

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](http://www.irs.gov/Form990PF) for instructions and the latest information.

OMB No 1545-0052

**2018**

Open to Public Inspection

For calendar year 2018 or tax year beginning

, and ending

Name of foundation <b>SUSAN AND ELIHU ROSE FOUNDATION, INC.</b>		A Employer identification number <b>13-3484181</b>
Number and street (or P.O. box number if mail is not delivered to street address) <b>777 THIRD AVENUE, 6TH FLOOR</b>	Room/suite	B Telephone number <b>212 210-6666</b>
City or town, state or province, country, and ZIP or foreign postal code <b>NEW YORK, NY 10017-1307</b>		C If exemption application is pending, check here <input type="checkbox"/> <b>6</b>
G Check all that apply. <input type="checkbox"/> Initial return <input type="checkbox"/> Final return <input type="checkbox"/> Address change <input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Amended return <input type="checkbox"/> Name change		D 1. Foreign organizations, check here <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/>
H Check type of organization: <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation <b>04</b>		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) <b>\$ 9,092,994.</b>	J Accounting method: <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____	F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a))		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
1 Contributions, gifts, grants, etc., received		250,000.		N/A	
2 Check <input type="checkbox"/> if the foundation is not required to attach Sch. B					
3 Interest on savings and temporary cash investments		2,382.	2,382.		STATEMENT 1
4 Dividends and interest from securities		341,630.	351,010.		STATEMENT 2
5a Gross rents			44,880.		
b Net rental income or (loss)					
6a Net gain or (loss) from sale of assets not on line 10		1,768,132.			
b Gross sales price for all assets on line 6a	<b>6,341,027.</b>				
7 Capital gain net income (from Part IV, line 2)			1,744,336.		
8 Net short-term capital gain	<b>GA</b>				
9 Income modifications					
10a Gross sales less returns and allowances					
b Less Cost of goods sold					
c Gross profit or (loss)					
11 Other income		0.	113,412.		STATEMENT 3
12 Total. Add lines 1 through 11		2,362,144.	2,256,020.		
13 Compensation of officers, directors, trustees, etc		0.	0.		0.
14 Other employee salaries and wages					
15 Pension plans, employee benefits					
16a Legal fees	STMT 4	6,605.	5,745.		6,605.
b Accounting fees	STMT 5	11,800.	0.		11,800.
c Other professional fees	STMT 6	73,963.	73,963.		0.
17 Interest					
18 Taxes	STMT 7	23,546.	3,593.		0.
19 Depreciation and depletion			2,314.		
20 Occupancy					
21 Travel, conferences, and meetings					
22 Printing and publications					
23 Other expenses	STMT 8	11,656.	60,303.		1,094.
24 Total operating and administrative expenses. Add lines 13 through 23		127,570.	145,918.		19,499.
25 Contributions, gifts, grants paid		5,719,759.			5,719,759.
26 Total expenses and disbursements. Add lines 24 and 25		5,847,329.	145,918.		5,739,258.
27 Subtract line 26 from line 12:					
a Excess of revenue over expenses and disbursements		-3,485,185.			
b Net investment income (if negative enter -0-)			2,110,102.		
c Adjusted net income (if negative, enter -0-)				N/A	

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Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only		Beginning of year	End of year	
				(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash - non-interest-bearing				
	2	Savings and temporary cash investments		2,225,614.	420,959.	420,959.
	3	Accounts receivable ▶				
		Less: allowance for doubtful accounts ▶				
	4	Pledges receivable ▶				
		Less: allowance for doubtful accounts ▶				
	5	Grants receivable				
	6	Receivables due from officers, directors, trustees, and other disqualified persons				
	7	Other notes and loans receivable ▶				
		Less: allowance for doubtful accounts ▶				
	8	Inventories for sale or use				
	9	Prepaid expenses and deferred charges				
	10a	Investments - U.S. and state government obligations				
	b	Investments - corporate stock STMT 9		3,921,267.	3,223,379.	3,319,533.
	c	Investments - corporate bonds STMT 10		931,673.	425,000.	367,137.
	11	Investments - land, buildings and equipment basis ▶				
	Less: accumulated depreciation ▶					
12	Investments - mortgage loans					
13	Investments - other STMT 11		1,665,659.	1,189,690.	4,985,365.	
14	Land, buildings, and equipment basis ▶					
	Less: accumulated depreciation ▶					
15	Other assets (describe ▶)					
16	Total assets (to be completed by all filers - see the instructions. Also, see page 1, item I)		8,744,213.	5,259,028.	9,092,994.	
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				
	22	Other liabilities (describe ▶)				
23	Total liabilities (add lines 17 through 22)		0.	0.		
Net Assets or Fund Balances	24	Foundations that follow SFAS 117, check here ▶ <input checked="" type="checkbox"/> and complete lines 24 through 26, and lines 30 and 31.		8,744,213.	5,259,028.	
	25	Unrestricted				
	26	Temporarily restricted				
	26	Permanently restricted				
		Foundations that do not follow SFAS 117, check here ▶ <input type="checkbox"/> and complete lines 27 through 31.				
	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		8,744,213.	5,259,028.	
	31	Total liabilities and net assets/fund balances		8,744,213.	5,259,028.	

## 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	8,744,213.
2	Enter amount from Part I, line 27a	2	-3,485,185.
3	Other increases not included in line 2 (itemize) ▶	3	0.
4	Add lines 1, 2, and 3	4	5,259,028.
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	5,259,028.

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**Part IV Capital Gains and Losses for Tax on Investment Income** SEE ATTACHED STATEMENT

(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			
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	6,341,027.	5,838,092.	1,744,336.

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

(i) FMV as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
a			
b			
c			
d			
e			1,744,336.

2 Capital gain net income or (net capital loss)	{ If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 }	2	1,744,336.
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter -0- in Part I, line 8	{ }	3	N/A

**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))
2017	5,119,507.	15,996,434.	.320041
2016	5,098,592.	16,656,446.	.306103
2015	2,811,767.	18,704,089.	.150329
2014	4,283,511.	19,321,136.	.221701
2013	9,518,858.	2,151,274.	4.424754

2 Total of line 1, column (d)	2	5.422928
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	1.084586
4 Enter the net value of noncharitable-use assets for 2018 from Part X, line 5	4	11,446,105.
5 Multiply line 4 by line 3	5	12,414,285.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	21,101.
7 Add lines 5 and 6	7	12,435,386.
8 Enter qualifying distributions from Part XII, line 4	8	5,739,258.

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

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

1a Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1. Date of ruling or determination letter _____ (attach copy of letter if necessary-see instructions)		
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input type="checkbox"/> and enter 1% of Part I, line 27b		1 42,202.
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 42,202.
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 42,202.
6 Credits/Payments:		
a 2018 estimated tax payments and 2017 overpayment credited to 2018	6a 52,482.	
b Exempt foreign organizations - tax withheld at source	6b 0.	
c Tax paid with application for extension of time to file (Form 8868)	6c 50,000.	
d Backup withholding erroneously withheld	6d 0.	
7 Total credits and payments. Add lines 6a through 6d	7 102,482.	
8 Enter any penalty for underpayment of estimated tax. Check here <input checked="" type="checkbox"/> if Form 2220 is attached	8 0.	
9 Tax due If the total of lines 5 and 8 is more than line 7, enter amount owed	9	
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10 60,280.	
11 Enter the amount of line 10 to be Credited to 2019 estimated tax <input type="checkbox"/> Refunded <input type="checkbox"/>	11 0.	

**Part VII-A Statements Regarding Activities**

	Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		X
1b 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
1c Did the foundation file Form 1120-POL for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. <input type="checkbox"/> \$ 0. (2) On foundation managers. <input type="checkbox"/> \$ 0.		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. <input type="checkbox"/> \$ 0.		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? If "Yes," attach a detailed description of the activities.		X
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes		X
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		X
b If "Yes," has it filed a tax return on Form 990-T for this year?		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by General Instruction T		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	X	
7 Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col. (c), and Part XV	X	
8a Enter the states to which the foundation reports or with which it is registered. See instructions. <input type="checkbox"/> DE, 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 2018 or the tax year beginning in 2018? 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

N/A

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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?	X	
Website address <b>▶ NONE</b>		
14 The books are in care of <b>▶ MICHAEL SCHINDLER</b> Telephone no. <b>▶ 212 210-6666</b>		
Located at <b>▶ 777 THIRD AVENUE, 6TH FLOOR, NEW YORK, NY</b> ZIP+4 <b>▶ 10017-1307</b>		
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	<b>▶ 15 N/A</b>	
16 At any time during calendar year 2018, 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?	Yes	No
See the instructions for exceptions and filing requirements for FinCEN Form 114. If "Yes," enter the name of the foreign country <b>▶</b>	16	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 checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?	<input checked="" type="checkbox"/> Yes <input 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		X
Organizations relying on a current notice regarding disaster assistance, check here <b>▶</b>		
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 2018?		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 2018, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2018?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
If "Yes," list the years <b>▶</b>		
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.)	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.		
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 2018 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 2018.)	N/A	
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 2018?		X

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

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

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No

b If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance? See instructions

N/A

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

☒

c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?

N/A

☐ Yes ☐ No

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

6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?

☐ Yes ☒ No

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

6b

X

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

7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?

☐ Yes ☒ No

b If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction?

N/A

7b

8 Is the foundation subject to the section 4960 tax on payment(s) of more than \$1,000,000 in remuneration or excess parachute payment(s) during the year?

☐ Yes ☒ No**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.

(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
ELIHU ROSE 777 THIRD AVENUE, 6TH FLOOR NEW YORK, NY 10017-1307	PRESIDENT/ SECRETARY/DIRECT 2.00	0.	0.	0.
SUSAN W. ROSE 777 THIRD AVENUE, 6TH FLOOR NEW YORK, NY 10017-1307	TREASURER/DIRECTOR 2.00	0.	0.	0.

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

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

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

0

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
a	Average monthly fair market value of securities	1a	8,105,064.
b	Average of monthly cash balances	1b	898,609.
c	Fair market value of all other assets	1c	2,616,738.
d	Total (add lines 1a, b, and c)	1d	11,620,411.
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	11,620,411.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	174,306.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	11,446,105.
6	Minimum investment return. Enter 5% of line 5	6	572,305.

**Part XI Distributable Amount** (see instructions) (Section 4942(i)(3) and (i)(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	572,305.
2a	Tax on investment income for 2018 from Part VI, line 5	2a	42,202.
b	Income tax for 2018. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	42,202.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	530,103.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	530,103.
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	530,103.

**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	5,739,258.
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	5,739,258.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b	5	0.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	5,739,258.

**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.

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**Part XIII** Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2017	(c) 2017	(d) 2018
1 Distributable amount for 2018 from Part XI, line 7				530,103.
2 Undistributed income, if any, as of the end of 2018				
a Enter amount for 2017 only			0.	
b Total for prior years		0.		
3 Excess distributions carryover, if any, to 2018:				
a From 2013	9,397,276.			
b From 2014	3,382,513.			
c From 2015	1,912,226.			
d From 2016	4,331,931.			
e From 2017	4,426,701.			
f Total of lines 3a through e	23,450,647.			
4 Qualifying distributions for 2018 from Part XII, line 4 ▶ \$ 5,739,258.				
a Applied to 2017, 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 2018 distributable amount				530,103.
e Remaining amount distributed out of corpus	5,209,155.			
5 Excess distributions carryover applied to 2018 (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	28,659,802.			
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 2017. Subtract line 4a from line 2a. Taxable amount - see instr.			0.	
f Undistributed income for 2018. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2019				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 2013 not applied on line 5 or line 7	9,397,276.			
9 Excess distributions carryover to 2019. Subtract lines 7 and 8 from line 6a	19,262,526.			
10 Analysis of line 9				
a Excess from 2014	3,382,513.			
b Excess from 2015	1,912,226.			
c Excess from 2016	4,331,931.			
d Excess from 2017	4,426,701.			
e Excess from 2018	5,209,155.			

**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 2018, 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)

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).)

**SEE STATEMENT 12**

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.

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 Paid during the year				
92ND STREET Y 1395 LEXINGTON AVENUE NEW YORK, NY 10128	N/A	PC	GENERAL OPERATING SUPPORT	3,300.
ACKERMAN INSTITUTE FOR THE FAMILY 936 BROADWAY NEW YORK, NY 10010	N/A	PC	GENERAL OPERATING SUPPORT	10,000.
AMERICAN ACADEMY OF ARTS AND SCIENCES 136 IRVING STREET CAMBRIDGE, MA 02138	N/A	PC	GENERAL OPERATING SUPPORT	325.
AMERICAN FRIENDS OF ISRAELI NAVYSEAL INC. 138 WEST 133RD STREET, SUITE 99 NEW YORK, NY 10030	N/A	PC	GENERAL OPERATING SUPPORT	1,500.
AMERICAN FRIENDS OF THE PARIS OPERA AND BALLET 972 5TH AVENUE NEW YORK, NY 10075	N/A	PC	GENERAL OPERATING SUPPORT	1,000.
Total SEE CONTINUATION SHEET(S) ▶ 3a				5,719,759.
b Approved for future payment				
AMERICAN JEWISH HISTORICAL SOCIETY 15.WEST 16TH STREET - 5TH FLOOR NEW YORK, NY 10011	N/A	PC	SUPPORT FOR ARCHIVES	100,000.
CARNEGIE HALL 881 SEVENTH AVE NEW YORK, NY 10019	N/A	PC	CONCERT PLAYBILL PROJECT	150,000.
HOSPITAL FOR SPECIAL SURGERY 535 E. 70TH ST. NEW YORK 10021	N/A	PC	SUSAN W. ROSE AND JONATHAN T. DELAND CHAIR FOR RESEARCH IN FOOT AND ANKLE SURGERY	420,000.
Total SEE CONTINUATION SHEET(S) ▶ 3b				2,640,000.

Form 990-PF (2018)



## Part XVII

**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)(3) (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?  |       | Yes | No |
|---|-------|-----|----|
| <b>a</b> Transfers from the reporting foundation to a noncharitable exempt organization of:   |       |     |    |
| (1) Cash  | 1a(1) |     | X  |
| (2) Other assets  | 1a(2) |     | X  |
| <b>b</b> Other transactions:  |       |     |    |
| (1) Sales of assets to a noncharitable exempt organization  | 1b(1) |     | X  |
| (2) Purchases of assets from a noncharitable exempt organization  | 1b(2) |     | X  |
| (3) Rental of facilities, equipment, or other assets  | 1b(3) |     | X  |
| (4) Reimbursement arrangements  | 1b(4) |     | X  |
| (5) Loans or loan guarantees  | 1b(5) |     | X  |
| (6) Performance of services or membership or fundraising solicitations  | 1b(6) |     | X  |
| <b>c</b> Sharing of facilities, equipment, mailing lists, other assets, or paid employees   | 1c    |     | X  |
| <b>d</b> If the answer to any of the above is "Yes," complete the following schedule. Column <b>(b)</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 <b>(d)</b> 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) (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 \_\_\_\_\_

Title

PRESIDENT

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

☒ Yes ☐ No

**Paid  
Preparer  
Use Only**

Print/Type preparer's name

JOSEPH L. ALI, CPA

Preparer's signature

Page 1 of 2

Date \_\_\_\_\_

11/8/19

Check ☐ self-employed

PTIN
------

P02093808

Firm's name ▶ PKF O'CONNOR DAVIES, LLP

Firm's EIN ▶ 27-1728945

Firm's address ► 665 FIFTH AVENUE  
NEW YORK, NY 10022-5342

Phone no. 212 286-2600

**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	PUBLICLY TRADED SECURITIES	P	VARIOUS	VARIOUS
b	INSTITUTIONAL DIVERSIFIED ARBITRAGE STRATEGIES	P	VARIOUS	VARIOUS
c	INSTITUTIONAL INVESTMENT FUND LTD.	P	VARIOUS	VARIOUS
d	MILLENIU INTERNATIONAL LTD.	P	VARIOUS	VARIOUS
e	THRU SCHEDULE K-1S	P	VARIOUS	VARIOUS
f	CAPITAL GAINS DIVIDENDS			
g				
h				
i				
j				
k				
l				
m				
n				
o				

(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 6,341,012.		5,838,092.	502,920.
b			54,340.
c			37,130.
d			1,165,778.
e			-15,847.
f 15.			15.
g			
h			
i			
j			
k			
l			
m			
n			
o			

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) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			502,920.
b			54,340.
c			37,130.
d			1,165,778.
e			-15,847.
f			15.
g			
h			
i			
j			
k			
l			
m			
n			
o			

2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 If (loss), enter "-0-" in Part I, line 7 }	2	1,744,336.
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter "-0-" in Part I, line 8 }	3	N/A

**Part XV** Supplementary Information**3 Grants and Contributions Paid During the Year (Continuation)**

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
AMERICAN FRIENDS OF THE SALZBURG EASTER FESTIVAL C/O ROTHSCHILD, 455 E 86TH STREET, NO. 7D NEW YORK, NY 10028	N/A	PC	GENERAL OPERATING SUPPORT	5,000.
AMERICAN JEWISH HISTORICAL SOCIETY 15 WEST 16TH STREET - 5TH FLOOR NEW YORK, NY 10011	N/A	PC	SUPPORT FOR ARCHIVES	150,000.
AMERICAN MUSEUM OF NATURAL HISTORY CENTRAL PARK WEST AT 79TH STREET NEW YORK, NY 10024	N/A	PC	GENERAL OPERATING SUPPORT	1,750.
ARMY WAR COLLEGE FOUNDATION 125 FORBES AVENUE CARLISLE, PA 17013	N/A	PC	GENERAL OPERATING SUPPORT	10,000.
AUBURN THEOLOGICAL SEMINARY 475 RIVERSIDE DRIVE, SUITE 1800 NEW YORK, NY 10115	N/A	PC	GENERAL OPERATING SUPPORT	4,000.
BUSINESS EXECUTIVES FOR NATIONAL SECURITY 1030 15TH ST NW, STE 200 E WASHINGTON, DC 20005	N/A	PC	GENERAL OPERATING SUPPORT	25,000.
CARAMOOR CENTER FOR MUSIC AND THE ARTS, INC. 149 GIRDLE RIDGE ROAD KATONAH, NY 10536	N/A	PC	GENERAL OPERATING SUPPORT	3,000.
CARNEGIE HALL 881 SEVENTH AVE NEW YORK, NY 10019	N/A	PC	CONCERT PLAYBILL PROJECT	150,000.
CARNEGIE HALL 881 SEVENTH AVE NEW YORK, NY 10019	N/A	PC	GENERAL OPERATING SUPPORT	74,144.
CARNEGIE HILL NEIGHBORS INC. 1326 MADISON AVENUE NEW YORK, NY 10128	N/A	PC	GENERAL OPERATING SUPPORT	350.
Total from continuation sheets				5,703,634.

**Part XV Supplementary Information****3 Grants and Contributions Paid During the Year (Continuation)**

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
CENTRAL SYNAGOGUE 123 E 55TH ST NEW YORK, NY 10022	N/A	PC	GENERAL OPERATING SUPPORT	25,000.
CIVICS UNPLUGGED, INC. 1115 5TH AVENUE, APT 8C NEW YORK, NY 10128	N/A	PC	GENERAL OPERATING SUPPORT	25,000.
EVERY MOTHER COUNTS 180 VARICK STREET, SUITE 1116 NEW YORK, NY 10014	N/A	PC	GENERAL OPERATING SUPPORT	1,500.
FOUR FREEDOMS PARK CONSERVANCY, INC. P.O. BOX 5475 NEW YORK, NY 10185	N/A	PC	GENERAL OPERATING SUPPORT	5,000.
FRENCH HERITAGE SOCIETY, INC. 14 E 60TH STREET, SUITE 605 NEW YORK, NY 10022	N/A	PC	GENERAL OPERATING SUPPORT	5,000.
FRIENDS OF APIE, INC. 16 FAYERWEATHER STREET CAMBRIDGE, MA 02138	N/A	PC	GENERAL OPERATING SUPPORT	5,000.
FRIENDS OF NCHS 1430 K STREET, SUITE 550 WASHINGTON, DC 20005	N/A	PC	GENERAL OPERATING SUPPORT	1,500.
FRIENDS OF RIDGEFIELD COMMUNITY PROGRAMS, INC. 400 MAIN STREET RIDGEFIELD, CT 06877	N/A	PC	GENERAL OPERATING SUPPORT	5,000.
GARRISON INSTITUTE, INC. 14 MARY'S WAY, RTE 9D GARRISON, NY 10524	N/A	PC	GENERAL OPERATING SUPPORT	5,000.
HASTY PUDDING INSTITUTE OF 1770 PO BOX 381940 CAMBRIDGE, MA 02238	N/A	PC	GENERAL OPERATING SUPPORT	25,000.
Total from continuation sheets				



**Part XV Supplementary Information**

<b>3 Grants and Contributions Paid During the Year (Continuation)</b>				
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)				
HEAF 2090 ADAM CLAYTON POWELL BLVD, 10TH FL NEW YORK, NY 10027	N/A	PC	GENERAL OPERATING SUPPORT	5,000.
HORACE MANN SCHOOL 231 W 246TH ST BRONX, NY 10471	N/A	PC	GENERAL OPERATING SUPPORT	2,500.
HOSPITAL FOR SPECIAL SURGERY 535 E 70TH ST NEW YORK, NY 10021	N/A	PC	QUALITY RESEARCH CENTER	100,000.
HOSPITAL FOR SPECIAL SURGERY 535 E 70TH ST NEW YORK, NY 10021	N/A	PC	GENERAL OPERATING SUPPORT	82,500.
HOSPITAL FOR SPECIAL SURGERY 535 E 70TH ST NEW YORK, NY 10021	N/A	PC	ROSE CENTER FOR FOOT AND ANKLE RESEARCH	300,000.
HOSPITAL FOR SPECIAL SURGERY 535 E. 70TH ST. NEW YORK, NY 10021	N/A	PC	SUSAN W. ROSE AND JONATHAN T. DELAND CHAIR FOR RESEARCH IN FOOT AND ANKLE SURGERY	240,000.
HOSPITALITY COMMITTEE FOR UNITED NATIONS DELEGATIONS INC UN GENERAL ASSEMBLY BLDG, RM GA-0142 NEW YORK, NY 10017	N/A	PC	GENERAL OPERATING SUPPORT	500.
INTERNATIONAL WOMEN'S HEALTH COALITION 333 SEVENTH AVENUE, 6TH FL NEW YORK, NY 10001	N/A	PC	GENERAL OPERATING SUPPORT	2,500.
JUILLIARD SCHOOL 60 LINCOLN CENTER PLAZA NEW YORK, NY 10023	N/A	PC	ANNUAL FUND	50,000.
JUILLIARD SCHOOL 60 LINCOLN CENTER PLAZA NEW YORK, NY 10023	N/A	PC	JOSEPH POLISIS ARTIST AS CITIZEN PRESIDENT'S FUND	50,000.
Total from continuation sheets				

**Part XV** Supplementary Information**3 Grants and Contributions Paid During the Year (Continuation)**

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
JUILLIARD SCHOOL 60 LINCOLN CENTER PLAZA NEW YORK, NY 10023	N/A	PC	GRADUATE FELLOWSHIP FUND	200,000.
JUILLIARD SCHOOL 60 LINCOLN CENTER PLAZA NEW YORK, NY 10023	N/A	PC	GENERAL OPERATING SUPPORT	5,000.
KENT PRESENTS INC. PO BOX 648 KENT, CT 06757	N/A	PC	GENERAL OPERATING SUPPORT	1,000.
KING BAUDOUIN FOUNDATION UNITED STATES INC. 10 ROCKEFELLER PLAZA, 16TH FL NEW YORK, NY 10020	N/A	PC	GENERAL OPERATING SUPPORT	1,000.
LIBRARY OF AMERICA 14 E 60TH ST NEW YORK, NY 10022	N/A	PC	ENDOWMENT	100,000.
LIBRARY OF AMERICA 14 E 60TH ST NEW YORK, NY 10022	N/A	PC	GENERAL OPERATING SUPPORT	25,000.
LINCOLN CENTER THEATER 150 W 65TH STREET NEW YORK, NY 10023	N/A	PC	GENERAL OPERATING SUPPORT	15,000.
MABEL MERCER FOUNDATION 160 E 48TH ST, STE 1P NEW YORK, NY 10017	N/A	PC	GENERAL OPERATING SUPPORT	700.
MASTERSVOICES INC. (FORMERLY THE COLLEGIATE CHORALE) 115 E 57TH ST, 11TH FL NEW YORK, NY 10022	N/A	PC	GENERAL OPERATING SUPPORT	3,000.
METROPOLITAN OPERA LINCOLN CENTER NEW YORK, NY 10023	N/A	PC	GENERAL OPERATING SUPPORT	9,140.
Total from continuation sheets				

**Part XV** Supplementary Information**3 Grants and Contributions Paid During the Year (Continuation)**

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
METROPOLITAN OPERA LINCOLN CENTER NEW YORK, NY 10023	N/A	PC	PRODUCTION MACHINERY SYSTEMS	5,000.
MONTCLAIR KIMBERLEY ACADEMY FOUNDATION 201 VALLEY ROAD MONTCLAIR, NJ 07042	N/A	PC	GENERAL OPERATING SUPPORT	1,000.
MOUNT SINAI HEALTH SYSTEMS, INC. 1 GUSTAVE L LEVY PLACE NEW YORK, NY 10029	N/A	PC	GENERAL OPERATING SUPPORT	1,000.
NATIONAL PARKS OF NY HARBOR CONSERVANCY 26 WALL ST NEW YORK, NY 10005	N/A	PC	GENERAL OPERATING SUPPORT	5,000.
NEIGHBORS LINK 27 COLUMBUS AVE MOUNT KISCO, NY 10549	N/A	PC	GENERAL OPERATING SUPPORT	500.
NEUE GALERIE NEW YORK 1048 FIFTH AVENUE NEW YORK, NY 10028	N/A	PC	GENERAL OPERATING SUPPORT	500.
NEW SCHOOL 66 WEST 12TH STREET NEW YORK, NY 10011	N/A	PC	GENERAL OPERATING SUPPORT	3,750.
NEW YORK CITY CENTER 130 W 56TH ST, 9TH FL NEW YORK, NY 10019	N/A	PC	GENERAL OPERATING SUPPORT	5,000.
NEW YORK HISTORICAL SOCIETY 170 CENTRAL PARK WEST NEW YORK, NY 10024	N/A	PC	GENERAL OPERATING SUPPORT	11,000.
NEW YORK LANDMARKS CONSERVANCY 1 WHITEHALL STREET, 12TH FLOOR NEW YORK, NY 10004	N/A	PC	GENERAL OPERATING SUPPORT	1,000.
Total from continuation sheets				

**Part XV- Supplementary Information****3 Grants and Contributions Paid During the Year (Continuation)**

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
NEW YORK MILITARY AFFAIRS SYMPOSIUM PO BOX 592 NEW YORK, NY 10156	N/A	PC	GENERAL OPERATING SUPPORT	500.
NEW YORK PHILHARMONIC 10 LINCOLN CENTER PLAZA NEW YORK, NY 10023	N/A	PC	ENDOWMENT TEACHING ARTIST	500,000.
NEW YORK PHILHARMONIC 10 LINCOLN CENTER PLAZA NEW YORK, NY 10023	N/A	PC	GENERAL OPERATING SUPPORT	71,500.
NEW YORK PHILHARMONIC 10 LINCOLN CENTER PLAZA NEW YORK, NY 10023	N/A	PC	ANNUAL FUND	150,000.
NEW YORK PUBLIC RADIO DBA WNYC RADIO WQXR AND NJ PUBLIC RADIO 160 VARICK STREET NEW YORK, NY 10013	N/A	PC	GENERAL OPERATING SUPPORT	3,500.
NEW YORK UNIVERSITY 70 WASHINGTON SQUARE S NEW YORK, NY 10012	N/A	PC	GENERAL OPERATING SUPPORT	1,500.
ORCHESTRA OF ST. LUKES 330 W 42ND ST, 9TH FL NEW YORK, NY 10036	N/A	PC	GENERAL OPERATING SUPPORT	1,000.
ORIGINAL MUSIC WORKSHOP, INC. 80 NORTH 6TH STREET BROOKLYN, NY 11249	N/A	PC	GENERAL OPERATING SUPPORT	2,500.
PARK AVENUE ARMORY 643 PARK AVE NEW YORK, NY 10065	N/A	PC	VETERANS ROOM PROJECT	3,000,000.
PARK AVENUE ARMORY 643 PARK AVE NEW YORK, NY 10065	N/A	PC	ARTISTIC COUNCIL	20,000.
Total from continuation sheets				

**Part XV Supplementary Information****3 Grants and Contributions Paid During the Year (Continuation)**

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
PARK AVENUE ARMORY 643 PARK AVE NEW YORK, NY 10065	N/A	PC	GENERAL OPERATING SUPPORT	90,500.
PIONEER WORKS ART FOUNDATION 159 PIONEER STREET BROOKLYN, NY 11231	N/A	PC	GENERAL OPERATING SUPPORT	2,500.
PROJECT MORRY 350 EXECUTIVE BLVD, SUITE 125 ELMSFORD, NY 10523	N/A	PC	GENERAL OPERATING SUPPORT	5,000.
ROCKEFELLER UNIVERSITY 1230 YORK AVENUE NEW YORK, NY 10065	N/A	PC	GENERAL OPERATING SUPPORT	1,000.
SAMUEL WAXMAN CANCER RESEARCH FDN. 30 OAKLEY AVE MT. VERNON, NY 10550	N/A	PC	GENERAL OPERATING SUPPORT	11,000.
SMITHSONIAN INSTITUTION P.O. BOX 37012, MRC 035 WASHINGTON, DC 20013	N/A	PC	GENERAL OPERATING SUPPORT	14,000.
THE AMERICAN AUSTRIAN FOUNDATION, INC. 150 EAST 42ND STREET, 32ND FL NEW YORK, NY 10017	N/A	PC	MUSIC FOR MEDICINE - SALZBURG WEILL CORNELL SEMINARS	1,000.
THE BRONX FREEDOM FUND 360 E 161ST STREET BRONX, NY 10451	N/A	PC	GENERAL OPERATING SUPPORT	2,500.
THE JEWISH MUSEUM 1109 FIFTH AVENUE NEW YORK, NY 10128	N/A	PC	GENERAL OPERATING SUPPORT	10,000.
THE KNIGHTS - 1275 PROSPECT AVENUE BROOKLYN, NY 11218	N/A	PC	GENERAL OPERATING SUPPORT	8,800.
Total from continuation sheets				

**Part XV** Supplementary Information**3 Grants and Contributions Paid During the Year (Continuation)**

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
THE MARTINA ARROYO FOUNDATION, INC. 200 CENTRAL PARK SOUTH NEW YORK, NY 10019	N/A	PC	GENERAL OPERATING SUPPORT	1,000.
THE METROPOLE FILM BOARD 155 WEST 72ND STREET NEW YORK, NY 10023	N/A	PC	GENERAL OPERATING SUPPORT	5,000.
THE MORGAN LIBRARY 14 E 60TH STREET NEW YORK, NY 10022	N/A	PC	GENERAL OPERATING SUPPORT	500.
UNITED STATES FOUNDATION FOR THE COMMEMORATION OF THE WORLD WARS 701 PENNSYLVANIA AVE NW STE 123 WASHINGTON, DC 20004	N/A	PC	GENERAL OPERATING SUPPORT	10,000.
UNIVERSITY OF VICTORIA MICHAEL WILLIAMS BUILDING, 3800 FINNERTY ROAD VICTORIA, BRITISH COLUMBIA, CANADA V8P 5C2	N/A	PC	GENERAL OPERATING SUPPORT	5,000.
VISITING NURSE SERVICE OF NEW YORK 107 EAST 70TH STREET 5TH FLOOR NEW YORK, NY 10021	N/A	PC	GENERAL OPERATING SUPPORT	500.
WEILL CORNELL MEDICAL COLLEGE 407 E 61ST STREET NEW YORK, NY 10065	N/A	PC	GENERAL OPERATING SUPPORT	25,000.
WNET 825 EIGHTH AVENUE, 14TH FLOOR NEW YORK, NY 10019	N/A	PC	GENERAL OPERATING SUPPORT	2,500.
YALE ALUMNI FUND P.O. BOX 803 NEW HAVEN, CT 06503	N/A	PC	GENERAL OPERATING SUPPORT	2,000.
YOUNG CONCERT ARTISTS INC. 250 W 57TH STREET, SUITE 1222 NEW YORK, NY 10107	N/A	PC	GENERAL OPERATING SUPPORT	2,500.
Total from continuation sheets				

13-3484181

Part XV	Supplementary Information
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## 3 Grants and Contributions Approved for Future Payment (Continuation)

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)				
JUILLIARD SCHOOL 60 LINCOLN CENTER PLAZA NEW YORK, NY 10023	N/A	PC	GRADUATE FELLOWSHIP FUND	600,000.
JUILLIARD SCHOOL 60 LINCOLN CENTER PLAZA NEW YORK, NY 10023	N/A	PC	JOSEPH POLISIS ARTIST AS CITIZEN PRESIDENT'S FUND	50,000.
LIBRARY OF AMERICA 14 E 60TH ST NEW YORK 10022	N/A	PC	ENDOWMENT	300,000.
METROPOLITAN OPERA LINCOLN CENTER NEW YORK, NY 10023	N/A	PC	PRODUCTION MACHINERY SYSTEMS	20,000.
NEW YORK PHILHARMONIC 10 LINCOLN CENTER PLAZA NEW YORK 10023	N/A	PC	ENDOWMENT TEACHING ARTIST	1,000,000.
Total from continuation sheets				1,970,000.

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

- Attach to Form 990, Form 990-EZ, or Form 990-PF.  
► Go to [www.irs.gov/Form990](http://www.irs.gov/Form990) for the latest information.

OMB No 1545-0047

**2018**

Name of the organization

SUSAN AND ELIHU ROSE FOUNDATION, INC.

Employer identification number

13-3484181

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 foundationCheck 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 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 33 1/3% 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 (entering "N/A" in column (b) instead of the contributor name and address), 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 990-PF, 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	Employer identification number
SUSAN AND ELIHU ROSE FOUNDATION, INC.	13-3484181

**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	ELIHU & SUSAN ROSE 777 THIRD AVENUE, 6TH FLOOR NEW YORK, NY 10017-1307	\$ 250,000.	Person <input checked="checked" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
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		\$	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

Employer identification number

**SUSAN AND ELIHU ROSE FOUNDATION, INC.****13-3484181****Part II** **Noncash Property** (see instructions) Use duplicate copies of Part II if additional space is needed

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions.)	(d) Date received
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	

Name of organization

Employer identification number

**SUSAN AND ELIHU ROSE FOUNDATION, INC.****13-3484181****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 info once) ▶ \$

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

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

SOURCE	(A) REVENUE PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME
CHECKING ACCOUNTS	2,038.	2,038.	
MONEY MARKET ACCOUNTS	344.	344.	
TOTAL TO PART I, LINE 3	2,382.	2,382.	

## FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 2

SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
PUBLICLY TRADED SECURITIES THRU SCHEDULE K-1'S	341,645.	15.	341,630.	341,630.	
	0.	0.	0.	9,380.	
TO PART I, LINE 4	341,645.	15.	341,630.	351,010.	

## FORM 990-PF OTHER INCOME STATEMENT 3

DESCRIPTION	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
OTHER INCOME THRU SCHEDULE K-1'S	0.	96,747.	
ORDINARY BUSINESS INCOME THRU SCHEDULE K-1'S	0.	16,665.	
TOTAL TO FORM 990-PF, PART I, LINE 11	0.	113,412.	

FORM 990-PF	LEGAL FEES		STATEMENT 4	
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
GENERAL AND ADMINISTRATIVE LEGAL FEES	6,605.	0.		6,605.
LEGAL FEES THRU RENTAL PROPERTY	0.	5,745.		0.
TO FM 990-PF, PG 1, LN 16A	6,605.	5,745.		6,605.

FORM 990-PF	ACCOUNTING FEES		STATEMENT 5	
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ACCOUNTING AND RETURN PREPARATION FEES	11,800.	0.		11,800.
TO FORM 990-PF, PG 1, LN 16B	11,800.	0.		11,800.

FORM 990-PF	OTHER PROFESSIONAL FEES		STATEMENT 6	
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
INVESTMENT MANAGEMENT FEES	67,713.	67,713.		0.
INVESTMENT ADVISORS	6,250.	6,250.		0.
TO FORM 990-PF, PG 1, LN 16C	73,963.	73,963.		0.

## FORM 990-PF

## TAXES

## STATEMENT 7

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FEDERAL EXCISE TAX	20,000.	0.		0.
FOREIGN TAXES WITHHELD	3,546.	3,546.		0.
FOREIGN TAXES WITHHELD THRU SCHEDULE K-1'S	0.	47.		0.
TO FORM 990-PF, PG 1, LN 18	23,546.	3,593.		0.

## FORM 990-PF

## OTHER EXPENSES

## STATEMENT 8

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ADR FEES, AGENT CUSTODIAN FEES AND OTHER STOCK FEES	5,062.	5,062.		0.
FILING FEES	1,094.	0.		1,094.
OTHER CHARITABLE EXPENSES	5,500.	0.		0.
OTHER INVESTMENT EXPENSES THRU SCHEDULE K-1'S	0.	3,041.		0.
RENTAL PROPERTY INSURANCE	0.	599.		0.
RENTAL PROPERTY MAINTENANCE CHARGES	0.	51,575.		0.
RENTAL PROPERTY MISCELLANEOUS EXPENSES	0.	26.		0.
TO FORM 990-PF, PG 1, LN 23	11,656.	60,303.		1,094.

## FORM 990-PF

## CORPORATE STOCK

## STATEMENT 9

DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
CORPORATE STOCK - SEE ATTACHMENT A-1	2,892,211.	2,944,042.
CORPORATE STOCK - SEE ATTACHMENT A-2	80,933.	103,678.
CORPORATE STOCK - SEE ATTACHMENT A-3	86,239.	93,741.
CORPORATE STOCK - SEE ATTACHMENT A-4	83,857.	81,202.
CORPORATE STOCK - SEE ATTACHMENT A-5	80,139.	96,870.
TOTAL TO FORM 990-PF, PART II, LINE 10B	3,223,379.	3,319,533.

FORM 990-PF	CORPORATE BONDS	STATEMENT 10
DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
CORPORATE BONDS - SEE ATTACHMENT B-1	425,000.	367,137.
TOTAL TO FORM 990-PF, PART II, LINE 10C	425,000.	367,137.

FORM 990-PF	OTHER INVESTMENTS	STATEMENT 11	
DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
EXCHANGE TRADED FUNDS - SEE ATTACHMENT C-3	COST	7,731.	7,830.
FARALLON CAPITAL INSTITUTIONAL PARTNERS, LP	COST	532,978.	479,294.
GOODHUE HOUSE COMPANY	COST	354,643.	1,677,555.
GOODHUE RESIDENTIAL COMPANY	COST	1.	92,117.
MILLENNIUM INTERNATIONAL, LTD	COST	0.	1,758,713.
MUTUAL FUNDS - SEE ATTACHMENT C-1	COST	135,285.	133,993.
REAL ESTATE - 20 EAST 35TH STREET	COST	122,183.	799,000.
MUTUAL FUNDS - SEE ATTACHMENT C-2	COST	36,869.	36,863.
TOTAL TO FORM 990-PF, PART II, LINE 13		1,189,690.	4,985,365.

FORM 990-PF	PART XV - LINE 1A LIST OF FOUNDATION MANAGERS	STATEMENT 12
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## NAME OF MANAGER

ELIHU ROSE  
SUSAN W. ROSE