

Form **990-PF**



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

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OMB No 1545-0052

2017

Department of the Treasury
Internal Revenue Service

▶ 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.

Open to Public Inspection

For calendar year 2017 or tax year beginning , and ending

Name of foundation RIP VAN WINKLE FOUNDATION DBA THE LOU GEHRIG SOCIETY		A Employer identification number 14-1365186
Number and street (or P O box number if mail is not delivered to street address) P.O. BOX 455	Room/suite	B Telephone number (see instructions) 518-325-4443
City or town, state or province, country, and ZIP or foreign postal code HILLSDALE NY 12529		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) ▶ \$ 1,124,576	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) (see instructions))		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
1	Contributions, gifts, grants, etc., received (attach schedule)	275			
2	Check <input checked="" type="checkbox"/> if the foundation is not required to attach Sch B				
3	Interest on savings and temporary cash investments	50	50		
4	Dividends and interest from securities	31,535	31,535		
5a	Gross rents				
b	Net rental income or (loss)				
6a	Net gain or (loss) from sale of assets not on line 10	43,434			
b	Gross sales price for all assets on line 6a 784,601				
7	Capital gain net income (from Part IV, line 2)		43,434		
8	Net short-term capital gain			0	
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) STMT 1	19,886		19,886	
12	Total. Add lines 1 through 11	95,180	75,019	19,886	
13	Compensation of officers, directors, trustees, etc	22,971	11,486		11,486
14	Other employee salaries and wages				
15	Pension plans, employee benefits				
16a	Legal fees (attach schedule) SEE STMT 2	20,799	20,799		
b	Accounting fees (attach schedule) STMT 3	2,470	1,235		1,235
c	Other professional fees (attach schedule)				
17	Interest				
18	Taxes (attach schedule) (see instructions) STMT 4	3,666	1,509		
19	Depreciation (attach schedule) and depletion STMT 5	17,235			
20	Occupancy				
21	Travel, conferences, and meetings	2,636	1,318		1,318
22	Printing and publications				
23	Other expenses (attach schedule) STMT 6	5,197	3,273		1,924
24	Total operating and administrative expenses. Add lines 13 through 23	74,974	39,620	0	15,963
25	Contributions, gifts, grants paid	25,000			25,000
26	Total expenses and disbursements. Add lines 24 and 25	99,974	39,620	0	40,963
27	Subtract line 26 from line 12				
a	Excess of revenue over expenses and disbursements	-4,794			
b	Net investment income (if negative, enter -0-)		35,399		
c	Adjusted net income (if negative, enter -0-)			19,886	

For Paperwork Reduction Act Notice, see instructions.

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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
Assets	1 Cash – non-interest-bearing			
	2 Savings and temporary cash investments	192,746	79,617	79,617
	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 (att. schedule) ▶ Less allowance for doubtful accounts ▶	0		
	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) SEE STMT 7	781,157	970,121	970,121
	c Investments – corporate bonds (attach schedule)			
	11 Investments – land, buildings, and equipment basis ▶ Less accumulated depreciation (attach sch.) ▶ STMT 8	2,072	2,072	2,072
	12 Investments – mortgage loans			
	13 Investments – other (attach schedule)			
	14 Land, buildings, and equipment basis ▶ Less accumulated depreciation (attach sch.) ▶ STMT 9	258,529 204,380	86,784	54,149
15 Other assets (describe ▶ SEE STATEMENT 10)	10,000	10,000	10,000	
16 Total assets (to be completed by all filers – see the instructions. Also, see page 1, item I)	1,072,759	1,115,959	1,124,576	
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 and complete lines 24 through 26 and lines 30 and 31. ▶ <input checked="" type="checkbox"/>			
	24 Unrestricted	1,072,759	1,115,959	
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here and complete lines 27 through 31. ▶ <input type="checkbox"/>			
	27 Capital stock, trust principal, or current funds			
	28 Paid-in or capital surplus, or land, bldg, and equipment fund			
	29 Retained earnings, accumulated income, endowment, or other funds			
30 Total net assets or fund balances (see instructions)	1,072,759	1,115,959		
31 Total liabilities and net assets/fund balances (see instructions)	1,072,759	1,115,959		

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	1,072,759
2 Enter amount from Part I, line 27a	2	-4,794
3 Other increases not included in line 2 (itemize) ▶ SEE STATEMENT 11	3	47,994
4 Add lines 1, 2, and 3	4	1,115,959
5 Decreases not included in line 2 (itemize) ▶	5	
6 Total net assets or fund balances at end of year (line 4 minus line 5) – Part II, column (b), line 30	6	1,115,959

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 shs MLC Co)	(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo, day, yr)	(d) Date sold (mo, day, yr)
1a SEE WORKSHEET			
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			
b			
c			
d			
e			

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(i) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) FMV as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
a			
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	43,434
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	92,163

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

(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	65,693	984,413	0.066733
2015	42,106	973,488	0.043253
2014	60,870	1,115,487	0.054568
2013	15,064	1,033,786	0.014572
2012	29,972	921,191	0.032536

2 Total of line 1, column (d)	2	0.211662
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	0.042332
4 Enter the net value of noncharitable-use assets for 2017 from Part X, line 5	4	1,049,504
5 Multiply line 4 by line 3	5	44,428
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	354
7 Add lines 5 and 6	7	44,782
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	40,963

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	708
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	708
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	708
6	Credits/Payments		
a	2017 estimated tax payments and 2016 overpayment credited to 2017	6a	160
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	160
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	548
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
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		X
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes? See the Instructions for the definition If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities		X
c Did the foundation file Form 1120-POL for this year?	N/A	
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year (1) On the foundation <input type="checkbox"/> \$ _____ (2) On foundation managers <input type="checkbox"/> \$ _____		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers <input type="checkbox"/> \$ _____		
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?	N/A	
b If "Yes," has it filed a tax return on Form 990-T for this year?		X
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 NY		
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation	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 taxable year beginning in 2017? 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

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 ► THELOUGEHRIGSOCIETY.ORG	X	

14 The books are in care of ► **JULIA BRANDI** Telephone no ► **518-325-4443**
P.O. BOX 455
 Located at ► **HILLSDALE** NY ZIP+4 ► **12529**

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**

	Yes	No
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? 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 <input type="checkbox"/> 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? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		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? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If "Yes," list the years ► 20 , 20 , 20 , 20		
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) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here ► 20 , 20 , 20 , 20		
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 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) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?		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?		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 Organizations relying on a current notice regarding disaster assistance, check here **N/A** **5b**

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** Yes No **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, 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
JULIA BRANDI P.O. BOX 455 HILLSDALE NY 12529	EXEC VP/TREA 12.00	22,971	0	0
R. RODNEY HOWELL, MD P.O. BOX 455 HILLSDALE NY 12529	PRESIDENT 1.50	0	0	0
CALDWELL B. ESSELSTYN P.O. BOX 455 HILLSDALE NY 12529	CHAIRMAN/CEO 1.50	0	0	0
JOHN E. HOWELL P.O. BOX 455 HILLSDALE NY 12529	DIRECTOR 1.50	0	0	0

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

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

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

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

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

(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
NONE		

Total number of others receiving over \$50,000 for professional services ▶

Part IX-A Summary of Direct Charitable Activities

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

	Expenses
1 TO EDUCATE AND STIMULATE CONSTRUCTIVE CHANGE AND IMPROVEMENTS TO BENEFIT THE HEALTH OF THE GENERAL PUBLIC.	40,963
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 N/A	
2	
3 All other program-related investments See instructions	

Total. Add lines 1 through 3 ▶

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	921,324
b	Average of monthly cash balances	1b	69,323
c	Fair market value of all other assets (see instructions)	1c	74,839
d	Total (add lines 1a, b, and c)	1d	1,065,486
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	1,065,486
4	Cash deemed held for charitable activities. Enter 1½% of line 3 (for greater amount, see instructions)	4	15,982
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	1,049,504
6	Minimum investment return. Enter 5% of line 5	6	52,475

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	52,475
2a	Tax on investment income for 2017 from Part VI, line 5	2a	708
b	Income tax for 2017 (This does not include the tax from Part VI)	2b	
c	Add lines 2a and 2b	2c	708
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	51,767
4	Recoveries of amounts treated as qualifying distributions	4	
5	Add lines 3 and 4	5	51,767
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	51,767

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	40,963
b	Program-related investments – total from Part IX-B	1b	
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	40,963
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	40,963

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				51,767
2 Undistributed income, if any, as of the end of 2017				
a Enter amount for 2016 only			8,345	
b Total for prior years 20____, 20____, 20____				
3 Excess distributions carryover, if any, to 2017				
a From 2012				
b From 2013				
c From 2014				
d From 2015				
e From 2016				
f Total of lines 3a through e				
4 Qualifying distributions for 2017 from Part XII, line 4 ▶ \$ <u>40,963</u>				
a Applied to 2016, but not more than line 2a			8,345	
b Applied to undistributed income of prior years (Election required – see instructions)				
c Treated as distributions out of corpus (Election required – see instructions)				
d Applied to 2017 distributable amount				32,618
e Remaining amount distributed out of corpus				
5 Excess distributions carryover applied to 2017 (If an amount appears in column (d), the same amount must be shown in column (a))				
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5				
b Prior years' undistributed income Subtract line 4b from line 2b				
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				
d Subtract line 6c from line 6b Taxable amount – see instructions				
e Undistributed income for 2016 Subtract line 4a from line 2a Taxable amount – see instructions				
f Undistributed income for 2017 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2018				19,149
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)				
8 Excess distributions carryover from 2012 not applied on line 5 or line 7 (see instructions)				
9 Excess distributions carryover to 2018. Subtract lines 7 and 8 from line 6a				
10 Analysis of line 9				
a Excess from 2013				
b Excess from 2014				
c Excess from 2015				
d Excess from 2016				
e Excess from 2017				

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 2017, enter the date of the ruling ▶

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

	Tax year		Prior 3 years		(e) Total
	(a) 2017	(b) 2016	(c) 2015	(d) 2014	
2a 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
THE RIP VAN WINKLE FOUNDATION 518-325-4443
P.O. BOX 455 HILLSDALE NY 12529

b The form in which applications should be submitted and information and materials they should include
SEE STATEMENT 12

c Any submission deadlines
LETTER OF INTENT BY APRIL 1, PROPOSAL BY JULY 1.

d Any restrictions or limitations on awards, such as by geographical areas, charitable fields, kinds of institutions, or other factors
SEE STATEMENT 13

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> THE MENTOR FOUNDATION INC. 2900K STREET WASHINGTON DC 20007		NC MENTORING IN SCHOOLS PROGRAM	MENTORING IN SCHOOLS PROGRAM	25,000
Total			▶ 3a	25,000
b <i>Approved for future payment</i> N/A				
Total			▶ 3b	

Form 990-PF	Capital Gains and Losses for Tax on Investment Income	2017
For calendar year 2017, or tax year beginning		and ending

Name RIP VAN WINKLE FOUNDATION DBA THE LOU GEHRIG SOCIETY	Employer Identification Number 14-1365186
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(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.)
(1) 1000 APPLE INC.	P	11/03/16	03/21/17
(2) 2000 COACH INC.	P	01/04/17	05/02/17
(3) 2500 FREEPORT-MCMORAN INC.	P	05/23/17	12/26/17
(4) 500 INTERNATIONAL BUSINESS MACHINE	P	04/20/17	08/17/17
(5) 2000 SANOFI ADR	P	11/17/16	05/18/17
(6) 2000 SNITZER STEEL	P	06/30/17	11/16/17
(7) 2500 VIRTU FINANCIAL INC	P	05/12/17	12/26/17
(8) 10000 BANCO SANTANDER CENT TENDER	P	08/04/17	08/07/17
(9) 2000 SAN JUAN BASIN RTY TR	P	09/27/17	12/26/17
(10) 1000 DIAMOND OFFSHORE DRILLING INC.	P	07/25/14	06/30/17
(11) 500 GILEAD SCIENCES INC.	P	03/08/16	07/06/17
(12) 15000 NEW GOLD INC.	P	10/20/14	07/19/17
(13) 1000 RIO TINTO PLC	P	09/09/14	09/27/17
(14) 4521 STAR GAS PARTNERS LP	P	12/10/17	04/20/17
(15) 479 STAR GAS PARTNERS LP	P	12/10/07	04/20/17

(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)
(1) 140,138		110,217	29,921
(2) 83,388		73,210	10,178
(3) 46,384		30,006	16,378
(4) 71,112		81,322	-10,210
(5) 97,494		82,623	14,871
(6) 53,997		51,004	2,993
(7) 44,824		38,979	5,845
(8) 978			978
(9) 16,913		16,680	233
(10) 10,808		47,742	-36,934
(11) 34,887		44,945	-10,058
(12) 44,715		68,107	-23,392
(13) 46,879		52,280	-5,401
(14) 41,147		20,171	20,976
(15) 4,395		2,137	2,258

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	
(1)			29,921
(2)			10,178
(3)			16,378
(4)			-10,210
(5)			14,871
(6)			2,993
(7)			5,845
(8)			978
(9)			233
(10)			-36,934
(11)			-10,058
(12)			-23,392
(13)			-5,401
(14)			20,976
(15)			2,258

Capital Gains and Losses for Tax on Investment Income

Form **990-PF** **2017**

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

Name: **RIP VAN WINKLE FOUNDATION
DBA THE LOU GEHRIG SOCIETY**

Employer Identification Number: **14-1365186**

(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.)
(1) 5000 STAR GAS PARTNERS LP	P	12/10/07	05/02/17
(2)			
(3)			
(4)			
(5)			
(6)			
(7)			
(8)			
(9)			
(10)			
(11)			
(12)			
(13)			
(14)			
(15)			

(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)
(1) 46,542		(1) 21,744	(1) 24,798
(2)			
(3)			
(4)			
(5)			
(6)			
(7)			
(8)			
(9)			
(10)			
(11)			
(12)			
(13)			
(14)			
(15)			

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

(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	(l) Gains (Col (h) gain minus col (k), but not less than -0-) OR Losses (from col (h))
			(1) 24,798
(2)			
(3)			
(4)			
(5)			
(6)			
(7)			
(8)			
(9)			
(10)			
(11)			
(12)			
(13)			
(14)			
(15)			

Federal Statements

Statement 1 - Form 990-PF, Part I, Line 11 - Other Income

Description	Revenue per Books	Net Investment Income	Adjusted Net Income
ROYALTY INCOME	\$ 19,886	\$	\$ 19,886
TOTAL	\$ 19,886	\$ 0	\$ 19,886

Statement 2 - Form 990-PF, Part I, Line 16a - Legal Fees

Description	Total	Net Investment	Adjusted Net	Charitable Purpose
MCLAUGHLIN & STERN	\$ 20,799	\$ 20,799	\$	\$
TOTAL	\$ 20,799	\$ 20,799	\$ 0	\$ 0

Statement 3 - Form 990-PF, Part I, Line 16b - Accounting Fees

Description	Total	Net Investment	Adjusted Net	Charitable Purpose
CUSACK AND COMPANY CPAS LLC	\$ 2,470	\$ 1,235	\$	\$ 1,235
TOTAL	\$ 2,470	\$ 1,235	\$ 0	\$ 1,235

Statement 4 - Form 990-PF, Part I, Line 18 - Taxes

Description	Total	Net Investment	Adjusted Net	Charitable Purpose
FEDERAL TAX ON INVESTMENT INCOME	\$ 44	\$	\$	\$
FOREIGN TAX	2,113	1,509	\$	\$
PROPERTY TAX	1,509	1,509	\$	\$
TOTAL	\$ 3,666	\$ 1,509	\$ 0	\$ 0

0466 Rip Van Winkle Foundation
 14-1365186
 FYE: 12/31/2017

Federal Statements

Statement 5 - Form 990-PF, Part I, Line 19 - Depreciation

Date Acquired	Description	Cost Basis	Prior Year Depreciation	Method	Life	Current Year Depreciation	Net Investment Income	Adjusted Net Income
5/30/05	GOODWILL - LEGAL	\$ 14,333	\$ 11,081	S/L	15	\$ 956	\$	\$
2/28/06	GOODWILL -RIGHTS TO NAME	225,000	162,616	S/L	15	15,000		
6/12/06	GOODWILL - LEGAL	18,921	13,312	S/L	15	1,261		
6/17/09	TRADEMARK	275	136	S/L	15	18		
	TOTAL	\$ 258,529	\$ 187,145			\$ 17,235	\$ 0	\$ 0

Statement 6 - Form 990-PF, Part J, Line 23 - Other Expenses

Description	Total	Net Investment	Adjusted Net	Charitable Purpose
EXPENSES	\$	\$	\$	
DUES AND SUBSCRIPTIONS	280	140		140
FILING FEES	275	138		138
INSURANCE	2,736	1,368		1,368
INVESTMENT EXPENSES	199	199		
MEALS AND ENTERTAINMENT	27	14		14
POSTAGE	106	53		53
SUPPLIES	151	75		74
TELEPHONE	59	29		30
TRADEMARK FEES	1,150	1,150		
WEBSITE	214	107		107
TOTAL	\$ 5,197	\$ 3,273	\$ 0	\$ 1,924

0466 Rip Van Winkle Foundation

14-1365186

FYE: 12/31/2017

Federal Statements

Statement 7 - Form 990-PF, Part II, Line 10b - Corporate Stock Investments

Description	Beginning of Year	End of Year	Basis of Valuation	Fair Market Value
AXA INVESTMENTS, 720.119737 SHS	\$ 17,597	21,366	MARKET	\$ 21,366
ABB LTD SPONS ADR, 4000 SHS		107,280	MARKET	107,280
APPLE INC., 1000 SHS	115,820			
AT&T INC., 2000 SHS	85,060	77,760	MARKET	77,760
BANCO SANTANDER CENT, 10000 SHS	17,700	65,400	MARKET	65,400
DIAMOND OFFSHORE DRILLING INC., 1000		47,400	MARKET	47,400
FREEMPT-MCMORAN INC., 2500 SHS		87,250	MARKET	87,250
GENERAL ELECTRIC, 5000 SHS	71,610	71,640	MARKET	71,640
GILEAD SCIENCES INC., 1000 SHARES		47,470	MARKET	47,470
HESS CORPORATION, 1000 SHS	117,740	112,540	MARKET	112,540
MERCK & CO. INC., 2000 SHS		85,540	MARKET	85,540
MICROSOFT CORP., 1000 SHS	52,500			
NEW GOLD INC., 15000 SHS	26,000	10,000	MARKET	10,000
PARKER DRILLING CO., 10000 SHS	38,460	41,200	MARKET	41,200
RIO TINTO PLC, 1000 SHS				
SAN JUAN BASIN RTY TR, 5000 SHS	80,880			
SANOFI ADR, 2000 SHS	50,190	61,065	MARKET	61,065
SPDR EURO STOXX 50, 1500 SHS	107,600			
STAR GAS PARTNERS LP, 10000 SHS		88,460	MARKET	88,460
TAPESTRY INC. 2000 SHS		45,750	MARKET	45,750
VIRTU FINANCIAL INC., 2500 SHS				
TOTAL	\$ 781,157	\$ 970,121		\$ 970,121

Statement 8 - Form 990-PF, Part II, Line 11 - Land, Building, and Equipment Investments

Description	Beginning Net Book	End Cost / Basis	End Accumulated Depreciation	Net FMV
LAND	\$ 2,072	\$ 2,072	\$	\$ 2,072
TOTAL	\$ 2,072	\$ 2,072	\$ 0	\$ 2,072

0466 Rip Van Winkle Foundation

14-1365186

FYE: 12/31/2017

Federal Statements

Statement 9 - Form 990-PF, Part II, Line 14 - Land, Building, and Equipment

Description	Beginning Net Book	End Cost / Basis	End Accumulated Depreciation	Net FMV
GOODWILL	\$ 71,245	\$ 258,254	\$ 204,226	\$ 62,491
TRADEMARK	15,539	275	154	275
TOTAL	\$ 86,784	\$ 258,529	\$ 204,380	\$ 62,766

Federal Statements

Statement 10 - Form 990-PF, Part II, Line 15 - Other Assets

Description	Beginning of Year	End of Year	Fair Market Value
COLLECTIBLES - STATUE	\$ 10,000	\$ 10,000	\$ 10,000
TOTAL	\$ 10,000	\$ 10,000	\$ 10,000

Statement 11 - Form 990-PF, Part III, Line 3 - Other Increases

Description	Amount
UNREALIZED GAIN ON INVESTMENTS	\$ 47,994
TOTAL	\$ 47,994

Form 990-PF, Part XV, Line 1a - Managers Who Contributed Over 2% or \$5,000

Name of Manager	Amount
NONE	\$
TOTAL	\$ 0

Form 990-PF, Part XV, Line 1b - Managers Who Own 10% or More Stock

Name of Manager	Amount
NONE	\$
TOTAL	\$ 0

Statement 12 - Form 990-PF, Part XV, Line 2b - Application Format and Required Contents

Description

IN WRITING OR E-MAIL, INCLUDING CONTACT NAME,
 ORGANIZATION, CONTACT INFORMATION, PURPOSE OF THE GRANT
 AND PROJECT DESCRIPTION.

Form 990-PF, Part XV, Line 2c - Submission Deadlines

Description

LETTER OF INTENT BY APRIL 1, PROPOSAL BY JULY 1.

Federal Statements

Statement 13 - Form 990-PF, Part XV, Line 2d - Award Restrictions or Limitations

Description

PRIMARILY FOR START-UP PROJECTS, PROGRAMS THAT ENHANCE THE HEALTH STATUS OF CHILDREN, THOSE WITH CHRONIC ILLNESSES, OR THAT STIMULATE THE THINKING OF LEADERS OF THE HEALTH CARE INDUSTRY. THE FOUNDATION ONLY AWARDS GRANTS TO ORGANIZATIONS AND DOES NOT SUPPORT GENERAL OPERATIONS, ONGOING ACTIVITIES OR EXISTING DEFICITS, ENDOWMENT OR CAPITAL COSTS, CHURCHES OR OTHER RELIGIOUS ORGANIZATIONS, OR WORK FOR ACHIEVEMENTS WHICH CANNOT BE MEASURED.