

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

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

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

OMB No 1545-0052
2017
Open to Public Inspection

For calendar year 2017, or tax year beginning 10-01-2017, and ending 09-30-2018

Name of foundation THE ROSENTHAL FUND C/O CHARLES ROSENTHAL		A Employer identification number 13-3919545
Number and street (or P O box number if mail is not delivered to street address) 784 PARK AVENUE NO 19B	Room/suite	B Telephone number (see instructions) (646) 536-5120
City or town, state or province, country, and ZIP or foreign postal code NEW YORK, NY 10021		C If exemption application is pending, check here <input type="checkbox"/>
G Check all that apply: <input type="checkbox"/> Initial return <input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Final return <input type="checkbox"/> Amended return <input type="checkbox"/> Address change <input type="checkbox"/> Name change		D 1. Foreign organizations, check here <input type="checkbox"/> 2 Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/>
H Check type of organization: <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/>
I Fair market value of all assets at end of year (from Part II, col (c), line 16) ▶ \$ 15,691,588	J Accounting method: <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____ (Part I, column (d) must be on cash basis)	F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>

Part I Analysis of Revenue and Expenses <i>(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions))</i>		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc., received (attach schedule)	2,982,204			
	2 Check <input type="checkbox"/> if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments				
	4 Dividends and interest from securities	241,220	241,220		
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	1,125,198			
	b Gross sales price for all assets on line 6a	4,885,966			
	7 Capital gain net income (from Part IV, line 2)		3,130,174		
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less returns and allowances				
b Less Cost of goods sold					
c Gross profit or (loss) (attach schedule)					
11 Other income (attach schedule)	11,470	11,470			
12 Total. Add lines 1 through 11	4,360,092	3,382,864			
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc	0	0		0
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees (attach schedule)				
	b Accounting fees (attach schedule)	12,000	6,000		6,000
	c Other professional fees (attach schedule)				
	17 Interest				
	18 Taxes (attach schedule) (see instructions)	4,053	4,053		0
	19 Depreciation (attach schedule) and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses (attach schedule)	750	0		750
	24 Total operating and administrative expenses. Add lines 13 through 23	16,803	10,053		6,750
	25 Contributions, gifts, grants paid	1,057,925			1,057,925
26 Total expenses and disbursements. Add lines 24 and 25	1,074,728	10,053		1,064,675	
27 Subtract line 26 from line 12					
a Excess of revenue over expenses and disbursements	3,285,364				
b Net investment income (if negative, enter -0-)		3,372,811			
c Adjusted net income (if negative, enter -0-)					

Part II Balance Sheets Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1 Cash—non-interest-bearing	145,493	34,080	34,080
	2 Savings and temporary cash investments	2,999,692	3,051,528	3,051,528
	3 Accounts receivable ▶ _____ Less allowance for doubtful accounts ▶ _____			
	4 Pledges receivable ▶ _____ Less allowance for doubtful accounts ▶ _____			
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
	7 Other notes and loans receivable (attach schedule) ▶ _____ Less allowance for doubtful accounts ▶ _____			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10a Investments—U S and state government obligations (attach schedule)			
	b Investments—corporate stock (attach schedule)	4,913,319	8,499,510	12,605,980
	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)	200,769	0	0
	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)	8,259,273	11,585,118	15,691,588	
Liabilities	17 Accounts payable and accrued expenses			
	18 Grants payable			
	19 Deferred revenue			
	20 Loans from officers, directors, trustees, and other disqualified persons			
	21 Mortgages and other notes payable (attach schedule)			
	22 Other liabilities (describe ▶ _____)			
	23 Total liabilities (add lines 17 through 22)	0	0	
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ <input type="checkbox"/> and complete lines 24 through 26 and lines 30 and 31.			
	24 Unrestricted			
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ <input checked="" type="checkbox"/> and complete lines 27 through 31.			
	27 Capital stock, trust principal, or current funds	0	0	
	28 Paid-in or capital surplus, or land, bldg , and equipment fund	0	0	
29 Retained earnings, accumulated income, endowment, or other funds	8,259,273	11,585,118		
30 Total net assets or fund balances (see instructions)	8,259,273	11,585,118		
31 Total liabilities and net assets/fund balances (see instructions) .	8,259,273	11,585,118		

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	8,259,273
2 Enter amount from Part I, line 27a	2	3,285,364
3 Other increases not included in line 2 (itemize) ▶ _____	3	40,481
4 Add lines 1, 2, and 3	4	11,585,118
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	11,585,118

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo, day, yr)	(d) Date sold (mo, day, yr)
1a See Additional Data Table			
b			
c			
d			
e			

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a See Additional Data Table			
b			
c			
d			
e			

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	
a See Additional Data Table			
b			
c			
d			
e			

2 Capital gain net income or (net capital loss)	2	3,130,174
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	

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

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

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

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2016	312,310	12,242,645	0.025510
2015	776,525	11,970,520	0.064870
2014	787,175	12,013,943	0.065522
2013	1,145,377	10,456,437	0.109538
2012	408,023	8,467,431	0.048187

2 Total of line 1, column (d)	2	0.313627
3 Average distribution ratio for the 5-year base period—divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years	3	0.062725
4 Enter the net value of noncharitable-use assets for 2017 from Part X, line 5	4	13,373,984
5 Multiply line 4 by line 3	5	838,883
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	33,728
7 Add lines 5 and 6	7	872,611
8 Enter qualifying distributions from Part XII, line 4	8	1,064,675

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)

Table with 11 rows for excise tax calculations. Includes sub-tables for 6a-6d (Credits/Payments) and 7-11 (Total credits and tax due). Values include 33,728, 0, 93,710, 59,982, and 93,710.

Part VII-A Statements Regarding Activities

Table with 10 rows for activity statements. Columns include question number, 'Yes', and 'No'. Questions cover political influence, expenditures, and reporting requirements.

Part VII-A Statements Regarding Activities (continued)

Table with 3 columns: Question, Yes, No. Rows 11-13 regarding controlled entities, donor advised funds, and public inspection requirements.

14 The books are in care of WOLF MARYLES ASSOCIATES LLC Telephone no (646) 536-5120

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

15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here and enter the amount of tax-exempt interest received or accrued during the year 15

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 instructions for exceptions and filing requirements for FinCEN Form 114, Report of Foreign Bank and Financial Accounts (FBAR) If "Yes", enter the name of the foreign country

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

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

Main table for Part VII-B with columns for questions and Yes/No responses. Rows include 1a (1-6) regarding disqualified persons, 1b (1c) regarding disaster assistance, 2 (a-c) regarding undistributed income, 3a (b) regarding business holdings, and 4a (b) regarding jeopardy investments.

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))?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
	(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
	(3) Provide a grant to an individual for travel, study, or other similar purposes?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
	(4) Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? (see instructions).	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> 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?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> 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. ▶			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? <i>If "Yes," attach the statement required by Regulations section 53.4945–5(d)</i>	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
6a	Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
b	Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? <i>If "Yes" to 6b, file Form 8870</i>			6b
7a	At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
b	If yes, did the foundation receive any proceeds or have any net income attributable to the transaction?			7b

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

Part VIII

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

Table with 5 columns: (a) Name and address, (b) Title and average hours per week, (c) Compensation, (d) Contributions to employee benefit plans, (e) Expense account. Includes entries for CHARLES ROSENTHAL, EVA ROSENTHAL, and NICOLE HARTNETT.

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

Table with 5 columns: (a) Name and address of each employee paid more than \$50,000, (b) Title and average hours per week, (c) Compensation, (d) Contributions to employee benefit plans, (e) Expense account. All entries are NONE.

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

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

Table with 3 columns: (a) Name and address of each person paid more than \$50,000, (b) Type of service, (c) Compensation. All entries are NONE.

Total number of others receiving over \$50,000 for professional services. 0

Part IX-A Summary of Direct Charitable Activities

Table with 2 columns: Description of activities and Expenses. Includes instructions to list the four largest direct charitable activities.

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

Table with 2 columns: Description of investments and Amount. Includes instructions to describe the two largest program-related investments.

Total. Add lines 1 through 3. 0

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes		
a	Average monthly fair market value of securities.	1a	10,343,253
b	Average of monthly cash balances.	1b	3,075,071
c	Fair market value of all other assets (see instructions).	1c	159,325
d	Total (add lines 1a, b, and c).	1d	13,577,649
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	13,577,649
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	203,665
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4.	5	13,373,984
6	Minimum investment return. Enter 5% of line 5.	6	668,699

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	668,699
2a	Tax on investment income for 2017 from Part VI, line 5.	2a	33,728
b	Income tax for 2017 (This does not include the tax from Part VI).	2b	
c	Add lines 2a and 2b.	2c	33,728
3	Distributable amount before adjustments. Subtract line 2c from line 1.	3	634,971
4	Recoveries of amounts treated as qualifying distributions.	4	0
5	Add lines 3 and 4.	5	634,971
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	634,971

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	1,064,675
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	1,064,675
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	33,728
6	Adjusted qualifying distributions. Subtract line 5 from line 4.	6	1,030,947

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				634,971
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.				
b From 2013.	630,677			
c From 2014.	214,266			
d From 2015.	205,437			
e From 2016.				
f Total of lines 3a through e.	1,050,380			
4 Qualifying distributions for 2017 from Part XII, line 4 ▶ \$ <u>1,064,675</u>				
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.				634,971
e Remaining amount distributed out of corpus	429,704			
5 Excess distributions carryover applied to 2017 (If an amount appears in column (d), the same amount must be shown in column (a))				0
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	1,480,084			
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).	0			
9 Excess distributions carryover to 2018. Subtract lines 7 and 8 from line 6a	1,480,084			
10 Analysis of line 9				
a Excess from 2013.	630,677			
b Excess from 2014.	214,266			
c Excess from 2015.	205,437			
d Excess from 2016.				
e Excess from 2017.	429,704			

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 organization is a private operating foundation described in section 4942(j)(3) or 4942(j)(5)

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

	Tax year	Prior 3 years			(e) Total
	(a) 2017	(b) 2016	(c) 2015	(d) 2014	
b 85% of line 2a					
c Qualifying distributions from Part XII, line 4 for each year listed					
d Amounts included in line 2c not used directly for active conduct of exempt activities					
e Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c					

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

a "Assets" alternative test—enter

(1) Value of all assets

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

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

c "Support" alternative test—enter

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

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

(3) Largest amount of support from an exempt organization

(4) Gross investment income

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

1 Information Regarding Foundation Managers:

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

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

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

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

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

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

c Any submission deadlines

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

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i> See Additional Data Table				
Total			▶ 3a	1,057,925
b <i>Approved for future payment</i>				
Total			▶ 3b	0

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

List and describe the kind(s) of property sold (e.g., real estate, (a) 2-story brick warehouse, or common stock, 200 shs MLC Co)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo , day, yr)	(d) Date sold (mo , day, yr)
7,400 SH AMERICAN INTL GROUP INC	D	2012-08-09	2018-03-20
4,500 SH AMERICAN INTL GROUP INC	D	2012-08-14	2018-03-20
5,000 SH AMERICAN INTL GROUP INC	D	2012-08-07	2018-03-20
2,000 SH AMERICAN INTL GROUP INC	D	2012-08-09	2018-03-20
1,600 SH AMERICAN INTL GROUP INC	D	2012-08-10	2018-03-20
1,000 SH AMERICAN INTL GROUP INC	D	2012-08-09	2018-03-20
5,000 SH AMERICAN INTL GROUP INC	D	2012-08-09	2018-03-20
2,600 SH AMERICAN INTL GROUP INC	P	2012-08-10	2018-03-20
5,000 SH RECKITT BENCKISER GR SHS	P	2000-01-06	2017-11-02
2,600 SH RECKITT BENCKISER GR SHS	P	2000-01-06	2017-11-02

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
410,284		238,742	171,542
249,497		153,000	96,497
277,219		161,617	115,602
110,888		64,585	46,303
110,888		64,756	46,132
88,710		51,620	37,090
55,444		32,263	23,181
277,219		161,778	115,441
222,869		25,987	196,882
428,595		49,976	378,619

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			171,542
			96,497
			115,602
			46,303
			46,132
			37,090
			23,181
			115,441
			196,882
			378,619

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

List and describe the kind(s) of property sold (e.g., real estate, (a) 2-story brick warehouse, or common stock, 200 shs MLC Co.)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo, day, yr)	(d) Date sold (mo, day, yr)
5,000 SH RECKITT BENCKISER GR SHS	D	2000-01-06	2017-11-02
7,400 SH RECKITT BENCKISER GR SHS	D	2000-01-06	2018-03-21
1,000 SH RECKITT BENCKISER GR SHS	D	2000-10-27	2018-03-21
4,600 SH ACCENTURE PLC CLASS A	P	2008-07-30	2017-10-31
7,500 SH BROOKFIELD ASSET MGT CLASS A	D	2004-02-12	2018-03-20
4,350 SH BROOKFIELD ASSET MGT CLASS A	D	2004-02-12	2018-03-20
1,500 SH BROOKFIELD ASSET MGT CLASS A	P	2006-05-05	2018-03-20
7,500 SH BROOKFIELD INFR PRTR LTD PARTNERSHIP UNT	P	2014-09-15	2018-04-19
2,000 SH NEWELL RUBBERMAID IN	P	2016-07-26	2017-11-16

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
634,321		73,964	560,357
79,191		9,995	69,196
395,954		64,599	331,355
655,349		190,702	464,647
295,461		51,436	244,025
171,367		29,824	141,543
59,092		28,422	30,670
307,521		203,461	104,060
56,097		99,065	-42,968

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			560,357
			69,196
			331,355
			464,647
			244,025
			141,543
			30,670
			104,060
			-42,968

Form 990PF Part XV Line 1a - List any managers of the foundation who have contributed more than 2% of the total contributions received by the foundation before the close of any tax year (but only if they have contributed more than \$5,000).

CHARLES ROSENTHAL

EVA ROSENTHAL

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
92ND STREET Y (YOUNG MENS & YOUNG WOMENS HEBREW ASSOCIATION) 1395 LEXINGTON AVE NEW YORK, NY 10128				500
ALZHEIMER'S DRUG DISCOVERY FOUNDATION 57 W 57TH STREET SUITE 904 NEW YORK, NY 10019				1,000
WNPR (CONNECTICUT PUBLIC BROADCASTING INC) 1049 ASYLUM AVE HARTFORD, CT 06105				500
Total 3a				1,057,925

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
BROOKLYN FRIENDS SCHOOL 375 PEARL STREET BROOKLYN, NY 11201			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	3,750
WNET825 EIGHTH AVENUE NEW YORK, NY 10019			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	1,500
ROUND TABLE OF CULTURAL SEMINARS LTD 45 EAST 78TH STREET 5TH FLOOR NEW YORK, NY 10075			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	950
Total ► 3a				1,057,925

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
ROUND TABLE OF CULTURAL SEMINARS LTD 45 EAST 78TH STREET 5TH FLOOR NEW YORK, NY 10075			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	225
ROUND TABLE OF CULTURAL SEMINARS LTD 45 EAST 78TH STREET 5TH FLOOR NEW YORK, NY 10075			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	475
ORCHESTRA OF ST LUKES 450 WEST 37TH STREET SUITE 502 NEW YORK, NY 10018			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	3,000
Total 3a				1,057,925

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
NEW YORK PUBLIC RADIO 160 VARICK STREET NEW YORK, NY 10013			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	1,200
LENOX HILL HOSPITAL 100 EAST 77TH STREET NEW YORK, NY 10075			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	250
CARNEGIE HALL SOCIETY INC 881 7TH AVENUE NEW YORK, NY 10019			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	5,000
Total ▶ 3a				1,057,925

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
LINCOLN CENTER (FRIENDS OF MOSTLY MOZART) 70 LINCOLN CENTER PLAZA NEW YORK, NY 10023			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	500
FUND FOR PARK AVENUE NEW YORK INC 445 PARK AVENUE 9TH FLOOR NEW YORK, NY 10022			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	250
CONGREGATION EMANU-EL OF THE CITY OF NEW YORK 1 EAST 65TH STREET NEW YORK, NY 10065			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	3,700
Total 3a			▶	1,057,925

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
BRIDGEHAMPTON CHAMBER MUSIC ASSOCIATES INC 850 7TH AVENUE SUITE 700 NEW YORK, NY 10019			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	3,000
DECODA INCPO BOX 3252 NEW YORK, NY 10163			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	250
THE METROPOLITAN MUSEUM OF ART 1000 5TH AVENUE NEW YORK, NY 10028			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	1,000
Total ▶ 3a				1,057,925

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
MIGHTY MUTTS INC 430 EAST 9TH STREET NEW YORK, NY 10009			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	250
NEUE GALERIE NEW YORK 1048 5TH AVENUE NEW YORK, NY 10028			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	1,000
HOSPITAL FOR SPECIAL SURGERY 535 EAST 70TH STREET NEW YORK, NY 10021			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	500
Total ▶ 3a				1,057,925

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
HOSPITAL FOR SPECIAL SURGERY 535 EAST 70TH STREET NEW YORK, NY 10021			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	500
COLUMBIA UNIVERSITY 116 TH STREET AND BROADWAY NEW YORK, NY 10027			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	1,000
JCC MANHATTAN 334 AMSTREDAM AVENUE NEW YORK, NY 10023			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	500
Total ▶ 3a				1,057,925

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
THE JULLIARD SCHOOL 60 LINCOLN CENTER PLAZA NEW YORK, NY 10023			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	65,000
SOLOMON R GUGGENHEIM FOUNDATION 1071 5TH AVENUE NEW YORK, NY 10128			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	125
THE BRAIN TUMOR CHARITY 61-65 VICTORIA ROAD FARNBOROUGH HAMPSHIRE UK			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	1,000
Total 3a				1,057,925

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
CHECKERBOARD FILM FOUNDATION 1 EAST 53RD STREET 14TH FL NEW YORK, NY 10022				500
SAG HARBOR PARTNERSHIPPO BOX 182 SAG HARBOR, NY 11963				1,000
PHYSICIANS FOR REPRODUCTIVE HEALTH INC 1430 BROADWAY SUITE 1614 NEW YORK, NY 10018				250
Total ► 3a				1,057,925

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
THE HUMANE SOCIETY OF NEW YORK 306 E59 TH STREET NEW YORK, NY 10022			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	250
CENTRAL PARK CONSERVANCY 14 E60TH STREET NEW YORK, NY 10022			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	250
EMILY'S LIST 1800 M ST NW WASHINGTON, DC 20036			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	250
Total ▶ 3a				1,057,925

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
THE CUNY GRADUATE CENTER FOUNDATION INC 365 5TH AVENUE NEW YORK, NY 10016			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	1,000
BROWN UNIVERSITY J WALTER WILSON BUILDING 69 BROWN STREET PROVIDENCE, RI 02912			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	750,000
CARNEGIE HALL CO881 7TH AVENUE NEW YORK, NY 10019			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	200,000
Total 3a				1,057,925

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
CHINATAI FOUNDATION 1 CAVALRY ROW MARFA, TX 79843			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	5,000
IYENGAR YOGA ASSOCIATION 150 W 22ND STREET NEW YORK, NY 10011			TO AID THE DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTIONS	2,500
Total ▶ 3a				1,057,925

TY 2017 Accounting Fees Schedule

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

Accounting Fees Schedule

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
WOLF MARYLES & ASSOCIATES, LLC	12,000	6,000		6,000

TY 2017 Investments Corporate Stock Schedule

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

Name of Stock	End of Year Book Value	End of Year Fair Market Value
MARKETABLE SECURITIES	8,499,510	12,605,980

TY 2017 Other Expenses Schedule

Name: THE ROSENTHAL FUND
C/O CHARLES ROSENTHAL

EIN: 13-3919545

Other Expenses Schedule

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
NYS FILING FEE	750	0		750

TY 2017 Other Income Schedule

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

Other Income Schedule

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
BROOKFIELD INFRASTRUCTURE PARTNERS, LP	11,470	11,470	11,470

TY 2017 Other Increases Schedule

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

Description	Amount
UNREALIZED APPRECIATION	39,481
PRIOR PERIOD ADJUSTMENT	1,000

TY 2017 Taxes Schedule

Name: THE ROSENTHAL FUND
C/O CHARLES ROSENTHAL

EIN: 13-3919545

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FOREIGN TAX WITHHELD - FIRST MANHATTAN	4,053	4,053		0
	0	0		0

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

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

OMB No 1545-0047
2017

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

Employer identification number
13-3919545

Organization type (check one)

Filers of:

Section:

Form 990 or 990-EZ

- 501(c)() (enter number) organization
- 4947(a)(1) nonexempt charitable trust **not** treated as a private foundation
- 527 political organization

Form 990-PF

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

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

General Rule

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

Special Rules

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

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

Name of organization THE ROSENTHAL FUND C/O CHARLES ROSENTHAL	Employer identification number 13-3919545
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Part I **Contributors** (See instructions) Use duplicate copies of Part I if additional space is needed

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	CHARLES ROSENTHAL 784 PARK AVENUE APT 19B _____ NEW YORK, NY 10021	\$ 2,229,908	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input checked="" type="checkbox"/> (Complete Part II for noncash contributions)
2	CHARLES ROSENTHAL 784 PARK AVENUE APT 19B _____ NEW YORK, NY 10021	\$ 325,200	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input checked="" type="checkbox"/> (Complete Part II for noncash contributions)
3	CHARLES ROSENTHAL 784 PARK AVENUE APT 19B _____ NEW YORK, NY 10021	\$ 238,480	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input checked="" type="checkbox"/> (Complete Part II for noncash contributions)
4	CHARLES ROSENTHAL 784 PARK AVENUE APT 19B _____ NEW YORK, NY 10021	\$ 188,616	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input checked="" type="checkbox"/> (Complete Part II for noncash contributions)
-	_____ _____ _____	\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
-	_____ _____ _____	\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)

Name of organization THE ROSENTHAL FUND C/O CHARLES ROSENTHAL	Employer identification number 13-3919545
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Part II	Noncash Property (See instructions) Use duplicate copies of Part II if additional space is needed
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(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions)	(d) Date received
1	34,500 AMERICAN INTERNATIONAL GROUP	\$ 2,229,908	2018-01-29
2	7,500 SHARES BROOKFIELD ASSET MANAGEMENT INC	\$ 325,200	2017-12-20
3	5,500 SHARES OF BROOKFIELD ASSET MANAGEMENT INC	\$ 238,480	2017-12-20
4	4,350 SHARES BROOKFIELD ASSET MANAGEMENT INC	\$ 188,616	2017-12-20
		\$	
		\$	

Name of organization THE ROSENTHAL FUND C/O CHARLES ROSENTHAL	Employer identification number 13-3919545
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Part III Exclusively religious, charitable, etc., contributions to organizations described in section 501(c)(7), (8), or (10) that total more than \$1,000 for the year from any one contributor. Complete columns (a) through (e) and the following line entry. For organizations completing Part III, enter the total of exclusively religious, charitable, etc., contributions of \$1,000 or less for the year. (Enter this information once. See instructions.) ▶ \$ _____
 Use duplicate copies of Part III if additional space is needed

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

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

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

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

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

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

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

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