charity	To promote the mission of the organization	500.00
The International Association for Geoscience Diversity 511E Teachers-Dyer Complex PO Box 210022 Cincinnati, Ohio 45221	Public Charity	To promote education and provide scholarships	7,000.00
Undocufund Fire Relief P.O. Box 1100 Sebastopol, California 95473	Public Charity	To assist the victims of the California fires	1,200.00

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<u>Name and Address of Organization receiving Grant</u>	<u>Status of Organization Receiving Grant</u>	<u>Purpose of the Grant</u>	<u>Amount of the Grant</u>
University of California at San Francisco Foundation 220 Montgomery Street San Francisco, California 94104	Public Charity	To advance healthcare worldwide	7,000.00
University of Pittsburgh - Center for Excellence in Autism Research Webster Hall, Suite 300 3811 O'Hara Street Pittsburgh, PA 15213	Public Charity	To provide funds for reasearch	1,000.00
University of Wisconsin Foundation Weisman Center Autism Research Fund 1848 University Avenue Madison, WI 53726-4090	Public Charity	To support the Waisman Center Autism Research Fund	5,500.00
Widener University One University Place Chester, Pennsylvania 19113	Public Charity	To promote education	10,000.00
With a Little Help, Inc. 2021 Minor Avenue East, Suite A Seattle, Washington 98102	Public Charity	To provide in home services to senior citizens	500.00
The Yale Child Study Center 333 Cedar Street	Public Charity	To fund research on Tourette Syndrome and Obsessive	1,000.00

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<u>Name and Address of Organization receiving Grant</u>	<u>Status of Organization Receiving Grant</u>	<u>Purpose of the Grant</u>	<u>Amount of the Grant</u>
New Haven, Connecticut 06520			
YWCA of Greenwich 259 East Putnam Avenue Greenwich, Connecticut 06830	Public Charity	To provide funding for a domestic abuse program	5,000.00
Total Grants for 2017			\$ 122,500.00