

CHANGE OF ACCOUNTING PERIOD
Return of Private Foundation

OMB No 1545-0052

2018

Open to Public Inspection

Form 990-PF

Department of the Treasury
Internal Revenue Service

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

For calendar year 2018 or tax year beginning JUL 1, 2018, and ending DEC 31, 2018

Name of foundation: THE ABNER ROSEN FOUNDATION, INC.
Employer identification number: 13-3841307
Address: 40 EAST 69TH STREET, NEW YORK, NY 10021
Fair market value of all assets at end of year: \$19,085,550.
Accounting method: Cash

Table with 5 columns: (a) Revenue and expenses per books, (b) Net investment income, (c) Adjusted net income, (d) Disbursements for charitable purposes. Rows include Revenue (1-12) and Operating and Administrative Expenses (13-26).

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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 (a) Book Value | End of year (b) Book Value (c) Fair Market Value | |
| Assets | 1 Cash - non-interest-bearing | | | |
| | 2 Savings and temporary cash investments | 440,615. | 244,946. | 244,946. |
| | 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 ▶ 379,085. | | | |
| | Less: allowance for doubtful accounts ▶ 0. | 572,350. | 379,085. | 379,085. |
| | 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 11 | 560,000. | 560,000. | 560,000. |
| | c Investments - corporate bonds | | | |
| | 11 Investments - land, buildings, and equipment basis ▶ 1,028,410. | | | |
| Less accumulated depreciation STMT 12 ▶ 189,160. | 804,709. | 839,250. | 1,321,440. | |
| 12 Investments - mortgage loans | | | | |
| 13 Investments - other STMT 13 | 12,127,971. | 14,607,318. | 16,577,678. | |
| 14 Land, buildings, and equipment basis ▶ | | | | |
| Less accumulated depreciation ▶ | | | | |
| 15 Other assets (describe ▶) | 29,494. | 20,469. | 2,401. | |
| 16 Total assets (to be completed by all filers - see the instructions. Also, see page 1, item I) | 14,535,139. | 16,651,068. | 19,085,550. | |
| 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 ▶) STATEMENT 14) | 89,777. | 2,823,032. | |
| 23 Total liabilities (add lines 17 through 22) | 89,777. | 2,823,032. | | |
| Net Assets or Fund Balances | Foundations that follow SFAS 117, check here ▶ <input type="checkbox"/> | | | |
| | 24 Unrestricted and complete lines 24 through 26, and lines 30 and 31. | | | |
| | 25 Temporarily restricted | | | |
| | 26 Permanently restricted | | | |
| | Foundations that do not follow SFAS 117, check here ▶ <input checked="" type="checkbox"/> | | | |
| | 27 Capital stock, trust principal, or current funds | 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 | 14,445,362. | 13,828,036. | |
| 30 Total net assets or fund balances | 14,445,362. | 13,828,036. | | |
| 31 Total liabilities and net assets/fund balances | 14,535,139. | 16,651,068. | | |

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 | 14,445,362. |
| 2 Enter amount from Part I, line 27a | 2 | <617,326.> |
| 3 Other increases not included in line 2 (itemize) ▶ | 3 | 0. |
| 4 Add lines 1, 2, and 3 | 4 | 13,828,036. |
| 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 | 13,828,036. |

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

| (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 | | | <495,536.> |

| 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) FMV as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of col. (i) over col. (j), if any | |
| a | | | |
| b | | | |
| c | | | |
| d | | | |
| e | | | <495,536.> |

| | | | |
|--|---|---|------------|
| 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 | <495,536.> |
| 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 | 850,980. | 14,087,751. | .060406 |
| 2016 | 603,480. | 11,884,318. | .050780 |
| 2015 | 2,248,462. | 7,032,130. | .319741 |
| 2014 | 3,171,480. | 9,128,524. | .347425 |
| 2013 | 2,746,749. | 10,324,926. | .266031 |

| | | |
|--|---|-------------|
| 2 Total of line 1, column (d) | 2 | 1.044383 |
| 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 | .208877 |
| 4 Enter the net value of noncharitable-use assets for 2018 from Part X, line 5 | 4 | 13,146,996. |
| 5 Multiply line 4 by line 3 | 5 | 2,746,105. |
| 6 Enter 1% of net investment income (1% of Part I, line 27b) | 6 | 0. |
| 7 Add lines 5 and 6 | 7 | 2,746,105. |
| 8 Enter qualifying distributions from Part XII, line 4 | 8 | 241,701. |

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 | 0. |
| 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 | 0. |
| 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 | 0. |
| 6 | Credits/Payments: * INCLUDES SECTION 643(G) PAYMENT 12,000. | | |
| a | 2018 estimated tax payments and 2017 overpayment credited to 2018 | 6a | 0. |
| b | Exempt foreign organizations - tax withheld at source | 6b | 0. |
| c | Tax paid with application for extension of time to file (Form 8868) | 6c | 12,000. |
| d | Backup withholding erroneously withheld | 6d | 0. |
| 7 | Total credits and payments. Add lines 6a through 6d | 7 | 12,000. |
| 8 | Enter any penalty for underpayment of estimated tax. Check here <input 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 | 12,000. |
| 11 | Enter the amount of line 10 to be: Credited to 2019 estimated tax 12,000. Refunded | 11 | 0. |

Part VII-A Statements Regarding Activities

| | Yes | No |
|----|-----|----|
| 1a | | X |
| 1b | | X |
| 1c | | X |
| 2 | | X |
| 3 | | X |
| 4a | | X |
| 4b | | X |
| 5 | | X |
| 6 | X | |
| 7 | X | |
| 8a | | |
| 8b | X | |
| 9 | | X |
| 10 | | X |

N/A

Part VII-A Statements Regarding Activities (continued)

| | Yes | No |
|--|-----|----|
| 11 At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule. See instructions | | X |
| 12 Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement. See instructions | | X |
| 13 Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► NONE | X | |
| 14 The books are in care of ► JONATHAN P. ROSEN Telephone no. ► 2122491550 Located at ► 40 EAST 69TH STREET 4TH FLOOR, NEW YORK, NY ZIP+4 ► 10021 | | |
| 15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - check here and enter the amount of tax-exempt interest received or accrued during the year ► 15 N/A | | |
| 16 At any time during calendar year 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? See the instructions for exceptions and filing requirements for FinCEN Form 114. If "Yes," enter the name of the foreign country ► | | X |

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

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

| | Yes | No |
|---|-----|----|
| 1a During the year, did the foundation (either directly or indirectly): (1) Engage in the sale or exchange, or leasing of property with a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input 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 Organizations relying on a current notice regarding disaster assistance, check here ► <input type="checkbox"/> | 1b | X |
| 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? | 1c | X |
| 2 Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)): a At the end of tax year 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 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. ► _____, _____, _____ | 2b | |
| 3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No b If "Yes," did it have excess business holdings in 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 | 3b | |
| 4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? | 4a | X |
| b Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2018? | 4b | X |

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

| | | Yes | No |
|---|---|-----|----|
| 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 | N/A | 5b | |
| c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? If "Yes," attach the statement required by Regulations section 53.4945-5(d). | N/A | | |
| 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? If "Yes" to 6b, file Form 8870. | | 6b | X |
| 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? | 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? | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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 |
|---|---|---|---|---------------------------------------|
| JONATHAN P. ROSEN 40 EAST 69TH ST NEW YORK, NY 10021 | DIRECTOR/PRESIDENT 1.00 | 0. | 0. | 0. |
| JEANNETTE D. ROSEN 40 EAST 69TH ST NEW YORK, NY 10021 | DIRECTOR/TREASURER 1.00 | 0. | 0. | 0. |
| SARAH ROSEN 40 EAST 69TH ST NEW YORK, NY 10021 | DIRECTOR 1.00 | 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

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

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

Table with 3 columns: (a) Name and address of each person paid more than \$50,000, (b) Type of service, (c) Compensation. Row 1 contains '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: List the foundation's four largest direct charitable activities during the tax year.

Part IX-B Summary of Program-Related Investments

Table with 2 columns: Description of investments and Amount. Includes instructions: Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2.

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 | 2,941,183. |
| b | Average of monthly cash balances | 1b | 479,277. |
| c | Fair market value of all other assets | 1c | 9,926,744. |
| d | Total (add lines 1a, b, and c) | 1d | 13,347,204. |
| 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 | 13,347,204. |
| 4 | Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions) | 4 | 200,208. |
| 5 | Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4 | 5 | 13,146,996. |
| 6 | Minimum investment return. Enter 5% of line 5 ADJUSTED FOR SHORT TAX PERIOD | 6 | 331,370. |

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 | 331,370. |
| 2a | Tax on investment income for 2018 from Part VI, line 5 | 2a | |
| b | Income tax for 2018. (This does not include the tax from Part VI.) | 2b | |
| c | Add lines 2a and 2b | 2c | 0. |
| 3 | Distributable amount before adjustments. Subtract line 2c from line 1 | 3 | 331,370. |
| 4 | Recoveries of amounts treated as qualifying distributions | 4 | 0. |
| 5 | Add lines 3 and 4 | 5 | 331,370. |
| 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 | 331,370. |

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 | 241,701. |
| 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 | 241,701. |
| 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 | 241,701. |

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 2017 | (c) 2017 | (d) 2018 |
|--|---------------|----------------------------|-------------|-------------|
| 1 Distributable amount for 2018 from Part XI, line 7 | | | | 331,370. |
| 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 | 2,235,603. | | | |
| b From 2014 | 2,715,054. | | | |
| c From 2015 | 1,900,991. | | | |
| d From 2016 | 31,861. | | | |
| e From 2017 | 151,743. | | | |
| f Total of lines 3a through e | 7,035,252. | | | |
| 4 Qualifying distributions for 2018 from Part XII, line 4 ▶ \$ 241,701. | | | | |
| 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 | | | | 241,701. |
| e Remaining amount distributed out of corpus | 0. | | | |
| 5 Excess distributions carryover applied to 2018 (If an amount appears in column (d), the same amount must be shown in column (a)) | 89,669. | | | 89,669. |
| 6 Enter the net total of each column as indicated below: | | | | |
| a Corpus Add lines 3f, 4c, and 4e Subtract line 5 | 6,945,583. | | | |
| 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 | 2,145,934. | | | |
| 9 Excess distributions carryover to 2019. Subtract lines 7 and 8 from line 6a | 4,799,649. | | | |
| 10 Analysis of line 9: | | | | |
| a Excess from 2014 | 2,715,054. | | | |
| b Excess from 2015 | 1,900,991. | | | |
| c Excess from 2016 | 31,861. | | | |
| d Excess from 2017 | 151,743. | | | |
| e Excess from 2018 | | | | |

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 | | | | |
| CHAMAH 420 LEXINGTON AVENUE, SUITE 3000 NEW YORK, NY 10170 | | PC | FURTHER DONEE'S EXEMPT PURPOSE | 129,490. |
| CORNELL UNIVERSITY NEAR EASTERN STUDIES 409 WHITE HALL ITHACA, NY 14853 | | PC | FURTHER DONEE'S EXEMPT PURPOSE | 8,000. |
| HUMANILITY 5543 EDMONDSON PIKE #98 NASHVILLE, TN 37211 | | PC | FURTHER DONEE'S EXEMPT PURPOSE | 6,000. |
| THE MORGAN LIBRARY & MUSEUM 225 MADISON AVENUE NEW YORK, NY 10016 | | PC | FURTHER DONEE'S EXEMPT PURPOSE | 50,000. |
| CHAMAH 420 LEXINGTON AVENUE, SUITE 3000 NEW YORK, NY 10170 | | PC | FURTHER DONEE'S EXEMPT PURPOSE | 24,500. |
| Total | | | | ▶ 3a 217,990. |
| b Approved for future payment | | | | |
| NONE | | | | |
| Total | | | | ▶ 3b 0. |

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 for the latest information.

OMB No 1545-0047

2018

Name of the organization

THE ABNER ROSEN FOUNDATION, INC.

Employer identification number

13-3841307

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 THE ABNER ROSEN FOUNDATION, INC. | Employer identification number 13-3841307 |
|---|---|

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 | <p>THE MIRIAM ROSEN CHARITABLE LEAD ANNUITY TRUST</p> <hr/> <p>40 EAST 69TH STREET</p> <hr/> <p>NEW YORK, NY 10021</p> | <p>\$ <u>250,000.</u></p> | <p>Person <input checked="" type="checkbox"/></p> <p>Payroll <input type="checkbox"/></p> <p>Noncash <input type="checkbox"/></p> <p>(Complete Part II for noncash contributions)</p> |
| | <hr/> <hr/> <hr/> | <p>\$ _____</p> | <p>Person <input type="checkbox"/></p> <p>Payroll <input type="checkbox"/></p> <p>Noncash <input type="checkbox"/></p> <p>(Complete Part II for noncash contributions.)</p> |
| | <hr/> <hr/> <hr/> | <p>\$ _____</p> | <p>Person <input type="checkbox"/></p> <p>Payroll <input type="checkbox"/></p> <p>Noncash <input type="checkbox"/></p> <p>(Complete Part II for noncash contributions)</p> |
| | <hr/> <hr/> <hr/> | <p>\$ _____</p> | <p>Person <input type="checkbox"/></p> <p>Payroll <input type="checkbox"/></p> <p>Noncash <input type="checkbox"/></p> <p>(Complete Part II for noncash contributions)</p> |
| | <hr/> <hr/> <hr/> | <p>\$ _____</p> | <p>Person <input type="checkbox"/></p> <p>Payroll <input type="checkbox"/></p> <p>Noncash <input type="checkbox"/></p> <p>(Complete Part II for noncash contributions)</p> |
| | <hr/> <hr/> <hr/> | <p>\$ _____</p> | <p>Person <input type="checkbox"/></p> <p>Payroll <input type="checkbox"/></p> <p>Noncash <input type="checkbox"/></p> <p>(Complete Part II for noncash contributions)</p> |

Name of organization

Employer identification number

THE ABNER ROSEN FOUNDATION, INC.

13-3841307

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 THE ABNER ROSEN FOUNDATION, INC. | Employer identification number 13-3841307 |
|---|---|

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 | |
| | | | |
| (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 | |
| | | | |
| (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 | |
| | | | |
| (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 | |
| | | | |

| Part IV Capital Gains and Losses for Tax on Investment Income | | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|--|--|---|----------------------------------|
| (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. | | | | |
| 1a | ABNER PROPERTIES | P | | |
| b | ABNER PROPERTIES | P | | |
| c | OPULENTIA LLC | P | | |
| d | OPULENTIA LLC | P | | |
| e | BLACKSTONE LLC | P | | |
| f | BONUS EVENTUS LLC | P | | |
| g | SALUBRIOUS ASIA LLC | P | | |
| h | PLOUTOS LLC | P | | |
| i | BONUS EVENTUS LLC | P | | |
| j | ENERGY TRANSFER | P | | |
| k | ENERGY TRANSFER | P | | |
| l | PLAINS ALL AMERICAN | P | | |
| m | 21VIANET | P | 11/15/18 | 12/27/18 |
| n | 3-D | P | 10/17/18 | 10/31/18 |
| o | ACADIA | P | 11/28/18 | 12/18/18 |
| (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 <4.> | | | <4.> | |
| b <33.> | | | <33.> | |
| c 345. | | | 345. | |
| d 1,295. | | | 1,295. | |
| e 284. | | | 284. | |
| f <479.> | | | <479.> | |
| g 25,384. | | | 25,384. | |
| h 6,931. | | | 6,931. | |
| i 136,332. | | | 136,332. | |
| j 246. | | | 246. | |
| k 6,115. | | | 6,115. | |
| l 1,009. | | | 1,009. | |
| m <13,330.> | | | <13,330.> | |
| n <28,066.> | | | <28,066.> | |
| o <6,888.> | | | <6,888.> | |
| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") | |
| (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 | | | <4.> | |
| b | | | <33.> | |
| c | | | 345. | |
| d | | | 1,295. | |
| e | | | 284. | |
| f | | | <479.> | |
| g | | | 25,384. | |
| h | | | 6,931. | |
| i | | | 136,332. | |
| j | | | 246. | |
| k | | | 6,115. | |
| l | | | 1,009. | |
| m | | | <13,330.> | |
| n | | | <28,066.> | |
| o | | | <6,888.> | |
| 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 | |
| 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 | |

THE ABNER ROSEN FOUNDATION, INC.

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 ADVANCED MICRO DEVICES INC | P | 07/26/18 | 07/26/18 |
| b ADVANCED MICRO DEVICES INC | P | 10/19/18 | 10/18/18 |
| c AMARIN CORP | P | 11/12/18 | 11/12/18 |
| d APPLIED OPROELECTRONICS INC | P | 08/29/18 | 09/05/18 |
| e APPLIED OPTOELECTRONICS INC | P | 07/13/18 | 07/18/18 |
| f ASTRAZENECA | P | 07/26/18 | 08/16/18 |
| g AT HOME GROUP INC | P | 06/08/18 | 07/30/18 |
| h AT HOME GROUP INC | P | 06/08/18 | 07/30/18 |
| i AT HOME GROUP INC | P | 06/08/18 | 07/30/18 |
| j AT HOME GROUP INC | P | 06/08/18 | 07/30/18 |
| k AT HOME GROUP INC | P | 06/08/18 | 07/30/18 |
| l AT HOME GROUP INC | P | 06/08/18 | 07/30/18 |
| m AUDIOCODES LTD | P | 10/10/18 | 09/07/18 |
| n BLACKSTONE GROUP LP | P | | 07/09/18 |
| o CADENCE BANCORP | P | 07/09/18 | 07/26/18 |

| (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 3,859. | | | 3,859. |
| b <9,015.> | | | <9,015.> |
| c <6,490.> | | | <6,490.> |
| d <17,940.> | | | <17,940.> |
| e <9,655.> | | | <9,655.> |
| f <781.> | | | <781.> |
| g <100.> | | | <100.> |
| h <254.> | | | <254.> |
| i <369.> | | | <369.> |
| j <368.> | | | <368.> |
| k <1,103.> | | | <1,103.> |
| l <5,218.> | | | <5,218.> |
| m <5,606.> | | | <5,606.> |
| n 7,631. | | | 7,631. |
| o <3,084.> | | | <3,084.> |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|---|
| (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 | | | 3,859. |
| b | | | <9,015.> |
| c | | | <6,490.> |
| d | | | <17,940.> |
| e | | | <9,655.> |
| f | | | <781.> |
| g | | | <100.> |
| h | | | <254.> |
| i | | | <369.> |
| j | | | <368.> |
| k | | | <1,103.> |
| l | | | <5,218.> |
| m | | | <5,606.> |
| n | | | 7,631. |
| o | | | <3,084.> |

| | |
|---|---|
| 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 |
| 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 |

THE ABNER ROSEN FOUNDATION, INC.

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 CANADA GOOSE | P | 09/26/18 | 09/26/18 |
| b CANOPY GROWTH CORP | P | 08/08/18 | 08/15/18 |
| c CANOPY GROWTH CORP | P | 08/08/18 | 08/15/18 |
| d CARDTRONICS | P | 08/15/18 | 08/17/18 |
| e CARDTRONICS | P | 08/15/18 | 08/17/18 |
| f CHENIERE ENERGY INC | P | 06/22/18 | 07/11/18 |
| g CIENA CORP NEW | P | 11/05/18 | 11/12/18 |
| h CONN'S INC | P | 08/28/18 | 09/04/18 |
| i CONN'S INC | P | | 10/18/18 |
| j EKSO | P | 08/09/18 | 10/31/18 |
| k ENDOCYTE INC | P | 10/04/18 | 08/17/18 |
| l ETFMG | P | 10/29/18 | 10/29/18 |
| m EVO PMTS INC CL A COM | P | 06/19/18 | 07/30/18 |
| n EVO PMTS INC CL A COM | P | 06/19/18 | 07/30/18 |
| o EVO PMTS INC CL A COM | P | 06/19/18 | 07/30/18 |

| (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 2,134. | | | 2,134. |
| b 4,030. | | | 4,030. |
| c 9,960. | | | 9,960. |
| d 2,430. | | | 2,430. |
| e 3,933. | | | 3,933. |
| f <8,908.> | | | <8,908.> |
| g 1,144. | | | 1,144. |
| h 3,179. | | | 3,179. |
| i <19,832.> | | | <19,832.> |
| j <6,552.> | | | <6,552.> |
| k <10,211.> | | | <10,211.> |
| l <11,686.> | | | <11,686.> |
| m <120.> | | | <120.> |
| n <107.> | | | <107.> |
| o <117.> | | | <117.> |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|---|
| (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 | | | 2,134. |
| b | | | 4,030. |
| c | | | 9,960. |
| d | | | 2,430. |
| e | | | 3,933. |
| f | | | <8,908.> |
| g | | | 1,144. |
| h | | | 3,179. |
| i | | | <19,832.> |
| j | | | <6,552.> |
| k | | | <10,211.> |
| l | | | <11,686.> |
| m | | | <120.> |
| n | | | <107.> |
| o | | | <117.> |

| | | |
|--|---|--|
| 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 | |
| 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 | |

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 EVO PMTS INC CL A COM | P | 06/19/18 | 07/30/18 |
| b EVO PMTS INC CL A COM | P | 06/19/18 | 07/30/18 |
| c EVO PMTS INC CL A COM | P | 06/19/18 | 07/30/18 |
| d EVO PMTS INC CL A COM | P | 06/19/18 | 07/30/18 |
| e EVO PMTS INC CL A COM | P | 06/19/18 | 07/30/18 |
| f EVO PMTS INC CL A COM | P | 06/19/18 | 07/30/18 |
| g EVO PMTS INC CL A COM | P | 06/19/18 | 07/30/18 |
| h EVO PMTS INC CL A COM | P | 06/19/18 | 07/30/18 |
| i EVO PMTS INC CL A COM | P | 06/14/18 | 07/30/18 |
| j EVO PMTS INC CL A COM | P | 06/14/18 | 07/30/18 |
| k EVO PMTS INC CL A COM | P | 06/14/18 | 07/30/18 |
| l EVO PMTS INC CL A COM | P | 06/19/18 | 07/30/18 |
| m EVOLENT HEALTH INC | P | 08/14/18 | 09/13/18 |
| n FIDELITY SOUTHERN | P | 12/27/18 | 12/17/18 |
| o FUNKO INC | P | 09/18/18 | 12/03/18 |

| (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 <116.> | | | <116.> |
| b <116.> | | | <116.> |
| c <116.> | | | <116.> |
| d <115.> | | | <115.> |
| e <111.> | | | <111.> |
| f <110.> | | | <110.> |
| g <109.> | | | <109.> |
| h <107.> | | | <107.> |
| i <15.> | | | <15.> |
| j <16.> | | | <16.> |
| k <23.> | | | <23.> |
| l <601.> | | | <601.> |
| m 7,486. | | | 7,486. |
| n <1,115.> | | | <1,115.> |
| o <19,274.> | | | <19,274.> |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|---|
| (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 | | | <116.> |
| b | | | <116.> |
| c | | | <116.> |
| d | | | <115.> |
| e | | | <111.> |
| f | | | <110.> |
| g | | | <109.> |
| h | | | <107.> |
| i | | | <15.> |
| j | | | <16.> |
| k | | | <23.> |
| l | | | <601.> |
| m | | | 7,486. |
| n | | | <1,115.> |
| o | | | <19,274.> |

| | | |
|---|---|--|
| 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 | |
| 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 | |

THE ABNER ROSEN FOUNDATION, INC.

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 GENCO SHIPPING & TRADING LTD | P | | 07/12/18 |
| b GENERAL MILLS INCORPORATED | P | 06/22/18 | 07/16/18 |
| c IMMUNOMEDICS INC | P | 06/20/18 | 07/30/18 |
| d IMMUNOMEDICS INC | P | 06/20/18 | 07/30/18 |
| e IMMUNOMEDICS INC | P | 06/20/18 | 07/30/18 |
| f IMMUNOMEDICS INC | P | 06/20/18 | 07/30/18 |
| g IMMUNOMEDICS INC | P | 06/20/18 | 07/30/18 |
| h IMMUNOMEDICS INC | P | 06/20/18 | 07/30/18 |
| i IMPINJ INC | P | 08/28/18 | 09/12/18 |
| j INTREXON CORP | P | 06/29/18 | 07/24/18 |
| k IRIDIUM COMMUNICATIONS INC | P | 10/01/18 | 09/05/18 |
| l IRIDIUM COMMUNICATIONS INC | P | 10/08/18 | 09/05/18 |
| m KANDI TECHNOLOGIES CORP | P | 10/18/18 | 10/12/18 |
| n LANNETT CO INC | P | 11/08/18 | 11/08/18 |
| o LENDINGCLUB CORP | P | | 08/03/18 |

| (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 <9,286.> | | | <9,286.> |
| b <3,045.> | | | <3,045.> |
| c <323.> | | | <323.> |
| d <647.> | | | <647.> |
| e <647.> | | | <647.> |
| f <1,293.> | | | <1,293.> |
| g <1,629.> | | | <1,629.> |
| h <5,212.> | | | <5,212.> |
| i <9,582.> | | | <9,582.> |
| j 43. | | | 43. |
| k 2,674. | | | 2,674. |
| l <2,371.> | | | <2,371.> |
| m <2,779.> | | | <2,779.> |
| n 9,164. | | | 9,164. |
| o <9.> | | | <9.> |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|--|
| (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 | | | <9,286.> |
| b | | | <3,045.> |
| c | | | <323.> |
| d | | | <647.> |
| e | | | <647.> |
| f | | | <1,293.> |
| g | | | <1,629.> |
| h | | | <5,212.> |
| i | | | <9,582.> |
| j | | | 43. |
| k | | | 2,674. |
| l | | | <2,371.> |
| m | | | <2,779.> |
| n | | | 9,164. |
| o | | | <9.> |

| | |
|---|---|
| 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 |
| 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 |

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 LENDINGCLUB CORP | P | | 08/03/18 |
| b LENDINGCLUB CORP | P | | 08/03/18 |
| c LENDINGCLUB CORP | P | | 08/03/18 |
| d LENDINGCLUB CORP | P | | 08/03/18 |
| e LENDINGCLUB CORP | P | | 08/03/18 |
| f LENDINGCLUB CORP | P | | 08/03/18 |
| g LENDINGCLUB CORP | P | | 08/03/18 |
| h LENDINGCLUB CORP | P | | 08/03/18 |
| i LENDINGCLUB CORP | P | | 08/03/18 |
| j LENDINGCLUB CORP | P | | 08/03/18 |
| k LENDINGCLUB CORP | P | | 08/03/18 |
| l LENDINGCLUB CORP | P | | 08/03/18 |
| m LENDINGCLUB CORP | P | | 08/03/18 |
| n LENDINGCLUB CORP | P | | 08/03/18 |
| o LENDINGCLUB CORP | P | | 08/03/18 |

| (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 <56.> | | | <56.> |
| b <62.> | | | <62.> |
| c <66.> | | | <66.> |
| d <66.> | | | <66.> |
| e <66.> | | | <66.> |
| f <65.> | | | <65.> |
| g <65.> | | | <65.> |
| h <65.> | | | <65.> |
| i <65.> | | | <65.> |
| j <65.> | | | <65.> |
| k <65.> | | | <65.> |
| l <65.> | | | <65.> |
| m <65.> | | | <65.> |
| n <65.> | | | <65.> |
| o <65.> | | | <65.> |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|---|
| (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 | | | <56.> |
| b | | | <62.> |
| c | | | <66.> |
| d | | | <66.> |
| e | | | <66.> |
| f | | | <65.> |
| g | | | <65.> |
| h | | | <65.> |
| i | | | <65.> |
| j | | | <65.> |
| k | | | <65.> |
| l | | | <65.> |
| m | | | <65.> |
| n | | | <65.> |
| o | | | <65.> |

| | | |
|--|---|--|
| 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 | |
| 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 | |

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 LENDINGCLUB CORP | P | | 08/03/18 |
| b LENDINGCLUB CORP | P | | 08/03/18 |
| c LENDINGCLUB CORP | P | | 08/03/18 |
| d LENDINGCLUB CORP | P | | 08/03/18 |
| e LENDINGCLUB CORP | P | | 08/03/18 |
| f LENDINGCLUB CORP | P | | 08/03/18 |
| g LENDINGCLUB CORP | P | | 08/03/18 |
| h LENDINGCLUB CORP | P | | 08/03/18 |
| i LENDINGCLUB CORP | P | | 08/03/18 |
| j LENDINGCLUB CORP | P | | 08/03/18 |
| k LENDINGCLUB CORP | P | | 08/03/18 |
| l LENDINGCLUB CORP | P | | 08/03/18 |
| m MALLINCKRODT PLC | P | 11/07/18 | 11/21/18 |
| n MARINUS PHARMACEUTICALS INC | P | 07/11/18 | 07/31/18 |
| o MARINUS PHARMACEUTICALS INC | P | 07/11/18 | 07/31/18 |

| (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 <65.> | | | <65.> |
| b <65.> | | | <65.> |
| c <65.> | | | <65.> |
| d <72.> | | | <72.> |
| e <123.> | | | <123.> |
| f <136.> | | | <136.> |
| g <145.> | | | <145.> |
| h <161.> | | | <161.> |
| i <194.> | | | <194.> |
| j <203.> | | | <203.> |
| k <323.> | | | <323.> |
| l <2,004.> | | | <2,004.> |
| m <11,495.> | | | <11,495.> |
| n <156.> | | | <156.> |
| o <156.> | | | <156.> |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|---|
| (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 | | | <65.> |
| b | | | <65.> |
| c | | | <65.> |
| d | | | <72.> |
| e | | | <123.> |
| f | | | <136.> |
| g | | | <145.> |
| h | | | <161.> |
| i | | | <194.> |
| j | | | <203.> |
| k | | | <323.> |
| l | | | <2,004.> |
| m | | | <11,495.> |
| n | | | <156.> |
| o | | | <156.> |

| | | |
|---|---|--|
| 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 | |
| 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 | |

THE ABNER ROSEN FOUNDATION, INC.

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 MARINUS PHARMACEUTICALS INC | P | 07/11/18 | 07/31/18 |
| b MARINUS PHARMACEUTICALS INC | P | 07/11/18 | 07/31/18 |
| c MARINUS PHARMACEUTICALS INC | P | 07/11/18 | 07/31/18 |
| d MARINUS PHARMACEUTICALS INC | P | 07/11/18 | 07/31/18 |
| e MARINUS PHARMACEUTICALS INC | P | 07/11/18 | 07/31/18 |
| f MARINUS PHARMACEUTICALS INC | P | 07/11/18 | 07/31/18 |
| g MARINUS PHARMACEUTICALS INC | P | 07/11/18 | 07/31/18 |
| h MARINUS PHARMACEUTICALS INC | P | 07/11/18 | 07/31/18 |
| i MARINUS PHARMACEUTICALS INC | P | 07/11/18 | 07/31/18 |
| j MARINUS PHARMACEUTICALS INC | P | 07/11/18 | 07/31/18 |
| k MARINUS PHARMACEUTICALS INC | P | 07/11/18 | 07/31/18 |
| l MARINUS PHARMACEUTICALS INC | P | 07/11/18 | 07/31/18 |
| m MARINUS PHARMACEUTICALS INC | P | 07/11/18 | 07/31/18 |
| n MAZOR ROBOTICS LTD-SPON ADR | P | 05/14/18 | 08/02/18 |
| o MBIA INCORPORATED | P | | 11/07/18 |

| (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 <156.> | | | <156.> |
| b <156.> | | | <156.> |
| c <156.> | | | <156.> |
| d <156.> | | | <156.> |
| e <156.> | | | <156.> |
| f <153.> | | | <153.> |
| g <153.> | | | <153.> |
| h <164.> | | | <164.> |
| i <355.> | | | <355.> |
| j <555.> | | | <555.> |
| k <635.> | | | <635.> |
| l <1,559.> | | | <1,559.> |
| m <1,559.> | | | <1,559.> |
| n <4,275.> | | | <4,275.> |
| o <5,216.> | | | <5,216.> |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|---|
| (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 | | | <156.> |
| b | | | <156.> |
| c | | | <156.> |
| d | | | <156.> |
| e | | | <156.> |
| f | | | <153.> |
| g | | | <153.> |
| h | | | <164.> |
| i | | | <355.> |
| j | | | <555.> |
| k | | | <635.> |
| l | | | <1,559.> |
| m | | | <1,559.> |
| n | | | <4,275.> |
| o | | | <5,216.> |

| | |
|---|---|
| 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 |
| 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 |

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 MOMO INC-ADR | P | 09/13/18 | 10/18/18 |
| b MYLAN | P | 08/09/18 | 08/16/18 |
| c NII HOLDINGS | P | | 12/04/18 |
| d NLIGHT INC COM | P | 08/09/18 | 08/20/18 |
| e OVERSTOCK.COM | P | 08/15/18 | 12/17/18 |
| f PINDUODUO INC ADR | P | 10/18/18 | 09/25/18 |
| g PIVOTAL SOFTWARE INC CL A COM | P | 07/12/18 | 07/30/18 |
| h PIVOTAL SOFTWARE INC CL A COM | P | 07/12/18 | 07/30/18 |
| i PIVOTAL SOFTWARE INC CL A COM | P | 07/12/18 | 07/30/18 |
| j PIVOTAL SOFTWARE INC CL A COM | P | 07/12/18 | 07/30/18 |
| k PIVOTAL SOFTWARE INC CL A COM | P | 07/12/18 | 07/30/18 |
| l PIVOTAL SOFTWARE INC CL A COM | P | 07/12/18 | 07/30/18 |
| m PIVOTAL SOFTWARE INC CL A COM | P | 07/12/18 | 07/30/18 |
| n PIVOTAL SOFTWARE INC CL A COM | P | 07/12/18 | 07/30/18 |
| o PIVOTAL SOFTWARE INC CL A COM | P | 07/12/18 | 07/30/18 |

| (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 <25,029.> | | | <25,029.> |
| b 371. | | | 371. |
| c <9,939.> | | | <9,939.> |
| d <7,231.> | | | <7,231.> |
| e <35,461.> | | | <35,461.> |
| f <16,116.> | | | <16,116.> |
| g | | | 0. |
| h | | | 0. |
| i | | | 0. |
| j | | | 0. |
| k | | | 0. |
| l | | | 0. |
| m | | | 0. |
| n | | | 0. |
| o | | | 0. |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|---|
| (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 <25,029.> | | | <25,029.> |
| b 371. | | | 371. |
| c <9,939.> | | | <9,939.> |
| d <7,231.> | | | <7,231.> |
| e <35,461.> | | | <35,461.> |
| f <16,116.> | | | <16,116.> |
| g | | | 0. |
| h | | | 0. |
| i | | | 0. |
| j | | | 0. |
| k | | | 0. |
| l | | | 0. |
| m | | | 0. |
| n | | | 0. |
| o | | | 0. |

| | | |
|---|---|--|
| 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 | |
| 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 | |

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 PIVOTAL SOFTWARE INC CL A COM | P | 07/12/18 | 07/30/18 |
| b PIVOTAL SOFTWARE INC CL A COM | P | 07/12/18 | 07/30/18 |
| c PIVOTAL SOFTWARE INC CL A COM | P | 07/12/18 | 07/30/18 |
| d PIVOTAL SOFTWARE INC CL A COM | P | 07/12/18 | 07/30/18 |
| e PIVOTAL SOFTWARE INC CL A COM | P | 07/12/18 | 07/30/18 |
| f PIVOTAL SOFTWARE INC CL A COM | P | 07/12/18 | 07/30/18 |
| g PIVOTAL SOFTWARE INC CL A COM | P | 07/12/18 | 07/30/18 |
| h PIVOTAL SOFTWARE INC CL A COM | P | 07/12/18 | 07/30/18 |
| i PIVOTAL SOFTWARE INC CL A COM | P | 07/12/18 | 07/30/18 |
| j PIVOTAL SOFTWARE INC CL A COM | P | 07/12/18 | 07/30/18 |
| k PIVOTAL SOFTWARE INC CL A COM | P | 07/12/18 | 07/30/18 |
| l PIVOTAL SOFTWARE INC CL A COM | P | 07/12/18 | 07/30/18 |
| m PIVOTAL SOFTWARE INC CL A COM | P | 07/12/18 | 07/30/18 |
| n PIVOTAL SOFTWARE INC CL A COM | P | | 09/25/18 |
| o PROCTER & GAMBLE COMPANY | P | 02/15/18 | 07/09/18 |

| (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 | | | 0. |
| b | | | 0. |
| c | | | 0. |
| d | | | 0. |
| e | | | 0. |
| f | | | 0. |
| g | | | 0. |
| h | | | 0. |
| i | | | 0. |
| j | | | 0. |
| k | | | 0. |
| l | | | 0. |
| m | | | 0. |
| n | <23,158.> | | <23,158.> |
| o | <4,748.> | | <4,748.> |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|---|
| (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 | | | 0. |
| b | | | 0. |
| c | | | 0. |
| d | | | 0. |
| e | | | 0. |
| f | | | 0. |
| g | | | 0. |
| h | | | 0. |
| i | | | 0. |
| j | | | 0. |
| k | | | 0. |
| l | | | 0. |
| m | | | 0. |
| n | | | <23,158.> |
| o | | | <4,748.> |

| | | |
|---|---|--|
| 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 | |
| 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 | |

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 PYXUS INTL INC COM | P | 10/08/18 | 10/03/18 |
| b REDFIN CORP | P | 07/24/18 | 08/02/18 |
| c REDFIN CORP | P | 07/24/18 | 08/02/18 |
| d REDFIN CORP | P | 07/24/18 | 08/02/18 |
| e REDFIN CORP | P | 07/24/18 | 08/02/18 |
| f REDFIN CORP | P | 07/24/18 | 08/02/18 |
| g REDFIN CORP | P | 07/24/18 | 08/02/18 |
| h REDFIN CORP | P | 07/24/18 | 08/02/18 |
| i REDFIN CORP | P | 07/24/18 | 08/02/18 |
| j REDFIN CORP | P | 07/24/18 | 08/02/18 |
| k REDFIN CORP | P | 07/24/18 | 08/02/18 |
| l REDFIN CORP | P | 07/24/18 | 08/02/18 |
| m REDFIN CORP | P | 07/24/18 | 08/02/18 |
| n REDFIN CORP | P | 07/24/18 | 08/02/18 |
| o REDFIN CORP | P | 07/24/18 | 08/02/18 |

| (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 10,498. | | | 10,498. |
| b <135.> | | | <135.> |
| c <134.> | | | <134.> |
| d <134.> | | | <134.> |
| e <134.> | | | <134.> |
| f <134.> | | | <134.> |
| g <134.> | | | <134.> |
| h <133.> | | | <133.> |
| i <132.> | | | <132.> |
| j <132.> | | | <132.> |
| k <132.> | | | <132.> |
| l <132.> | | | <132.> |
| m <270.> | | | <270.> |
| n <406.> | | | <406.> |
| o <1,217.> | | | <1,217.> |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|---|
| (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 | | | 10,498. |
| b | | | <135.> |
| c | | | <134.> |
| d | | | <134.> |
| e | | | <134.> |
| f | | | <134.> |
| g | | | <134.> |
| h | | | <133.> |
| i | | | <132.> |
| j | | | <132.> |
| k | | | <132.> |
| l | | | <132.> |
| m | | | <270.> |
| n | | | <406.> |
| o | | | <1,217.> |

| | | |
|---|---|--|
| 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 | |
| 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 | |

THE ABNER ROSEN FOUNDATION, INC.

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 RH | P | 10/24/18 | 11/07/18 |
| b ROLLINS INCORPORATED | P | 11/28/18 | 12/04/18 |
| c RUBICON PROJECT INC | P | 07/13/18 | 07/13/18 |
| d SEA LTD-ADR | P | 07/12/18 | 07/27/18 |
| e SEAWORLD ENTERTAINMENT INC | P | 10/24/18 | 11/21/18 |
| f SECOO HOLDING LTD - ADR | P | 08/09/18 | 08/30/18 |
| g SOLAREEDGE TECHNOLOGIES | P | 11/30/18 | 12/18/18 |
| h SPROUTS FARMERS MARKET INC | P | 08/14/18 | 09/05/18 |
| i STITCH FIX INC | P | | 08/20/18 |
| j SUPERNUS PHARMACEUTICALS INC | P | | 08/08/18 |
| k SUPERNUS PHARMACEUTICALS INC | P | | 08/08/18 |
| l SUPERNUS PHARMACEUTICALS INC | P | | 08/08/18 |
| m SUPERNUS PHARMACEUTICALS INC | P | | 08/08/18 |
| n SUPERNUS PHARMACEUTICALS INC | P | | 08/08/18 |
| o SUPERNUS PHARMACEUTICALS INC | P | | 08/08/18 |

| (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 <19,868.> | | | <19,868.> |
| b 346. | | | 346. |
| c 2,611. | | | 2,611. |
| d <9,237.> | | | <9,237.> |
| e <2,147.> | | | <2,147.> |
| f <4,349.> | | | <4,349.> |
| g <7,004.> | | | <7,004.> |
| h 8,430. | | | 8,430. |
| i 4,307. | | | 4,307. |
| j <42.> | | | <42.> |
| k <41.> | | | <41.> |
| l <41.> | | | <41.> |
| m <108.> | | | <108.> |
| n <175.> | | | <175.> |
| o <175.> | | | <175.> |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|---|
| (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 | | | <19,868.> |
| b | | | 346. |
| c | | | 2,611. |
| d | | | <9,237.> |
| e | | | <2,147.> |
| f | | | <4,349.> |
| g | | | <7,004.> |
| h | | | 8,430. |
| i | | | 4,307. |
| j | | | <42.> |
| k | | | <41.> |
| l | | | <41.> |
| m | | | <108.> |
| n | | | <175.> |
| o | | | <175.> |

| | | |
|--|---|--|
| 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 | |
| 3 Not 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 | |

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 SUPERNUS PHARMACEUTICALS INC | P | | 08/08/18 |
| b SUPERNUS PHARMACEUTICALS INC | P | | 08/08/18 |
| c SUPERNUS PHARMACEUTICALS INC | P | | 08/08/18 |
| d SUPERNUS PHARMACEUTICALS INC | P | | 08/08/18 |
| e SUPERNUS PHARMACEUTICALS INC | P | | 08/08/18 |
| f SUPERNUS PHARMACEUTICALS INC | P | | 08/08/18 |
| g SUPERNUS PHARMACEUTICALS INC | P | | 08/08/18 |
| h SUPERNUS PHARMACEUTICALS INC | P | | 08/08/18 |
| i TANDEM DIABETES CARE INC COM NEW | P | 08/16/18 | 08/28/18 |
| j TANDEM DIABETES CARE INC COM NEW | P | 11/08/18 | 11/12/18 |
| k TANDEM DIABETES CARE INC COM NEW | P | 11/08/18 | 11/12/18 |
| l TANDEM DIABETES CARE INC COM NEW | P | 11/08/18 | 11/12/18 |
| m TANDEM DIABETES CARE INC COM NEW | P | 11/08/18 | 11/12/18 |
| n TANDEM DIABETES CARE INC COM NEW | P | 11/08/18 | 11/12/18 |
| o TANDEM DIABETES CARE INC COM NEW | P | 11/08/18 | 11/12/18 |

| (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 <175.> | | | <175.> |
| b <221.> | | | <221.> |
| c <221.> | | | <221.> |
| d <216.> | | | <216.> |
| e <216.> | | | <216.> |
| f <216.> | | | <216.> |
| g <216.> | | | <216.> |
| h <1,238.> | | | <1,238.> |
| i 12,799. | | | 12,799. |
| j <107.> | | | <107.> |
| k <176.> | | | <176.> |
| l <568.> | | | <568.> |
| m <558.> | | | <558.> |
| n <1,951.> | | | <1,951.> |
| o <2,222.> | | | <2,222.> |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col (k), but not less than "-0-") |
|---|--------------------------------------|--|--|
| (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 | | | <175.> |
| b | | | <221.> |
| c | | | <221.> |
| d | | | <216.> |
| e | | | <216.> |
| f | | | <216.> |
| g | | | <216.> |
| h | | | <1,238.> |
| i | | | 12,799. |
| j | | | <107.> |
| k | | | <176.> |
| l | | | <568.> |
| m | | | <558.> |
| n | | | <1,951.> |
| o | | | <2,222.> |

| | |
|---|---|
| 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 |
| 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 |

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 TANDEM DIABETES CARE INC COM NEW | P | 11/08/18 | 11/12/18 |
| b TESLA INC | P | 08/20/18 | 08/23/18 |
| c TEVA PHARMACEUTICAL | P | 09/12/18 | 12/04/18 |
| d TIFFANY & COMPANY | P | 11/30/18 | 11/28/18 |
| e TILRAY INC COM CL 2 | P | 07/26/18 | 07/27/18 |
| f TILRAY INC COM CL 2 | P | 07/26/18 | 08/20/18 |
| g TILRAY INC COM CL 2 | P | 07/26/18 | 08/20/18 |
| h TURTLE BEACH CORP COM NEW | P | 08/16/18 | 08/28/18 |
| i TURTLE BEACH CORP COM NEW | P | 11/27/18 | 11/27/18 |
| j TWITTER INC | P | 08/21/18 | 09/07/18 |
| k VF CORPORATION | P | 11/30/18 | 12/04/18 |
| l VIVINT SOLAR INC | P | 11/19/18 | 11/27/18 |
| m WALMART INC | P | 10/29/18 | 11/12/18 |
| n YETI HOLDINGS | P | 11/19/18 | 11/29/18 |
| o YEXT INC | P | 08/10/18 | 08/30/18 |

| (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 <5,676.> | | | <5,676.> |
| b 6,732. | | | 6,732. |
| c <4,658.> | | | <4,658.> |
| d 1,981. | | | 1,981. |
| e | | | 0. |
| f 2,776. | | | 2,776. |
| g 5,939. | | | 5,939. |
| h <4,479.> | | | <4,479.> |
| i 1,743. | | | 1,743. |
| j <11,672.> | | | <11,672.> |
| k 3,139. | | | 3,139. |
| l 7,051. | | | 7,051. |
| m 2,402. | | | 2,402. |
| n 2,743. | | | 2,743. |
| o 9,123. | | | 9,123. |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|---|
| (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 | | | <5,676.> |
| b | | | 6,732. |
| c | | | <4,658.> |
| d | | | 1,981. |
| e | | | 0. |
| f | | | 2,776. |
| g | | | 5,939. |
| h | | | <4,479.> |
| i | | | 1,743. |
| j | | | <11,672.> |
| k | | | 3,139. |
| l | | | 7,051. |
| m | | | 2,402. |
| n | | | 2,743. |
| o | | | 9,123. |

| | |
|--|---|
| 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 |
| 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 |

THE ABNER ROSEN FOUNDATION, INC.

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 YOUNGEVITY INTERNATIONAL INC | P | 10/10/18 | 10/09/18 |
| b ZAFGEN INC | P | 06/28/18 | 08/01/18 |
| c ZAFGEN INC | P | 06/28/18 | 08/01/18 |
| d ZAFGEN INC | P | 06/28/18 | 08/01/18 |
| e ZAFGEN INC | P | 06/28/18 | 08/01/18 |
| f ZAFGEN INC | P | 06/28/18 | 08/01/18 |
| g ZAFGEN INC | P | 06/28/18 | 08/01/18 |
| h ZAFGEN INC | P | 06/28/18 | 08/01/18 |
| i ZAFGEN INC | P | 06/28/18 | 08/01/18 |
| j ZAFGEN INC | P | 06/28/18 | 08/01/18 |
| k ZAFGEN INC | P | 06/28/18 | 08/01/18 |
| l ZAFGEN INC | P | 06/28/18 | 08/01/18 |
| m ZAFGEN INC | P | 06/28/18 | 08/01/18 |
| n ZAFGEN INC | P | 06/28/18 | 08/01/18 |
| o ZAFGEN INC | P | 06/28/18 | 08/01/18 |

| (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 2,110. | | | 2,110. |
| b <41.> | | | <41.> |
| c <41.> | | | <41.> |
| d <40.> | | | <40.> |
| e <39.> | | | <39.> |
| f <39.> | | | <39.> |
| g <39.> | | | <39.> |
| h <39.> | | | <39.> |
| i <39.> | | | <39.> |
| j <39.> | | | <39.> |
| k <39.> | | | <39.> |
| l <83.> | | | <83.> |
| m <124.> | | | <124.> |
| n <248.> | | | <248.> |
| o <1,200.> | | | <1,200.> |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|---|
| (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 | | | 2,110. |
| b | | | <41.> |
| c | | | <41.> |
| d | | | <40.> |
| e | | | <39.> |
| f | | | <39.> |
| g | | | <39.> |
| h | | | <39.> |
| i | | | <39.> |
| j | | | <39.> |
| k | | | <39.> |
| l | | | <83.> |
| m | | | <124.> |
| n | | | <248.> |
| o | | | <1,200.> |

| | |
|---|---|
| 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 |
| 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 |

THE ABNER ROSEN FOUNDATION, INC.

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 ZOGENIX INC NEW | P | 10/08/18 | 09/05/18 |
| b ZUORA INC | P | 09/12/18 | 09/25/18 |
| c MONSTER BEVERAGE CORP | P | 09/21/18 | 09/21/18 |
| d ACTIVISION BLIZZARD INC | P | 07/30/18 | 09/11/18 |
| e ACTIVISION BLIZZARD INC | P | 08/02/18 | 09/11/18 |
| f ACTIVISION BLIZZARD INC | P | 08/17/18 | 09/11/18 |
| g ACTIVISION BLIZZARD INC | P | 08/20/18 | 09/12/18 |
| h ACTIVISION BLIZZARD INC | P | | 09/11/18 |
| i ACTIVISION BLIZZARD INC | P | 09/18/18 | 09/21/18 |
| j ACTIVISION BLIZZARD INC | P | 09/18/18 | 09/26/18 |
| k ACTIVISION BLIZZARD INC | P | 10/11/18 | 10/16/18 |
| l ACTIVISION BLIZZARD INC | P | 10/29/18 | 11/01/18 |
| m ACTIVISION BLIZZARD INC | P | 10/29/18 | 11/01/18 |
| n ACTIVISION BLIZZARD INC | P | 11/27/18 | 11/29/18 |
| o ACTIVISION BLIZZARD INC | P | | 11/29/18 |

| (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 <18,288.> | | | <18,288.> |
| b <9,432.> | | | <9,432.> |
| c 17,993. | | | 17,993. |
| d 486. | | | 486. |
| e 1,709. | | | 1,709. |
| f 3,097. | | | 3,097. |
| g 11,709. | | | 11,709. |
| h 6,784. | | | 6,784. |
| i 853. | | | 853. |
| j 228. | | | 228. |
| k 1,025. | | | 1,025. |
| l 233. | | | 233. |
| m 62. | | | 62. |
| n 43. | | | 43. |
| o 3,927. | | | 3,927. |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|---|
| (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 | | | <18,288.> |
| b | | | <9,432.> |
| c | | | 17,993. |
| d | | | 486. |
| e | | | 1,709. |
| f | | | 3,097. |
| g | | | 11,709. |
| h | | | 6,784. |
| i | | | 853. |
| j | | | 228. |
| k | | | 1,025. |
| l | | | 233. |
| m | | | 62. |
| n | | | 43. |
| o | | | 3,927. |

| | | |
|---|---|--|
| 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 | |
| 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 | |

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 AERCAP HOLDINGS NV | P | 07/05/18 | 07/25/18 |
| b AERCAP HOLDINGS NV | P | 07/05/18 | 07/25/18 |
| c AERCAP HOLDINGS NV | P | 07/06/18 | 07/25/18 |
| d AERCAP HOLDINGS NV | P | 09/18/18 | 09/21/18 |
| e AERCAP HOLDINGS NV | P | 11/29/18 | 12/03/18 |
| f AMERICAN INTERNATIONAL GROUP | P | 11/02/18 | 11/05/18 |
| g AMERICAN INTERNATIONAL GROUP | P | 11/05/18 | 11/05/18 |
| h AMERICAN INTERNATIONAL GROUP | P | 11/05/18 | 11/06/18 |
| i AMERICAN INTERNATIONAL GROUP | P | 11/15/18 | 11/19/18 |
| j AMERICAN INTERNATIONAL GROUP | P | 11/15/18 | 11/19/18 |
| k AMERICAN INTERNATIONAL GROUP | P | | 11/19/18 |
| l AMERICAN INTERNATIONAL GROUP | P | 11/27/18 | 11/28/18 |
| m AMERICAN INTERNATIONAL GROUP | P | 12/21/18 | 12/21/18 |
| n AMERICAN INTERNATIONAL GROUP | P | 12/21/18 | 12/21/18 |
| o ANHEUSER-BUSCH INBEV SPN ADR | P | 07/19/18 | 07/19/18 |

| (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 139. | | | 139. |
| b 140. | | | 140. |
| c 532. | | | 532. |
| d 160. | | | 160. |
| e <2,782.> | | | <2,782.> |
| f 536. | | | 536. |
| g 22. | | | 22. |
| h 91. | | | 91. |
| i 83. | | | 83. |
| j 211. | | | 211. |
| k 956. | | | 956. |
| l 195. | | | 195. |
| m <28.> | | | <28.> |
| n <2.> | | | <2.> |
| o <254.> | | | <254.> |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|---|
| (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 | | | 139. |
| b | | | 140. |
| c | | | 532. |
| d | | | 160. |
| e | | | <2,782.> |
| f | | | 536. |
| g | | | 22. |
| h | | | 91. |
| i | | | 83. |
| j | | | 211. |
| k | | | 956. |
| l | | | 195. |
| m | | | <28.> |
| n | | | <2.> |
| o | | | <254.> |

| | | |
|--|---|--|
| 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 | |
| 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 | |

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 ANHEUSER-BUSCH INBEV SPN ADR | P | 07/19/18 | 07/19/18 |
| b ARTSPARK HOLDINGS INC | P | 04/15/18 | 07/11/18 |
| c ARTSPARK HOLDINGS INC | P | 05/01/18 | 08/29/18 |
| d ARTSPARK HOLDINGS INC | P | 05/06/18 | 08/29/18 |
| e ARTSPARK HOLDINGS INC | P | 05/07/18 | 08/29/18 |
| f ARTSPARK HOLDINGS INC | P | 05/16/18 | 08/29/18 |
| g ARTSPARK HOLDINGS INC | P | 07/05/18 | 08/29/18 |
| h ARTSPARK HOLDINGS INC | P | 07/05/18 | 09/14/18 |
| i ARTSPARK HOLDINGS INC | P | 07/08/18 | 09/18/18 |
| j ARTSPARK HOLDINGS INC | P | 07/16/18 | 09/25/18 |
| k ARTSPARK HOLDINGS INC | P | 07/29/18 | 10/22/18 |
| l ARTSPARK HOLDINGS INC | P | 07/29/18 | 10/25/18 |
| m ARTSPARK HOLDINGS INC | P | 07/29/18 | 11/05/18 |
| n ARTSPARK HOLDINGS INC | P | 07/29/18 | 11/21/18 |
| o ARTSPARK HOLDINGS INC | P | 07/29/18 | 11/21/18 |

| (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 <67.> | | | <67.> |
| b 2,695. | | | 2,695. |
| c 280. | | | 280. |
| d 2,196. | | | 2,196. |
| e 1,976. | | | 1,976. |
| f 382. | | | 382. |
| g 459. | | | 459. |
| h 43. | | | 43. |
| i <171.> | | | <171.> |
| j <296.> | | | <296.> |
| k <144.> | | | <144.> |
| l <1,059.> | | | <1,059.> |
| m <2,645.> | | | <2,645.> |
| n <340.> | | | <340.> |
| o <116.> | | | <116.> |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|---|
| (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 | | | <67.> |
| b | | | 2,695. |
| c | | | 280. |
| d | | | 2,196. |
| e | | | 1,976. |
| f | | | 382. |
| g | | | 459. |
| h | | | 43. |
| i | | | <171.> |
| j | | | <296.> |
| k | | | <144.> |
| l | | | <1,059.> |
| m | | | <2,645.> |
| n | | | <340.> |
| o | | | <116.> |

| | | |
|---|---|--|
| 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 | |
| 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 | |

THE ABNER ROSEN FOUNDATION, INC.

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 ARTSPARK HOLDINGS INC | P | 07/30/18 | 12/19/18 |
| b ARTSPARK HOLDINGS INC | P | 07/30/18 | 12/20/18 |
| c ARTSPARK HOLDINGS INC | P | 07/30/18 | 12/21/18 |
| d ARTSPARK HOLDINGS INC | P | | 08/29/18 |
| e ARTSPARK HOLDINGS INC | P | | 08/29/18 |
| f ARTSPARK HOLDINGS INC | P | | 09/18/18 |
| g AVEX INC | P | 10/18/18 | 10/22/18 |
| h AVEX INC | P | 10/18/18 | 10/23/18 |
| i AVEX INC | P | 10/18/18 | 10/24/18 |
| j BELDEN INC | P | 07/23/18 | 07/23/18 |
| k BENCHMARK ELECTRONICS INC | P | 07/23/18 | 07/23/18 |
| l BILIBILI INC. | P | 09/19/18 | 10/23/18 |
| m BILIBILI INC. | P | 10/03/18 | 10/23/18 |
| n BILIBILI INC. | P | 10/03/18 | 10/24/18 |
| o BILIBILI INC. | P | | 10/23/18 |

| (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 <5,765.> | | | <5,765.> |
| b <1,285.> | | | <1,285.> |
| c <2,833.> | | | <2,833.> |
| d 316. | | | 316. |
| e 1,831. | | | 1,831. |
| f <224.> | | | <224.> |
| g <84.> | | | <84.> |
| h <88.> | | | <88.> |
| i <25.> | | | <25.> |
| j 779. | | | 779. |
| k <66.> | | | <66.> |
| l <214.> | | | <214.> |
| m <1,341.> | | | <1,341.> |
| n <2,974.> | | | <2,974.> |
| o <501.> | | | <501.> |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|---|
| (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 | | | <5,765.> |
| b | | | <1,285.> |
| c | | | <2,833.> |
| d | | | 316. |
| e | | | 1,831. |
| f | | | <224.> |
| g | | | <84.> |
| h | | | <88.> |
| i | | | <25.> |
| j | | | 779. |
| k | | | <66.> |
| l | | | <214.> |
| m | | | <1,341.> |
| n | | | <2,974.> |
| o | | | <501.> |

| | | |
|---|---|--|
| 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 | |
| 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 | |

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 BOLLORE | P | 07/12/18 | 10/15/18 |
| b BOLLORE | P | 07/12/18 | 10/15/18 |
| c BOLLORE | P | 07/12/18 | 10/19/18 |
| d BOLLORE | P | 07/12/18 | 10/23/18 |
| e BOLLORE | P | 07/13/18 | 10/23/18 |
| f BOLLORE | P | 07/13/18 | 10/24/18 |
| g BOLLORE | P | 07/17/18 | 10/24/18 |
| h BOLLORE | P | 07/27/18 | 10/24/18 |
| i BOLLORE | P | 09/13/18 | 10/26/18 |
| j BOLLORE | P | 09/18/18 | 10/26/18 |
| k BOLLORE | P | 09/28/18 | 10/26/18 |
| l BOLLORE | P | 09/28/18 | 10/30/18 |
| m BOLLORE | P | | 10/23/18 |
| n BOLLORE | P | | 10/24/18 |
| o BOLLORE | P | | 10/26/18 |

| (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 <10,515.> | | | <10,515.> |
| b <59.> | | | <59.> |
| c <5,743.> | | | <5,743.> |
| d <4,197.> | | | <4,197.> |
| e <553.> | | | <553.> |
| f <3,198.> | | | <3,198.> |
| g <8,890.> | | | <8,890.> |
| h <3,423.> | | | <3,423.> |
| i <1,036.> | | | <1,036.> |
| j <424.> | | | <424.> |
| k <2,085.> | | | <2,085.> |
| l <225.> | | | <225.> |
| m <601.> | | | <601.> |
| n <2,451.> | | | <2,451.> |
| o <42,638.> | | | <42,638.> |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|---|
| (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 | | | <10,515.> |
| b | | | <59.> |
| c | | | <5,743.> |
| d | | | <4,197.> |
| e | | | <553.> |
| f | | | <3,198.> |
| g | | | <8,890.> |
| h | | | <3,423.> |
| i | | | <1,036.> |
| j | | | <424.> |
| k | | | <2,085.> |
| l | | | <225.> |
| m | | | <601.> |
| n | | | <2,451.> |
| o | | | <42,638.> |

| | | |
|---|---|--|
| 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 | |
| 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 | |

THE ABNER ROSEN FOUNDATION, INC.

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 BOLLORE NV-NEW | P | 09/14/18 | 10/31/18 |
| b BROOKS AUTOMATION INC | P | 07/05/18 | 07/10/18 |
| c BROOKS AUTOMATION INC | P | 07/24/18 | 08/06/18 |
| d BROOKS AUTOMATION INC | P | 07/24/18 | 08/28/18 |
| e BROOKS AUTOMATION INC | P | 07/24/18 | 09/05/18 |
| f BROOKS AUTOMATION INC | P | 07/25/18 | 09/05/18 |
| g BROOKS AUTOMATION INC | P | 07/25/18 | 09/07/18 |
| h BROOKS AUTOMATION INC | P | | 09/05/18 |
| i BROOKS AUTOMATION INC | P | 10/11/18 | 10/24/18 |
| j BROOKS AUTOMATION INC | P | 10/11/18 | 10/24/18 |
| k BROOKS AUTOMATION INC | P | 10/23/18 | 10/29/18 |
| l BROOKS AUTOMATION INC | P | 10/23/18 | 10/29/18 |
| m BROOKS AUTOMATION INC | P | | 10/29/18 |
| n BROOKS AUTOMATION INC | P | 11/27/18 | 11/28/18 |
| o BROOKS AUTOMATION INC | P | 11/29/18 | 11/29/18 |

| (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 194. | | | 194. |
| b 904. | | | 904. |
| c 315. | | | 315. |
| d 14,847. | | | 14,847. |
| e 8,980. | | | 8,980. |
| f 1,783. | | | 1,783. |
| g 13,850. | | | 13,850. |
| h 1,680. | | | 1,680. |
| i 42. | | | 42. |
| j 91. | | | 91. |
| k 52. | | | 52. |
| l 56. | | | 56. |
| m 11. | | | 11. |
| n 11. | | | 11. |
| o <9.> | | | <9.> |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col (k), but not less than "-0-") |
|---|--------------------------------------|---|--|
| (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 | | | 194. |
| b | | | 904. |
| c | | | 315. |
| d | | | 14,847. |
| e | | | 8,980. |
| f | | | 1,783. |
| g | | | 13,850. |
| h | | | 1,680. |
| i | | | 42. |
| j | | | 91. |
| k | | | 52. |
| l | | | 56. |
| m | | | 11. |
| n | | | 11. |
| o | | | <9.> |

| | | |
|--|---|--|
| 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 | |
| 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 | |

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 CAPITAL SENIOR LIVING CORP | P | 12/26/18 | 12/26/18 |
| b CATERPILLAR INC | P | 07/23/18 | 07/23/18 |
| c CBS CORP-CLASS B NON VOTING | P | 12/18/18 | 12/19/18 |
| d CINCINNATI BELL INC | P | 12/24/18 | 12/27/18 |
| e CINCINNATI BELL INC | P | 12/24/18 | 12/31/18 |
| f COGECO INC | P | 06/07/18 | 07/12/18 |
| g COGECO INC | P | 06/07/18 | 07/12/18 |
| h COGECO INC | P | 06/07/18 | 08/03/18 |
| i COGECO INC | P | 06/14/18 | 08/03/18 |
| j COGECO INC | P | 06/14/18 | 08/03/18 |
| k COGECO INC | P | 06/19/18 | 08/10/18 |
| l COGECO INC | P | 06/19/18 | 08/16/18 |
| m COGECO INC | P | 06/20/18 | 08/16/18 |
| n COGECO INC | P | 06/26/18 | 10/11/18 |
| o COGECO INC | P | 06/27/18 | 10/11/18 |

| (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 17. | | | 17. |
| b 2,716. | | | 2,716. |
| c 624. | | | 624. |
| d 1,251. | | | 1,251. |
| e 2,546. | | | 2,546. |
| f 76. | | | 76. |
| g 149. | | | 149. |
| h 316. | | | 316. |
| i 805. | | | 805. |
| j 68. | | | 68. |
| k 849. | | | 849. |
| l 1,353. | | | 1,353. |
| m 1,367. | | | 1,367. |
| n 529. | | | 529. |
| o 44. | | | 44. |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|--|
| (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 | | | 17. |
| b | | | 2,716. |
| c | | | 624. |
| d | | | 1,251. |
| e | | | 2,546. |
| f | | | 76. |
| g | | | 149. |
| h | | | 316. |
| i | | | 805. |
| j | | | 68. |
| k | | | 849. |
| l | | | 1,353. |
| m | | | 1,367. |
| n | | | 529. |
| o | | | 44. |

| | | |
|--|---|--|
| 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 | |
| 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 | |

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 COGECO INC | P | 06/27/18 | 10/18/18 |
| b COGECO INC | P | 06/27/18 | 10/23/18 |
| c COGECO INC | P | 06/29/18 | 11/14/18 |
| d COGECO INC | P | 07/03/18 | 11/14/18 |
| e COGECO INC | P | 07/03/18 | 11/15/18 |
| f COGECO INC | P | | 08/03/18 |
| g COGECO INC | P | 09/07/18 | 12/04/18 |
| h COGECO INC | P | 09/18/18 | 12/04/18 |
| i COGECO INC | P | 09/25/18 | 12/04/18 |
| j COGECO INC | P | | 10/11/18 |
| k COGECO INC | P | 11/01/18 | 12/10/18 |
| l COGECO INC | P | 11/15/18 | 12/10/18 |
| m COGECO INC | P | 11/26/18 | 12/10/18 |
| n COGECO INC | P | 11/27/18 | 12/10/18 |
| o COGECO INC | P | 11/28/18 | 12/10/18 |

| (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 2,764. | | | 2,764. |
| b 1,994. | | | 1,994. |
| c 1,437. | | | 1,437. |
| d 2,973. | | | 2,973. |
| e 292. | | | 292. |
| f 158. | | | 158. |
| g 122. | | | 122. |
| h <96.> | | | <96.> |
| i 308. | | | 308. |
| j 89. | | | 89. |
| k <2,114.> | | | <2,114.> |
| l <808.> | | | <808.> |
| m 41. | | | 41. |
| n 158. | | | 158. |
| o 82. | | | 82. |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|---|
| (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 | | | 2,764. |
| b | | | 1,994. |
| c | | | 1,437. |
| d | | | 2,973. |
| e | | | 292. |
| f | | | 158. |
| g | | | 122. |
| h | | | <96.> |
| i | | | 308. |
| j | | | 89. |
| k | | | <2,114.> |
| l | | | <808.> |
| m | | | 41. |
| n | | | 158. |
| o | | | 82. |

| | | |
|---|---|--|
| 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 | |
| 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 | |

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 COGECO INC | P | 12/03/18 | 12/10/18 |
| b COGECO INC | P | | 12/03/18 |
| c COGECO INC | P | | 12/04/18 |
| d COGECO INC | P | | 12/04/18 |
| e COGECO INC | P | 12/07/18 | 12/10/18 |
| f COGECO INC | P | | 12/10/18 |
| g COMCAST CORP-CLASS A | P | 07/26/18 | 08/17/18 |
| h COMCAST CORP-CLASS A | P | 07/26/18 | 08/17/18 |
| i COMCAST CORP-CLASS A | P | 07/26/18 | 08/27/18 |
| j COMCAST CORP-CLASS A | P | 07/26/18 | 09/17/18 |
| k COMCAST CORP-CLASS A | P | 07/26/18 | 09/21/18 |
| l COMCAST CORP-CLASS A | P | | 09/21/18 |
| m COMCAST CORP-CLASS A | P | 09/24/18 | 10/22/18 |
| n COMCAST CORP-CLASS A | P | 10/11/18 | 10/23/18 |
| o COMCAST CORP-CLASS A | P | 10/11/18 | 10/23/18 |

| (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 <302.> | | | <302.> |
| b 36. | | | 36. |
| c 45. | | | 45. |
| d <450.> | | | <450.> |
| e <398.> | | | <398.> |
| f <207.> | | | <207.> |
| g <79.> | | | <79.> |
| h <3,933.> | | | <3,933.> |
| i 21. | | | 21. |
| j 293. | | | 293. |
| k 169. | | | 169. |
| l 33. | | | 33. |
| m 5. | | | 5. |
| n <1,984.> | | | <1,984.> |
| o 76. | | | 76. |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|---|
| (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 | | | <302.> |
| b | | | 36. |
| c | | | 45. |
| d | | | <450.> |
| e | | | <398.> |
| f | | | <207.> |
| g | | | <79.> |
| h | | | <3,933.> |
| i | | | 21. |
| j | | | 293. |
| k | | | 169. |
| l | | | 33. |
| m | | | 5. |
| n | | | <1,984.> |
| o | | | 76. |

| | |
|---|---|
| 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 |
| 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 |

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 COMCAST CORP-CLASS A | P | 10/11/18 | 10/29/18 |
| b COMCAST CORP-CLASS A | P | 10/25/18 | 10/29/18 |
| c COMCAST CORP-CLASS A | P | 10/25/18 | 11/01/18 |
| d COMCAST CORP-CLASS A | P | 10/30/18 | 11/01/18 |
| e COMCAST CORP-CLASS A | P | 11/02/18 | 11/02/18 |
| f CONSOLIDATED COMMUNICATIONS | P | 03/05/18 | 07/26/18 |
| g CONSOLIDATED COMMUNICATIONS | P | 03/05/18 | 07/27/18 |
| h CONSOLIDATED COMMUNICATIONS | P | 03/05/18 | 08/06/18 |
| i CONSOLIDATED COMMUNICATIONS | P | 03/06/18 | 08/06/18 |
| j CONSOLIDATED COMMUNICATIONS | P | 03/08/18 | 08/06/18 |
| k CONSOLIDATED COMMUNICATIONS | P | 03/28/18 | 08/09/18 |
| l CONSOLIDATED COMMUNICATIONS | P | 03/28/18 | 08/10/18 |
| m CONSOLIDATED COMMUNICATIONS | P | 04/03/18 | 08/10/18 |
| n CONSOLIDATED COMMUNICATIONS | P | 04/10/18 | 08/10/18 |
| o CONSOLIDATED COMMUNICATIONS | P | 04/10/18 | 08/15/18 |

| (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 <564.> | | | <564.> |
| b <10,279.> | | | <10,279.> |
| c 751. | | | 751. |
| d <713.> | | | <713.> |
| e 8. | | | 8. |
| f 1,166. | | | 1,166. |
| g 905. | | | 905. |
| h <1,297.> | | | <1,297.> |
| i <349.> | | | <349.> |
| j <118.> | | | <118.> |
| k <2,920.> | | | <2,920.> |
| l <7.> | | | <7.> |
| m <2,017.> | | | <2,017.> |
| n <762.> | | | <762.> |
| o <408.> | | | <408.> |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|---|
| (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 | | | <564.> |
| b | | | <10,279.> |
| c | | | 751. |
| d | | | <713.> |
| e | | | 8. |
| f | | | 1,166. |
| g | | | 905. |
| h | | | <1,297.> |
| i | | | <349.> |
| j | | | <118.> |
| k | | | <2,920.> |
| l | | | <7.> |
| m | | | <2,017.> |
| n | | | <762.> |
| o | | | <408.> |

| | | |
|---|---|--|
| 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 | |
| 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 | |

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.) |
|---|--|--------------------------------------|----------------------------------|
| a CONSOLIDATED COMMUNICATIONS | P | 04/10/18 | 09/21/18 |
| b CONSOLIDATED COMMUNICATIONS | P | 04/10/18 | 10/04/18 |
| c CONSOLIDATED COMMUNICATIONS | P | 04/25/18 | 10/04/18 |
| d CONSOLIDATED COMMUNICATIONS | P | 04/25/18 | 10/10/18 |
| e CONSOLIDATED COMMUNICATIONS | P | 04/27/18 | 10/10/18 |
| f CONSOLIDATED COMMUNICATIONS | P | 05/03/18 | 10/10/18 |
| g CONSOLIDATED COMMUNICATIONS | P | 05/14/18 | 10/10/18 |
| h CONSOLIDATED COMMUNICATIONS | P | 05/18/18 | 10/10/18 |
| i CONSOLIDATED COMMUNICATIONS | P | | 08/06/18 |
| j CONSOLIDATED COMMUNICATIONS | P | | 08/10/18 |
| k CONSOLIDATED COMMUNICATIONS | P | | 10/10/18 |
| l CONSOLIDATED COMMUNICATIONS | P | 10/11/18 | 11/05/18 |
| m CONSOLIDATED COMMUNICATIONS | P | 10/11/18 | 11/05/18 |
| n CONSOLIDATED COMMUNICATIONS | P | 10/11/18 | 11/19/18 |
| o CONSOLIDATED COMMUNICATIONS | P | 10/12/18 | 11/19/18 |

| (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 1,476. | | | 1,476. |
| b 1,375. | | | 1,375. |
| c 241. | | | 241. |
| d 1,404. | | | 1,404. |
| e 2,980. | | | 2,980. |
| f 3,944. | | | 3,944. |
| g 1,551. | | | 1,551. |
| h 756. | | | 756. |
| i <103.> | | | <103.> |
| j <422.> | | | <422.> |
| k 941. | | | 941. |
| l 4. | | | 4. |
| m 12. | | | 12. |
| n 703. | | | 703. |
| o 45. | | | 45. |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|---|
| (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 | | | 1,476. |
| b | | | 1,375. |
| c | | | 241. |
| d | | | 1,404. |
| e | | | 2,980. |
| f | | | 3,944. |
| g | | | 1,551. |
| h | | | 756. |
| i | | | <103.> |
| j | | | <422.> |
| k | | | 941. |
| l | | | 4. |
| m | | | 12. |
| n | | | 703. |
| o | | | 45. |

| | | |
|---|---|--|
| 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 | |
| 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 | |

| 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 | CRE INC/JAPAN | | P | 04/30/18 | 07/04/18 |
| b | CRE INC/JAPAN | | P | 06/10/18 | 07/19/18 |
| c | CRE INC/JAPAN | | P | 06/10/18 | 07/19/18 |
| d | CRE INC/JAPAN | | P | 06/10/18 | 07/25/18 |
| e | CRE INC/JAPAN | | P | | 07/04/18 |
| f | CRE INC/JAPAN | | P | 09/10/18 | 10/12/18 |
| g | CRE INC/JAPAN | | P | 09/10/18 | 10/15/18 |
| h | CRE INC/JAPAN | | P | 09/11/18 | 10/15/18 |
| i | CRE INC/JAPAN | | P | 09/12/18 | 10/15/18 |
| j | CRE INC/JAPAN | | P | 09/12/18 | 10/24/18 |
| k | CRE INC/JAPAN | | P | | 10/15/18 |
| l | DAIFUKU CO LTD | | P | 10/29/18 | 11/05/18 |
| m | DAIFUKU CO LTD | | P | 10/29/18 | 11/05/18 |
| n | DAIFUKU CO LTD | | P | 10/29/18 | 11/13/18 |
| o | DAIFUKU CO LTD | | P | 10/29/18 | 11/13/18 |
| (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 | 824. | | 824. | | |
| b | 102. | | 102. | | |
| c | 104. | | 104. | | |
| d | 383. | | 383. | | |
| e | 230. | | 230. | | |
| f | <386.> | | <386.> | | |
| g | <3,028.> | | <3,028.> | | |
| h | <458.> | | <458.> | | |
| i | <276.> | | <276.> | | |
| j | <52.> | | <52.> | | |
| k | <520.> | | <520.> | | |
| l | 721. | | 721. | | |
| m | 332. | | 332. | | |
| n | 640. | | 640. | | |
| o | 187. | | 187. | | |
| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") | | |
| (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 | | | 824. | | |
| b | | | 102. | | |
| c | | | 104. | | |
| d | | | 383. | | |
| e | | | 230. | | |
| f | | | <386.> | | |
| g | | | <3,028.> | | |
| h | | | <458.> | | |
| i | | | <276.> | | |
| j | | | <52.> | | |
| k | | | <520.> | | |
| l | | | 721. | | |
| m | | | 332. | | |
| n | | | 640. | | |
| o | | | 187. | | |
| 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 | | |
| 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 | | |

| 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 DAIFUKU CO LTD | P | 10/29/18 | 11/21/18 |
| b DAIFUKU CO LTD | P | 10/30/18 | 11/21/18 |
| c DAIFUKU CO LTD | P | 11/05/18 | 11/21/18 |
| d DAIFUKU CO LTD | P | 11/05/18 | 11/26/18 |
| e DAIFUKU CO LTD | P | 11/05/18 | 11/27/18 |
| f DAIFUKU CO LTD | P | 11/06/18 | 11/27/18 |
| g DAIFUKU CO LTD | P | 11/06/18 | 12/05/18 |
| h DAIFUKU CO LTD | P | 11/14/18 | 12/05/18 |
| i DAIFUKU CO LTD | P | 11/28/18 | 12/06/18 |
| j DAIFUKU CO LTD | P | | 12/06/18 |
| k DAIFUKU CO LTD | P | 12/10/18 | 12/18/18 |
| l DAIFUKU CO LTD | P | | 12/18/18 |
| m DEL FRISCO'S RESTAURANT GROU | P | | 12/17/18 |
| n DELUXE CORP | P | 07/20/18 | 07/20/18 |
| o DOMO INC - CLASS B | P | 12/06/18 | 12/14/18 |

| (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 213. | | | 213. |
| b 490. | | | 490. |
| c 514. | | | 514. |
| d 2,058. | | | 2,058. |
| e 1,351. | | | 1,351. |
| f 2,261. | | | 2,261. |
| g 2,120. | | | 2,120. |
| h 155. | | | 155. |
| i <212.> | | | <212.> |
| j 790. | | | 790. |
| k <1,451.> | | | <1,451.> |
| l <1,110.> | | | <1,110.> |
| m 2. | | | 2. |
| n <180.> | | | <180.> |
| o 13,648. | | | 13,648. |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|---|
| (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 | | | 213. |
| b | | | 490. |
| c | | | 514. |
| d | | | 2,058. |
| e | | | 1,351. |
| f | | | 2,261. |
| g | | | 2,120. |
| h | | | 155. |
| i | | | <212.> |
| j | | | 790. |
| k | | | <1,451.> |
| l | | | <1,110.> |
| m | | | 2. |
| n | | | <180.> |
| o | | | 13,648. |

| | | |
|---|---|--|
| 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 | |
| 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 | |

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 DOMO INC - CLASS B | P | 12/07/18 | 12/17/18 |
| b EASTMAN CHEMICAL CO | P | 10/30/18 | 11/05/18 |
| c EASTMAN CHEMICAL CO | P | 10/30/18 | 11/05/18 |
| d EASTMAN CHEMICAL CO | P | 10/31/18 | 11/06/18 |
| e EASTMAN CHEMICAL CO | P | 10/31/18 | 11/12/18 |
| f EASTMAN CHEMICAL CO | P | 11/14/18 | 11/19/18 |
| g EASTMAN CHEMICAL CO | P | 11/14/18 | 11/19/18 |
| h EASTMAN CHEMICAL CO | P | | 11/14/18 |
| i EASTMAN CHEMICAL CO | P | 11/29/18 | 12/03/18 |
| j EASTMAN CHEMICAL CO | P | 11/29/18 | 12/07/18 |
| k FAITH INC | P | 03/07/18 | 07/04/18 |
| l FAITH INC | P | 03/07/18 | 07/17/18 |
| m FAITH INC | P | 03/08/18 | 07/25/18 |
| n FAITH INC | P | 03/08/18 | 07/26/18 |
| o FAITH INC | P | 03/11/18 | 07/27/18 |

| (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 5,186. | | | 5,186. |
| b 1,504. | | | 1,504. |
| c 478. | | | 478. |
| d 1,476. | | | 1,476. |
| e 1,073. | | | 1,073. |
| f 61. | | | 61. |
| g 136. | | | 136. |
| h 16. | | | 16. |
| i 224. | | | 224. |
| j <11,044.> | | | <11,044.> |
| k 932. | | | 932. |
| l 574. | | | 574. |
| m 63. | | | 63. |
| n 56. | | | 56. |
| o 55. | | | 55. |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|---|
| (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 | | | 5,186. |
| b | | | 1,504. |
| c | | | 478. |
| d | | | 1,476. |
| e | | | 1,073. |
| f | | | 61. |
| g | | | 136. |
| h | | | 16. |
| i | | | 224. |
| j | | | <11,044.> |
| k | | | 932. |
| l | | | 574. |
| m | | | 63. |
| n | | | 56. |
| o | | | 55. |

| | | |
|---|---|--|
| 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 | |
| 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 | |

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 FAITH INC | P | 03/12/18 | 07/27/18 |
| b FAITH INC | P | 03/13/18 | 07/27/18 |
| c FAITH INC | P | 03/14/18 | 07/27/18 |
| d FAITH INC | P | 03/18/18 | 07/30/18 |
| e FAITH INC | P | 03/22/18 | 07/30/18 |
| f FAITH INC | P | 03/23/18 | 07/30/18 |
| g FAITH INC | P | 03/23/18 | 07/31/18 |
| h FAITH INC | P | 03/25/18 | 07/31/18 |
| i FAITH INC | P | 03/25/18 | 08/08/18 |
| j FAITH INC | P | 03/25/18 | 08/09/18 |
| k FAITH INC | P | 03/29/18 | 08/30/18 |
| l FAITH INC | P | 04/04/18 | 08/30/18 |
| m FAITH INC | P | 04/04/18 | 08/31/18 |
| n FAITH INC | P | 04/04/18 | 10/09/18 |
| o FAITH INC | P | 04/24/18 | 11/14/18 |

| (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 <62.> | | | <62.> |
| b <21.> | | | <21.> |
| c <5.> | | | <5.> |
| d <8.> | | | <8.> |
| e 273. | | | 273. |
| f 130. | | | 130. |
| g 159. | | | 159. |
| h 170. | | | 170. |
| i 230. | | | 230. |
| j 153. | | | 153. |
| k 40. | | | 40. |
| l <129.> | | | <129.> |
| m <252.> | | | <252.> |
| n 8. | | | 8. |
| o 41. | | | 41. |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|---|
| (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 | | | <62.> |
| b | | | <21.> |
| c | | | <5.> |
| d | | | <8.> |
| e | | | 273. |
| f | | | 130. |
| g | | | 159. |
| h | | | 170. |
| i | | | 230. |
| j | | | 153. |
| k | | | 40. |
| l | | | <129.> |
| m | | | <252.> |
| n | | | 8. |
| o | | | 41. |

| | | |
|---|---|--|
| 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 | |
| 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 | |

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 FAITH INC | P | 04/24/18 | 11/27/18 |
| b FAITH INC | P | | 07/20/18 |
| c FAITH INC | P | | 07/27/18 |
| d FAITH INC | P | | 07/30/18 |
| e FAITH INC | P | | 08/29/18 |
| f FAITH INC | P | | 10/25/18 |
| g FAITH INC | P | | 11/28/18 |
| h FIVE POINT HOLDINGS LLC-CL A | P | 05/15/18 | 07/05/18 |
| i FIVE POINT HOLDINGS LLC-CL A | P | 05/15/18 | 07/05/18 |
| j FIVE POINT HOLDINGS LLC-CL A | P | 05/18/18 | 07/05/18 |
| k FIVE POINT HOLDINGS LLC-CL A | P | 05/21/18 | 07/05/18 |
| l FIVE POINT HOLDINGS LLC-CL A | P | 05/22/18 | 07/05/18 |
| m FIVE POINT HOLDINGS LLC-CL A | P | 05/29/18 | 07/06/18 |
| n FIVE POINT HOLDINGS LLC-CL A | P | 05/29/18 | 07/11/18 |
| o FIVE POINT HOLDINGS LLC-CL A | P | 05/30/18 | 07/11/18 |

| (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 109. | | | 109. |
| b 1,015. | | | 1,015. |
| c <41.> | | | <41.> |
| d 24. | | | 24. |
| e 130. | | | 130. |
| f 227. | | | 227. |
| g 24. | | | 24. |
| h <4,312.> | | | <4,312.> |
| i <253.> | | | <253.> |
| j <506.> | | | <506.> |
| k 482. | | | 482. |
| l <3,507.> | | | <3,507.> |
| m <4,548.> | | | <4,548.> |
| n <249.> | | | <249.> |
| o <7,045.> | | | <7,045.> |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col (k), but not less than "-0-") |
|---|--------------------------------------|---|--|
| (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 | | | 109. |
| b | | | 1,015. |
| c | | | <41.> |
| d | | | 24. |
| e | | | 130. |
| f | | | 227. |
| g | | | 24. |
| h | | | <4,312.> |
| i | | | <253.> |
| j | | | <506.> |
| k | | | 482. |
| l | | | <3,507.> |
| m | | | <4,548.> |
| n | | | <249.> |
| o | | | <7,045.> |

| | | |
|--|---|--|
| 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 | |
| 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 | |

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 FIVE POINT HOLDINGS LLC-CL A | P | 05/30/18 | 07/13/18 |
| b FIVE POINT HOLDINGS LLC-CL A | P | 05/30/18 | 07/16/18 |
| c FIVE POINT HOLDINGS LLC-CL A | P | 05/31/18 | 07/16/18 |
| d FIVE POINT HOLDINGS LLC-CL A | P | 05/31/18 | 07/17/18 |
| e FIVE POINT HOLDINGS LLC-CL A | P | 05/31/18 | 07/19/18 |
| f FIVE POINT HOLDINGS LLC-CL A | P | 05/31/18 | 07/24/18 |
| g FIVE POINT HOLDINGS LLC-CL A | P | 06/01/18 | 07/24/18 |
| h FIVE POINT HOLDINGS LLC-CL A | P | 06/12/18 | 07/24/18 |
| i FIVE POINT HOLDINGS LLC-CL A | P | 06/13/18 | 07/24/18 |
| j FIVE POINT HOLDINGS LLC-CL A | P | 06/13/18 | 07/26/18 |
| k FIVE POINT HOLDINGS LLC-CL A | P | 06/15/18 | 07/26/18 |
| l FIVE POINT HOLDINGS LLC-CL A | P | 06/15/18 | 07/27/18 |
| m FIVE POINT HOLDINGS LLC-CL A | P | 06/19/18 | 07/27/18 |
| n FIVE POINT HOLDINGS LLC-CL A | P | 06/19/18 | 08/02/18 |
| o FIVE POINT HOLDINGS LLC-CL A | P | 06/20/18 | 08/02/18 |

| (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 <2,181.> | | | <2,181.> |
| b 2,349. | | | 2,349. |
| c 116. | | | 116. |
| d 1,849. | | | 1,849. |
| e 2,533. | | | 2,533. |
| f 480. | | | 480. |
| g 1,478. | | | 1,478. |
| h <840.> | | | <840.> |
| i <1,050.> | | | <1,050.> |
| j <859.> | | | <859.> |
| k <4,275.> | | | <4,275.> |
| l <2,219.> | | | <2,219.> |
| m <12,736.> | | | <12,736.> |
| n <466.> | | | <466.> |
| o <531.> | | | <531.> |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|---|
| (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 | | | <2,181.> |
| b | | | 2,349. |
| c | | | 116. |
| d | | | 1,849. |
| e | | | 2,533. |
| f | | | 480. |
| g | | | 1,478. |
| h | | | <840.> |
| i | | | <1,050.> |
| j | | | <859.> |
| k | | | <4,275.> |
| l | | | <2,219.> |
| m | | | <12,736.> |
| n | | | <466.> |
| o | | | <531.> |

| | | |
|---|---|--|
| 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 | |
| 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 | |

| 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 | FIVE POINT HOLDINGS LLC-CL A | P | 06/28/18 | 08/02/18 |
| b | FIVE POINT HOLDINGS LLC-CL A | P | | 07/05/18 |
| c | FIVE POINT HOLDINGS LLC-CL A | P | | 07/06/18 |
| d | FIVE POINT HOLDINGS LLC-CL A | P | | 07/11/18 |
| e | FIVE POINT HOLDINGS LLC-CL A | P | | 07/16/18 |
| f | FIVE POINT HOLDINGS LLC-CL A | P | | 07/24/18 |
| g | FIVE POINT HOLDINGS LLC-CL A | P | | 07/27/18 |
| h | FIVE POINT HOLDINGS LLC-CL A | P | | 08/02/18 |
| i | FIVE POINT HOLDINGS LLC-CL A | P | 09/25/18 | 12/31/18 |
| j | FIVE POINT HOLDINGS LLC-CL A | P | 09/25/18 | 12/31/18 |
| k | FIVE POINT HOLDINGS LLC-CL A | P | | 12/31/18 |
| l | FUNKO INC-CLASS A | P | 07/18/18 | 07/19/18 |
| m | FUNKO INC-CLASS A | P | 07/18/18 | 07/24/18 |
| n | FUNKO INC-CLASS A | P | 12/14/18 | 12/14/18 |
| o | FUNKO INC-CLASS A | P | 12/14/18 | 12/19/18 |
| (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 | <3,411.> | | <3,411.> | |
| b | <1,279.> | | <1,279.> | |
| c | <7,018.> | | <7,018.> | |
| d | <778.> | | <778.> | |
| e | 108. | | 108. | |
| f | <168.> | | <168.> | |
| g | <1,676.> | | <1,676.> | |
| h | <171.> | | <171.> | |
| i | <6,067.> | | <6,067.> | |
| j | <144.> | | <144.> | |
| k | <144.> | | <144.> | |
| l | 1,435. | | 1,435. | |
| m | 2,312. | | 2,312. | |
| n | 3. | | 3. | |
| o | 73. | | 73. | |
| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") | |
| (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 | | | <3,411.> | |
| b | | | <1,279.> | |
| c | | | <7,018.> | |
| d | | | <778.> | |
| e | | | 108. | |
| f | | | <168.> | |
| g | | | <1,676.> | |
| h | | | <171.> | |
| i | | | <6,067.> | |
| j | | | <144.> | |
| k | | | <144.> | |
| l | | | 1,435. | |
| m | | | 2,312. | |
| n | | | 3. | |
| o | | | 73. | |
| 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 | |
| 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 | |

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 FURYU CORP | P | 07/12/18 | 10/11/18 |
| b FURYU CORP | P | 07/12/18 | 10/12/18 |
| c FURYU CORP | P | 07/12/18 | 10/22/18 |
| d FURYU CORP | P | 07/12/18 | 11/21/18 |
| e FURYU CORP | P | 07/12/18 | 11/27/18 |
| f FURYU CORP | P | 07/12/18 | 11/28/18 |
| g FURYU CORP | P | 07/12/18 | 12/18/18 |
| h FURYU CORP | P | 07/19/18 | 12/18/18 |
| i FURYU CORP | P | 07/23/18 | 12/18/18 |
| j FURYU CORP | P | 07/26/18 | 12/18/18 |
| k FURYU CORP | P | 08/24/18 | 12/21/18 |
| l FURYU CORP | P | | 12/18/18 |
| m FURYU CORP | P | | 12/19/18 |
| n FURYU CORP | P | | 12/20/18 |
| o FURYU CORP | P | | 12/21/18 |

| (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 9. | | | 9. |
| b 9. | | | 9. |
| c 19. | | | 19. |
| d 259. | | | 259. |
| e 1,102. | | | 1,102. |
| f 554. | | | 554. |
| g 1,223. | | | 1,223. |
| h 54. | | | 54. |
| i 103. | | | 103. |
| j 24. | | | 24. |
| k 280. | | | 280. |
| l 407. | | | 407. |
| m 669. | | | 669. |
| n 270. | | | 270. |
| o 296. | | | 296. |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|---|
| (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 | | | 9. |
| b | | | 9. |
| c | | | 19. |
| d | | | 259. |
| e | | | 1,102. |
| f | | | 554. |
| g | | | 1,223. |
| h | | | 54. |
| i | | | 103. |
| j | | | 24. |
| k | | | 280. |
| l | | | 407. |
| m | | | 669. |
| n | | | 270. |
| o | | | 296. |

| | | |
|---|---|--|
| 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 | |
| 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 | |

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 | GENWORTH FINANCIAL INC-CL A | P | 11/19/18 | 11/19/18 |
| b | GENWORTH FINANCIAL INC-CL A | P | 11/19/18 | 11/19/18 |
| c | GNC HOLDINGS INC-CL A | P | 10/29/18 | 10/29/18 |
| d | GOLDMAN SACHS GROUP INC | P | 11/13/18 | 11/13/18 |
| e | GOLDMAN SACHS GROUP INC | P | 11/14/18 | 11/14/18 |
| f | GOLDMAN SACHS GROUP INC | P | 11/14/18 | 11/14/18 |
| g | GRAVITY CO LTD-SPONSORED ADR | P | 07/16/18 | 07/24/18 |
| h | GRAVITY CO LTD-SPONSORED ADR | P | 07/16/18 | 07/25/18 |
| i | GRUBHUB INC | P | 11/29/18 | 12/06/18 |
| j | GRUBHUB INC | P | 11/30/18 | 12/06/18 |
| k | GRUBHUB INC | P | 12/06/18 | 12/06/18 |
| l | GRUBHUB INC | P | 12/06/18 | 12/10/18 |
| m | GRUBHUB INC | P | | 12/06/18 |
| n | IG PORT INC | P | 04/13/18 | 10/25/18 |
| o | IG PORT INC | P | 04/24/18 | 10/25/18 |

| | (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 | <1,442.> | | | <1,442.> |
| b | <2,351.> | | | <2,351.> |
| c | 101. | | | 101. |
| d | 37. | | | 37. |
| e | 346. | | | 346. |
| f | 575. | | | 575. |
| g | 6,085. | | | 6,085. |
| h | 8. | | | 8. |
| i | <614.> | | | <614.> |
| j | <2,808.> | | | <2,808.> |
| k | <145.> | | | <145.> |
| l | <296.> | | | <296.> |
| m | <433.> | | | <433.> |
| n | <9,931.> | | | <9,931.> |
| o | <1,272.> | | | <1,272.> |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|---|
| (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 | | | <1,442.> |
| b | | | <2,351.> |
| c | | | 101. |
| d | | | 37. |
| e | | | 346. |
| f | | | 575. |
| g | | | 6,085. |
| h | | | 8. |
| i | | | <614.> |
| j | | | <2,808.> |
| k | | | <145.> |
| l | | | <296.> |
| m | | | <433.> |
| n | | | <9,931.> |
| o | | | <1,272.> |

| | | |
|---|--|---|
| 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 |
| 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 |

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 IG PORT INC | P | 04/24/18 | 11/05/18 |
| b IG PORT INC | P | 04/24/18 | 11/14/18 |
| c IG PORT INC | P | 04/24/18 | 11/15/18 |
| d IG PORT INC | P | 04/24/18 | 11/26/18 |
| e IG PORT INC | P | 04/24/18 | 11/28/18 |
| f IG PORT INC | P | 04/24/18 | 11/29/18 |
| g IG PORT INC | P | 04/25/18 | 11/29/18 |
| h IG PORT INC | P | 04/26/18 | 12/04/18 |
| i IG PORT INC | P | 05/06/18 | 12/05/18 |
| j IG PORT INC | P | 05/27/18 | 12/19/18 |
| k IG PORT INC | P | 05/27/18 | 12/21/18 |
| l IG PORT INC | P | 06/15/18 | 12/21/18 |
| m IG PORT INC | P | 06/25/18 | 12/21/18 |
| n IG PORT INC | P | 06/25/18 | 12/26/18 |
| o IG PORT INC | P | 06/27/18 | 12/26/18 |

| (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 <4,777.> | | | <4,777.> |
| b <4,994.> | | | <4,994.> |
| c <3,824.> | | | <3,824.> |
| d <8,841.> | | | <8,841.> |
| e <2,625.> | | | <2,625.> |
| f <1,446.> | | | <1,446.> |
| g <3,995.> | | | <3,995.> |
| h <1,138.> | | | <1,138.> |
| i <719.> | | | <719.> |
| j <4,821.> | | | <4,821.> |
| k <1,842.> | | | <1,842.> |
| l <25,324.> | | | <25,324.> |
| m <15,583.> | | | <15,583.> |
| n <14,355.> | | | <14,355.> |
| o <2,036.> | | | <2,036.> |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|---|
| (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 | | | <4,777.> |
| b | | | <4,994.> |
| c | | | <3,824.> |
| d | | | <8,841.> |
| e | | | <2,625.> |
| f | | | <1,446.> |
| g | | | <3,995.> |
| h | | | <1,138.> |
| i | | | <719.> |
| j | | | <4,821.> |
| k | | | <1,842.> |
| l | | | <25,324.> |
| m | | | <15,583.> |
| n | | | <14,355.> |
| o | | | <2,036.> |

| | | |
|---|---|--|
| 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 | |
| 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 | |

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 IG PORT INC | P | 06/27/18 | 12/27/18 |
| b IG PORT INC | P | | 11/29/18 |
| c IG PORT INC | P | | 11/30/18 |
| d IMAGICA ROBOT HOLDINGS INC | P | 02/23/18 | 07/04/18 |
| e IMAGICA ROBOT HOLDINGS INC | P | 03/14/18 | 07/11/18 |
| f IMAGICA ROBOT HOLDINGS INC | P | 03/26/18 | 07/11/18 |
| g IMAGICA ROBOT HOLDINGS INC | P | 05/09/18 | 07/11/18 |
| h IMAGICA ROBOT HOLDINGS INC | P | 05/09/18 | 07/12/18 |
| i IMAGICA ROBOT HOLDINGS INC | P | 05/10/18 | 07/12/18 |
| j IMAGICA ROBOT HOLDINGS INC | P | 05/10/18 | 07/13/18 |
| k IMAGICA ROBOT HOLDINGS INC | P | 07/05/18 | 07/13/18 |
| l IMAGICA ROBOT HOLDINGS INC | P | 07/05/18 | 07/25/18 |
| m IMAGICA ROBOT HOLDINGS INC | P | | 07/11/18 |
| n IMAGICA ROBOT HOLDINGS INC | P | | 07/12/18 |
| o IMAGICA ROBOT HOLDINGS INC | P | | 07/13/18 |

| (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 <6,005.> | | | <6,005.> |
| b <1,898.> | | | <1,898.> |
| c <1,142.> | | | <1,142.> |
| d <4,928.> | | | <4,928.> |
| e <1,427.> | | | <1,427.> |
| f <789.> | | | <789.> |
| g <3,014.> | | | <3,014.> |
| h <1,814.> | | | <1,814.> |
| i <989.> | | | <989.> |
| j <2,675.> | | | <2,675.> |
| k <2,467.> | | | <2,467.> |
| l <86.> | | | <86.> |
| m <15,225.> | | | <15,225.> |
| n <4,367.> | | | <4,367.> |
| o <635.> | | | <635.> |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|---|
| (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 | | | <6,005.> |
| b | | | <1,898.> |
| c | | | <1,142.> |
| d | | | <4,928.> |
| e | | | <1,427.> |
| f | | | <789.> |
| g | | | <3,014.> |
| h | | | <1,814.> |
| i | | | <989.> |
| j | | | <2,675.> |
| k | | | <2,467.> |
| l | | | <86.> |
| m | | | <15,225.> |
| n | | | <4,367.> |
| o | | | <635.> |

| | | |
|---|---|--|
| 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 | |
| 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 | |

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 INSPIRE MEDICAL SYSTEMS INC | P | 06/14/18 | 07/10/18 |
| b INTU PROPERTIES PLC | P | 11/29/18 | 12/03/18 |
| c INTU PROPERTIES PLC | P | 11/29/18 | 12/03/18 |
| d INVESCO QQQ TRUST SERIES 1 | P | 07/02/18 | 07/02/18 |
| e ISHARES CHINA LARGE-CAP ETF | P | 07/23/18 | 07/23/18 |
| f ISHARES CHINA LARGE-CAP ETF | P | 10/31/18 | 10/31/18 |
| g ISHARES MSCI EMERGING MARKET | P | 10/10/18 | 10/10/18 |
| h ISHARES RUSSELL 2000 ETF | P | 07/02/18 | 07/02/18 |
| i JAPAN LOGISTICS FUND, INC. | P | 09/13/18 | 09/18/18 |
| j JD.COM INC-ADR | P | 09/05/18 | 09/14/18 |
| k JD.COM INC-ADR | P | 09/06/18 | 09/17/18 |
| l JD.COM INC-ADR | P | 09/06/18 | 09/28/18 |
| m JM SMUCKER CO/THE | P | 11/27/18 | 11/28/18 |
| n JM SMUCKER CO/THE | P | 11/29/18 | 11/29/18 |
| o JUNGHEINRICH - PRFD | P | 06/21/18 | 07/02/18 |

| (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 9. | | | 9. |
| b <828.> | | | <828.> |
| c <325.> | | | <325.> |
| d 590. | | | 590. |
| e <866.> | | | <866.> |
| f <436.> | | | <436.> |
| g 1,533. | | | 1,533. |
| h 760. | | | 760. |
| i <145.> | | | <145.> |
| j 2,587. | | | 2,587. |
| k <2,648.> | | | <2,648.> |
| l <2.> | | | <2.> |
| m <6,250.> | | | <6,250.> |
| n 156. | | | 156. |
| o 40. | | | 40. |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|---|
| (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 | | | 9. |
| b | | | <828.> |
| c | | | <325.> |
| d | | | 590. |
| e | | | <866.> |
| f | | | <436.> |
| g | | | 1,533. |
| h | | | 760. |
| i | | | <145.> |
| j | | | 2,587. |
| k | | | <2,648.> |
| l | | | <2.> |
| m | | | <6,250.> |
| n | | | 156. |
| o | | | 40. |

| | | |
|---|---|--|
| 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 | |
| 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 | |

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 JUNGHEINRICH - PRFD | P | 06/21/18 | 07/02/18 |
| b JUNGHEINRICH - PRFD | P | 06/21/18 | 07/10/18 |
| c JUNGHEINRICH - PRFD | P | 08/14/18 | 09/17/18 |
| d JUNGHEINRICH - PRFD | P | 08/27/18 | 09/17/18 |
| e JUNGHEINRICH - PRFD | P | 08/27/18 | 09/18/18 |
| f JUNGHEINRICH - PRFD | P | 09/07/18 | 09/18/18 |
| g JUNGHEINRICH - PRFD | P | 09/07/18 | 09/20/18 |
| h JUNGHEINRICH - PRFD | P | | 09/17/18 |
| i JUNGHEINRICH - PRFD | P | | 09/18/18 |
| j JUNGHEINRICH - PRFD | P | 10/12/18 | 11/01/18 |
| k JUNGHEINRICH - PRFD | P | 10/12/18 | 11/08/18 |
| l JUNGHEINRICH - PRFD | P | 10/12/18 | 11/08/18 |
| m JUNGHEINRICH - PRFD | P | 10/12/18 | 11/14/18 |
| n JUNGHEINRICH - PRFD | P | 10/12/18 | 11/14/18 |
| o JUNGHEINRICH - PRFD | P | 10/19/18 | 11/14/18 |

| (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 187. | | | 187. |
| b 23. | | | 23. |
| c 2,211. | | | 2,211. |
| d 273. | | | 273. |
| e 284. | | | 284. |
| f 825. | | | 825. |
| g 4,129. | | | 4,129. |
| h 177. | | | 177. |
| i 685. | | | 685. |
| j 881. | | | 881. |
| k 98. | | | 98. |
| l 241. | | | 241. |
| m 439. | | | 439. |
| n 80. | | | 80. |
| o 2,049. | | | 2,049. |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|---|
| (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 | | | 187. |
| b | | | 23. |
| c | | | 2,211. |
| d | | | 273. |
| e | | | 284. |
| f | | | 825. |
| g | | | 4,129. |
| h | | | 177. |
| i | | | 685. |
| j | | | 881. |
| k | | | 98. |
| l | | | 241. |
| m | | | 439. |
| n | | | 80. |
| o | | | 2,049. |

| | |
|---|---|
| 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 |
| 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 |

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 JUNGHEINRICH - PRFD | P | 10/23/18 | 11/15/18 |
| b JUNGHEINRICH - PRFD | P | 10/24/18 | 11/15/18 |
| c JUNGHEINRICH - PRFD | P | | 11/14/18 |
| d JUNGHEINRICH - PRFD | P | | 11/15/18 |
| e KADOKAWA DWANGO CORP | P | 03/22/18 | 07/02/18 |
| f KADOKAWA DWANGO CORP | P | 03/26/18 | 07/02/18 |
| g KADOKAWA DWANGO CORP | P | 03/26/18 | 07/04/18 |
| h KADOKAWA DWANGO CORP | P | 06/10/18 | 11/05/18 |
| i KADOKAWA DWANGO CORP | P | 06/10/18 | 11/26/18 |
| j KADOKAWA DWANGO CORP | P | 06/10/18 | 11/27/18 |
| k KADOKAWA DWANGO CORP | P | 06/14/18 | 12/05/18 |
| l KADOKAWA DWANGO CORP | P | | 07/02/18 |
| m KADOKAWA DWANGO CORP | P | 07/09/18 | 12/18/18 |
| n KADOKAWA DWANGO CORP | P | 07/10/18 | 12/18/18 |
| o KADOKAWA DWANGO CORP | P | 07/10/18 | 12/19/18 |

| (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 539. | | | 539. |
| b 2,831. | | | 2,831. |
| c 132. | | | 132. |
| d 1,794. | | | 1,794. |
| e 113. | | | 113. |
| f 615. | | | 615. |
| g 963. | | | 963. |
| h <5,680.> | | | <5,680.> |
| i 692. | | | 692. |
| j 997. | | | 997. |
| k 2,783. | | | 2,783. |
| l 407. | | | 407. |
| m 1,059. | | | 1,059. |
| n 189. | | | 189. |
| o 544. | | | 544. |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|---|
| (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 | | | 539. |
| b | | | 2,831. |
| c | | | 132. |
| d | | | 1,794. |
| e | | | 113. |
| f | | | 615. |
| g | | | 963. |
| h | | | <5,680.> |
| i | | | 692. |
| j | | | 997. |
| k | | | 2,783. |
| l | | | 407. |
| m | | | 1,059. |
| n | | | 189. |
| o | | | 544. |

| | | |
|---|---|--|
| 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 | |
| 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 | |

THE ABNER ROSEN FOUNDATION, INC.

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 KADOKAWA DWANGO CORP | P | | 07/11/18 |
| b KADOKAWA DWANGO CORP | P | 07/12/18 | 12/19/18 |
| c KADOKAWA DWANGO CORP | P | 07/12/18 | 12/20/18 |
| d KADOKAWA DWANGO CORP | P | | 09/18/18 |
| e KADOKAWA DWANGO CORP | P | | 10/25/18 |
| f KADOKAWA DWANGO CORP | P | | 11/28/18 |
| g KADOKAWA DWANGO CORP | P | | 12/20/18 |
| h KARDEX AG-REG | P | 03/06/18 | 07/18/18 |
| i KARDEX AG-REG | P | 06/18/18 | 07/23/18 |
| j KARDEX AG-REG | P | 06/18/18 | 07/24/18 |
| k KARDEX AG-REG | P | 06/20/18 | 07/24/18 |
| l KARDEX AG-REG | P | 06/20/18 | 07/25/18 |
| m KARDEX AG-REG | P | 06/21/18 | 07/25/18 |
| n KARDEX AG-REG | P | 07/06/18 | 07/25/18 |
| o KARDEX AG-REG | P | | 07/18/18 |

| (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 720. | | | 720. |
| b 550. | | | 550. |
| c 1,172. | | | 1,172. |
| d 331. | | | 331. |
| e <779.> | | | <779.> |
| f 1,129. | | | 1,129. |
| g 171. | | | 171. |
| h 1,771. | | | 1,771. |
| i 1,077. | | | 1,077. |
| j 642. | | | 642. |
| k 4,635. | | | 4,635. |
| l 3,596. | | | 3,596. |
| m 10,077. | | | 10,077. |
| n 5,562. | | | 5,562. |
| o 377. | | | 377. |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|---|
| (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 | | | 720. |
| b | | | 550. |
| c | | | 1,172. |
| d | | | 331. |
| e | | | <779.> |
| f | | | 1,129. |
| g | | | 171. |
| h | | | 1,771. |
| i | | | 1,077. |
| j | | | 642. |
| k | | | 4,635. |
| l | | | 3,596. |
| m | | | 10,077. |
| n | | | 5,562. |
| o | | | 377. |

| | | |
|---|---|--|
| 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 | |
| 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 | |

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 KARDEX AG-REG | P | | 07/24/18 |
| b KARDEX AG-REG | P | | 07/25/18 |
| c KARDEX AG-REG | P | 08/02/18 | 09/17/18 |
| d KARDEX AG-REG | P | 11/26/18 | 11/27/18 |
| e KARDEX AG-REG | P | 11/27/18 | 12/19/18 |
| f KARDEX AG-REG | P | 11/27/18 | 12/20/18 |
| g KARDEX AG-REG | P | 11/27/18 | 12/21/18 |
| h KARDEX AG-REG | P | | 11/27/18 |
| i LENNAR CORP - B SHS | P | 09/28/18 | 10/03/18 |
| j LENNAR CORP - B SHS | P | 09/28/18 | 10/04/18 |
| k LENNAR CORP - B SHS | P | 09/28/18 | 10/10/18 |
| l LENNAR CORP - B SHS | P | 09/28/18 | 10/29/18 |
| m LIBERTY GLOBAL PLC-A | P | 06/29/18 | 07/18/18 |
| n LIBERTY GLOBAL PLC-A | P | 10/11/18 | 10/16/18 |
| o LIBERTY GLOBAL PLC-A | P | 10/12/18 | 10/16/18 |

| (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 413. | | | 413. |
| b 1,039. | | | 1,039. |
| c 3,701. | | | 3,701. |
| d <15,215.> | | | <15,215.> |
| e <5,137.> | | | <5,137.> |
| f <2,166.> | | | <2,166.> |
| g <25,200.> | | | <25,200.> |
| h <1,267.> | | | <1,267.> |
| i <421.> | | | <421.> |
| j <889.> | | | <889.> |
| k <1,734.> | | | <1,734.> |
| l <5.> | | | <5.> |
| m <12.> | | | <12.> |
| n 71. | | | 71. |
| o 663. | | | 663. |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|---|
| (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 | | | 413. |
| b | | | 1,039. |
| c | | | 3,701. |
| d | | | <15,215.> |
| e | | | <5,137.> |
| f | | | <2,166.> |
| g | | | <25,200.> |
| h | | | <1,267.> |
| i | | | <421.> |
| j | | | <889.> |
| k | | | <1,734.> |
| l | | | <5.> |
| m | | | <12.> |
| n | | | 71. |
| o | | | 663. |

| | |
|---|---|
| 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 |
| 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 |

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 LIBERTY GLOBAL PLC-A | P | 10/12/18 | 10/23/18 |
| b LIBERTY GLOBAL PLC-A | P | 10/24/18 | 10/29/18 |
| c LIBERTY GLOBAL PLC-A | P | 10/25/18 | 10/29/18 |
| d LIBERTY GLOBAL PLC-A | P | 10/25/18 | 11/01/18 |
| e LIBERTY GLOBAL PLC-A | P | 10/26/18 | 11/01/18 |
| f LIBERTY GLOBAL PLC-A | P | 10/26/18 | 11/02/18 |
| g LIBERTY GLOBAL PLC-A | P | 10/29/18 | 11/02/18 |
| h LIBERTY GLOBAL PLC-A | P | 10/30/18 | 11/05/18 |
| i LIBERTY GLOBAL PLC-A | P | | 11/02/18 |
| j LIBERTY GLOBAL PLC-A | P | | 11/06/18 |
| k LIBERTY GLOBAL PLC-A | P | 11/13/18 | 11/14/18 |
| l LIBERTY GLOBAL PLC-A | P | 11/13/18 | 11/27/18 |
| m LIBERTY GLOBAL PLC-A | P | 11/27/18 | 11/27/18 |
| n LINCOLN NATIONAL CORP | P | 07/20/18 | 07/20/18 |
| o LIONS GATE ENTERTAINMENT-B | P | 12/10/18 | 12/12/18 |

| (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 177. | | | 177. |
| b 2,395. | | | 2,395. |
| c 2,432. | | | 2,432. |
| d 1,244. | | | 1,244. |
| e 418. | | | 418. |
| f 368. | | | 368. |
| g 432. | | | 432. |
| h 1,829. | | | 1,829. |
| i 606. | | | 606. |
| j 64. | | | 64. |
| k <2,647.> | | | <2,647.> |
| l <3.> | | | <3.> |
| m <28.> | | | <28.> |
| n 290. | | | 290. |
| o <16,510.> | | | <16,510.> |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|---|
| (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 | | | 177. |
| b | | | 2,395. |
| c | | | 2,432. |
| d | | | 1,244. |
| e | | | 418. |
| f | | | 368. |
| g | | | 432. |
| h | | | 1,829. |
| i | | | 606. |
| j | | | 64. |
| k | | | <2,647.> |
| l | | | <3.> |
| m | | | <28.> |
| n | | | 290. |
| o | | | <16,510.> |

| | | |
|---|---|--|
| 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 | |
| 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 | |

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 LIONS GATE ENTERTAINMENT-B | P | 12/10/18 | 12/14/18 |
| b LIONS GATE ENTERTAINMENT-B | P | 12/10/18 | 12/17/18 |
| c LIVE NATION ENTERTAINMENT IN | P | 07/27/18 | 07/30/18 |
| d LIVE NATION ENTERTAINMENT IN | P | 07/27/18 | 07/31/18 |
| e LIVE NATION ENTERTAINMENT IN | P | 07/27/18 | 07/31/18 |
| f LIVE NATION ENTERTAINMENT IN | P | 10/11/18 | 10/11/18 |
| g MICRON TECHNOLOGY INC | P | 09/25/18 | 10/10/18 |
| h MICRON TECHNOLOGY INC | P | | 10/10/18 |
| i MITSUBISHI LOGISNEXT CO LTD | P | 02/06/18 | 07/04/18 |
| j MITSUBISHI LOGISNEXT CO LTD | P | 02/06/18 | 07/11/18 |
| k MITSUBISHI LOGISNEXT CO LTD | P | 02/06/18 | 07/30/18 |
| l MITSUBISHI LOGISNEXT CO LTD | P | 02/07/18 | 07/30/18 |
| m MITSUBISHI LOGISNEXT CO LTD | P | 07/11/18 | 07/30/18 |
| n MONDO TV IBEROAMERICA SAU | P | 07/10/18 | 11/16/18 |
| o MONDO TV IBEROAMERICA SAU | P | 07/10/18 | 11/27/18 |

| (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 <51,385.> | | | <51,385.> |
| b <3,506.> | | | <3,506.> |
| c 408. | | | 408. |
| d <733.> | | | <733.> |
| e <234.> | | | <234.> |
| f <298.> | | | <298.> |
| g <11,606.> | | | <11,606.> |
| h <2,244.> | | | <2,244.> |
| i 757. | | | 757. |
| j 1,041. | | | 1,041. |
| k 16,805. | | | 16,805. |
| l 13,159. | | | 13,159. |
| m 2,919. | | | 2,919. |
| n <603.> | | | <603.> |
| o <80.> | | | <80.> |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|---|
| (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 | | | <51,385.> |
| b | | | <3,506.> |
| c | | | 408. |
| d | | | <733.> |
| e | | | <234.> |
| f | | | <298.> |
| g | | | <11,606.> |
| h | | | <2,244.> |
| i | | | 757. |
| j | | | 1,041. |
| k | | | 16,805. |
| l | | | 13,159. |
| m | | | 2,919. |
| n | | | <603.> |
| o | | | <80.> |

| | | |
|---|---|--|
| 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 | |
| 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 | |

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 | MONDO TV IBEROAMERICA SAU | P | 07/26/18 | 12/18/18 |
| b | MONDO TV IBEROAMERICA SAU | P | 08/06/18 | 12/18/18 |
| c | MONDO TV IBEROAMERICA SAU | P | 08/06/18 | 12/19/18 |
| d | MONDO TV IBEROAMERICA SAU | P | 09/14/18 | 12/19/18 |
| e | MONDO TV IBEROAMERICA SAU | P | 09/14/18 | 12/20/18 |
| f | MONDO TV IBEROAMERICA SAU | P | | 10/23/18 |
| g | MONDO TV IBEROAMERICA SAU | P | | 11/01/18 |
| h | MONDO TV IBEROAMERICA SAU | P | | 11/15/18 |
| i | MONDO TV IBEROAMERICA SAU | P | | 11/29/18 |
| j | MONDO TV IBEROAMERICA SAU | P | | 12/17/18 |
| k | MONDO TV IBEROAMERICA SAU | P | | 12/18/18 |
| l | MONDO TV IBEROAMERICA SAU | P | | 12/19/18 |
| m | MONDO TV SPA | P | 06/12/18 | 07/18/18 |
| n | MONDO TV SPA | P | 06/13/18 | 07/18/18 |
| o | MONDO TV SPA | P | 06/14/18 | 07/18/18 |

| | (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 | <148.> | | | <148.> |
| b | <3,260.> | | | <3,260.> |
| c | <511.> | | | <511.> |
| d | <290.> | | | <290.> |
| e | <1,221.> | | | <1,221.> |
| f | <2,133.> | | | <2,133.> |
| g | <1,546.> | | | <1,546.> |
| h | <126.> | | | <126.> |
| i | <2,994.> | | | <2,994.> |
| j | <414.> | | | <414.> |
| k | <2,191.> | | | <2,191.> |
| l | <2,773.> | | | <2,773.> |
| m | 323. | | | 323. |
| n | 2,074. | | | 2,074. |
| o | 1,018. | | | 1,018. |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|---|
| (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 | | | <148.> |
| b | | | <3,260.> |
| c | | | <511.> |
| d | | | <290.> |
| e | | | <1,221.> |
| f | | | <2,133.> |
| g | | | <1,546.> |
| h | | | <126.> |
| i | | | <2,994.> |
| j | | | <414.> |
| k | | | <2,191.> |
| l | | | <2,773.> |
| m | | | 323. |
| n | | | 2,074. |
| o | | | 1,018. |

| | | |
|---|---|---|
| 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 |
| 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 |

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 MONDO TV SPA | P | 06/14/18 | 07/18/18 |
| b MONDO TV SPA | P | 06/21/18 | 07/19/18 |
| c MONDO TV SPA | P | 06/21/18 | 07/19/18 |
| d MONDO TV SPA | P | 06/22/18 | 07/19/18 |
| e MONDO TV SPA | P | 06/22/18 | 07/20/18 |
| f MONDO TV SPA | P | 06/22/18 | 07/27/18 |
| g MONDO TV SPA | P | 06/25/18 | 07/27/18 |
| h MONDO TV SPA | P | 06/25/18 | 07/30/18 |
| i MONDO TV SPA | P | 06/25/18 | 09/07/18 |
| j MONDO TV SPA | P | 07/02/18 | 09/07/18 |
| k MONDO TV SPA | P | 07/02/18 | 09/17/18 |
| l MONDO TV SPA | P | 07/02/18 | 10/10/18 |
| m MONDO TV SPA | P | 07/06/18 | 10/10/18 |
| n MONDO TV SPA | P | 07/06/18 | 10/11/18 |
| o MONDO TV SPA | P | | 07/18/18 |

| (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 381. | | | 381. |
| b 2,239. | | | 2,239. |
| c 1,817. | | | 1,817. |
| d 6,110. | | | 6,110. |
| e 334. | | | 334. |
| f 201. | | | 201. |
| g 1,828. | | | 1,828. |
| h 3,926. | | | 3,926. |
| i 104. | | | 104. |
| j 125. | | | 125. |
| k 828. | | | 828. |
| l 9. | | | 9. |
| m 2,633. | | | 2,633. |
| n 1,619. | | | 1,619. |
| o 2,470. | | | 2,470. |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|---|
| (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 | | | 381. |
| b | | | 2,239. |
| c | | | 1,817. |
| d | | | 6,110. |
| e | | | 334. |
| f | | | 201. |
| g | | | 1,828. |
| h | | | 3,926. |
| i | | | 104. |
| j | | | 125. |
| k | | | 828. |
| l | | | 9. |
| m | | | 2,633. |
| n | | | 1,619. |
| o | | | 2,470. |

| | | |
|--|---|--|
| 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 | |
| 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 | |

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 MONDO TV SPA | P | | 07/19/18 |
| b MONDO TV SPA | P | | 07/19/18 |
| c MONDO TV SPA | P | | 07/27/18 |
| d MONDO TV SPA | P | | 09/07/18 |
| e MONDO TV SPA | P | | 10/17/18 |
| f MONDO TV SPA | P | 11/21/18 | 12/06/18 |
| g MONDO TV SPA | P | 11/21/18 | 12/06/18 |
| h MONDO TV SPA | P | 11/26/18 | 12/06/18 |
| i MONDO TV SPA | P | 11/26/18 | 12/17/18 |
| j MONDO TV SPA | P | | 12/06/18 |
| k MONDO TV SPA | P | 12/12/18 | 12/19/18 |
| l MONDO TV SPA | P | | 12/17/18 |
| m NETFLIX INC | P | 07/02/18 | 07/02/18 |
| n NETFLIX INC | P | 07/16/18 | 07/16/18 |
| o NETFLIX INC | P | 07/16/18 | 07/17/18 |

| (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 756. | | | 756. |
| b 2,503. | | | 2,503. |
| c 408. | | | 408. |
| d 147. | | | 147. |
| e 987. | | | 987. |
| f <5,418.> | | | <5,418.> |
| g <4,831.> | | | <4,831.> |
| h <3,360.> | | | <3,360.> |
| i <14,672.> | | | <14,672.> |
| j <4,744.> | | | <4,744.> |
| k <1,137.> | | | <1,137.> |
| l <2,717.> | | | <2,717.> |
| m 341. | | | 341. |
| n <2,726.> | | | <2,726.> |
| o <800.> | | | <800.> |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|---|
| (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 | | | 756. |
| b | | | 2,503. |
| c | | | 408. |
| d | | | 147. |
| e | | | 987. |
| f | | | <5,418.> |
| g | | | <4,831.> |
| h | | | <3,360.> |
| i | | | <14,672.> |
| j | | | <4,744.> |
| k | | | <1,137.> |
| l | | | <2,717.> |
| m | | | 341. |
| n | | | <2,726.> |
| o | | | <800.> |

| | | |
|---|---|--|
| 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 | |
| 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 | |

THE ABNER ROSEN FOUNDATION, INC.

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 NIHON FALCOM CORP | P | 09/19/18 | 10/04/18 |
| b NIHON FALCOM CORP | P | 09/19/18 | 10/09/18 |
| c NIHON FALCOM CORP | P | | 10/04/18 |
| d ORICON INC | P | 03/04/18 | 07/30/18 |
| e ORICON INC | P | 03/06/18 | 10/11/18 |
| f ORICON INC | P | 03/06/18 | 10/12/18 |
| g ORICON INC | P | 03/12/18 | 10/24/18 |
| h ORICON INC | P | 03/13/18 | 10/24/18 |
| i ORICON INC | P | 03/14/18 | 10/24/18 |
| j ORICON INC | P | 03/25/18 | 10/24/18 |
| k ORICON INC | P | 04/09/18 | 11/05/18 |
| l ORICON INC | P | 04/13/18 | 11/05/18 |
| m ORICON INC | P | 04/16/18 | 11/05/18 |
| n ORICON INC | P | 05/16/18 | 11/15/18 |
| o ORICON INC | P | 05/17/18 | 11/15/18 |

| (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 <1,212.> | | | <1,212.> |
| b <136.> | | | <136.> |
| c <162.> | | | <162.> |
| d 136. | | | 136. |
| e 303. | | | 303. |
| f 39. | | | 39. |
| g 37. | | | 37. |
| h 26. | | | 26. |
| i 11. | | | 11. |
| j 92. | | | 92. |
| k 538. | | | 538. |
| l 130. | | | 130. |
| m 331. | | | 331. |
| n 1,177. | | | 1,177. |
| o 548. | | | 548. |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|---|
| (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 | | | <1,212.> |
| b | | | <136.> |
| c | | | <162.> |
| d | | | 136. |
| e | | | 303. |
| f | | | 39. |
| g | | | 37. |
| h | | | 26. |
| i | | | 11. |
| j | | | 92. |
| k | | | 538. |
| l | | | 130. |
| m | | | 331. |
| n | | | 1,177. |
| o | | | 548. |

| | | |
|---|---|--|
| 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 | |
| 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 | |

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 ORICON INC | P | 05/23/18 | 11/19/18 |
| b ORICON INC | P | 05/23/18 | 11/21/18 |
| c ORICON INC | P | 06/10/18 | 11/26/18 |
| d ORICON INC | P | 06/13/18 | 11/27/18 |
| e ORICON INC | P | 06/18/18 | 11/27/18 |
| f ORICON INC | P | 06/18/18 | 11/28/18 |
| g ORICON INC | P | 06/18/18 | 11/30/18 |
| h ORICON INC | P | 06/18/18 | 12/05/18 |
| i ORICON INC | P | | 07/30/18 |
| j ORICON INC | P | 08/01/18 | 12/05/18 |
| k ORICON INC | P | 08/01/18 | 12/06/18 |
| l ORICON INC | P | 09/05/18 | 12/06/18 |
| m ORICON INC | P | 09/05/18 | 12/12/18 |
| n ORICON INC | P | 09/06/18 | 12/12/18 |
| o ORICON INC | P | 09/06/18 | 12/14/18 |

| (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 546. | | | 546. |
| b 2,020. | | | 2,020. |
| c 879. | | | 879. |
| d 500. | | | 500. |
| e 471. | | | 471. |
| f 772. | | | 772. |
| g 835. | | | 835. |
| h 662. | | | 662. |
| i 25. | | | 25. |
| j 334. | | | 334. |
| k 2,187. | | | 2,187. |
| l 694. | | | 694. |
| m 207. | | | 207. |
| n 1,017. | | | 1,017. |
| o 468. | | | 468. |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|---|
| (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 | | | 546. |
| b | | | 2,020. |
| c | | | 879. |
| d | | | 500. |
| e | | | 471. |
| f | | | 772. |
| g | | | 835. |
| h | | | 662. |
| i | | | 25. |
| j | | | 334. |
| k | | | 2,187. |
| l | | | 694. |
| m | | | 207. |
| n | | | 1,017. |
| o | | | 468. |

| | | |
|---|---|--|
| 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 | |
| 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 | |

| 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 ORICON INC | P | | 10/22/18 |
| b ORICON INC | P | | 10/24/18 |
| c ORICON INC | P | | 10/25/18 |
| d ORICON INC | P | | 11/14/18 |
| e ORICON INC | P | | 11/15/18 |
| f ORICON INC | P | | 11/21/18 |
| g ORICON INC | P | | 11/26/18 |
| h ORICON INC | P | | 11/27/18 |
| i OWENS-ILLINOIS INC | P | 07/23/18 | 07/24/18 |
| j OWENS-ILLINOIS INC | P | 09/14/18 | 09/14/18 |
| k OWENS-ILLINOIS INC | P | 09/28/18 | 10/03/18 |
| l OWENS-ILLINOIS INC | P | | 10/03/18 |
| m OWENS-ILLINOIS INC | P | 10/12/18 | 10/16/18 |
| n OWENS-ILLINOIS INC | P | 10/26/18 | 11/01/18 |
| o OWENS-ILLINOIS INC | P | 10/26/18 | 11/01/18 |

| (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 433. | | | 433. |
| b 387. | | | 387. |
| c 272. | | | 272. |
| d 1,843. | | | 1,843. |
| e 666. | | | 666. |
| f 749. | | | 749. |
| g 1,060. | | | 1,060. |
| h 1,032. | | | 1,032. |
| i 13,060. | | | 13,060. |
| j 5,223. | | | 5,223. |
| k 1,682. | | | 1,682. |
| l 39. | | | 39. |
| m 581. | | | 581. |
| n 69. | | | 69. |
| o 46. | | | 46. |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|---|
| (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 | | | 433. |
| b | | | 387. |
| c | | | 272. |
| d | | | 1,843. |
| e | | | 666. |
| f | | | 749. |
| g | | | 1,060. |
| h | | | 1,032. |
| i | | | 13,060. |
| j | | | 5,223. |
| k | | | 1,682. |
| l | | | 39. |
| m | | | 581. |
| n | | | 69. |
| o | | | 46. |

| | | |
|--|---|--|
| 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 | |
| 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 | |

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 OWENS-ILLINOIS INC | P | 11/14/18 | 11/28/18 |
| b OWENS-ILLINOIS INC | P | 11/15/18 | 11/28/18 |
| c OWENS-ILLINOIS INC | P | 11/15/18 | 11/28/18 |
| d QUANTENNA COMMUNICATIONS INC | P | 03/26/18 | 07/19/18 |
| e QUANTENNA COMMUNICATIONS INC | P | 03/28/18 | 07/19/18 |
| f QUANTENNA COMMUNICATIONS INC | P | 04/06/18 | 07/25/18 |
| g QUANTENNA COMMUNICATIONS INC | P | 04/10/18 | 07/25/18 |
| h QUANTENNA COMMUNICATIONS INC | P | 04/10/18 | 07/31/18 |
| i QUANTENNA COMMUNICATIONS INC | P | 04/23/18 | 07/31/18 |
| j QUANTENNA COMMUNICATIONS INC | P | 04/25/18 | 07/31/18 |
| k QUANTENNA COMMUNICATIONS INC | P | 05/01/18 | 07/31/18 |
| l QUANTENNA COMMUNICATIONS INC | P | 05/23/18 | 07/31/18 |
| m QUANTENNA COMMUNICATIONS INC | P | 05/23/18 | 08/02/18 |
| n QUANTENNA COMMUNICATIONS INC | P | 05/23/18 | 08/10/18 |
| o QUANTENNA COMMUNICATIONS INC | P | 06/20/18 | 08/10/18 |

| (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 19. | | | 19. |
| b 241. | | | 241. |
| c 8. | | | 8. |
| d 2,387. | | | 2,387. |
| e 1,141. | | | 1,141. |
| f 5,864. | | | 5,864. |
| g 3,487. | | | 3,487. |
| h 244. | | | 244. |
| i 7,499. | | | 7,499. |
| j 7,356. | | | 7,356. |
| k 594. | | | 594. |
| l 530. | | | 530. |
| m 728. | | | 728. |
| n 393. | | | 393. |
| o 369. | | | 369. |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|---|
| (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 | | | 19. |
| b | | | 241. |
| c | | | 8. |
| d | | | 2,387. |
| e | | | 1,141. |
| f | | | 5,864. |
| g | | | 3,487. |
| h | | | 244. |
| i | | | 7,499. |
| j | | | 7,356. |
| k | | | 594. |
| l | | | 530. |
| m | | | 728. |
| n | | | 393. |
| o | | | 369. |

| | | |
|---|---|--|
| 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 | |
| 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 | |

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 QUANTENNA COMMUNICATIONS INC | P | 06/21/18 | 08/27/18 |
| b QUANTENNA COMMUNICATIONS INC | P | 06/21/18 | 08/30/18 |
| c QUANTENNA COMMUNICATIONS INC | P | 06/22/18 | 09/04/18 |
| d QUANTENNA COMMUNICATIONS INC | P | 06/26/18 | 09/04/18 |
| e QUANTENNA COMMUNICATIONS INC | P | 07/05/18 | 09/04/18 |
| f QUANTENNA COMMUNICATIONS INC | P | 07/05/18 | 09/14/18 |
| g QUANTENNA COMMUNICATIONS INC | P | 07/16/18 | 09/18/18 |
| h QUANTENNA COMMUNICATIONS INC | P | | 07/19/18 |
| i QUANTENNA COMMUNICATIONS INC | P | | 07/25/18 |
| j QUANTENNA COMMUNICATIONS INC | P | 07/27/18 | 09/20/18 |
| k QUANTENNA COMMUNICATIONS INC | P | 07/27/18 | 09/21/18 |
| l QUANTENNA COMMUNICATIONS INC | P | 07/27/18 | 10/03/18 |
| m QUANTENNA COMMUNICATIONS INC | P | 07/27/18 | 10/04/18 |
| n QUANTENNA COMMUNICATIONS INC | P | 07/27/18 | 10/10/18 |
| o QUANTENNA COMMUNICATIONS INC | P | 07/27/18 | 10/23/18 |

| (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 884. | | | 884. |
| b 4,090. | | | 4,090. |
| c 3,188. | | | 3,188. |
| d 1,930. | | | 1,930. |
| e 815. | | | 815. |
| f 2,338. | | | 2,338. |
| g 3,558. | | | 3,558. |
| h 240. | | | 240. |
| i 3,512. | | | 3,512. |
| j 2,332. | | | 2,332. |
| k 5,147. | | | 5,147. |
| l 2,903. | | | 2,903. |
| m 1,619. | | | 1,619. |
| n 253. | | | 253. |
| o 317. | | | 317. |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|---|
| (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 | | | 884. |
| b | | | 4,090. |
| c | | | 3,188. |
| d | | | 1,930. |
| e | | | 815. |
| f | | | 2,338. |
| g | | | 3,558. |
| h | | | 240. |
| i | | | 3,512. |
| j | | | 2,332. |
| k | | | 5,147. |
| l | | | 2,903. |
| m | | | 1,619. |
| n | | | 253. |
| o | | | 317. |

| | | |
|---|---|--|
| 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 | |
| 3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (G): If gain, also enter in Part I, line 8, column (c). If (loss), enter "-0-" in Part I, line 8 | 3 | |

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 QUANTENNA COMMUNICATIONS INC | P | 07/30/18 | 10/23/18 |
| b QUANTENNA COMMUNICATIONS INC | P | 07/30/18 | 10/30/18 |
| c QUANTENNA COMMUNICATIONS INC | P | | 07/31/18 |
| d QUANTENNA COMMUNICATIONS INC | P | | 08/10/18 |
| e QUANTENNA COMMUNICATIONS INC | P | | 09/04/18 |
| f QUANTENNA COMMUNICATIONS INC | P | 10/11/18 | 10/30/18 |
| g QUANTENNA COMMUNICATIONS INC | P | 10/11/18 | 11/01/18 |
| h QUANTENNA COMMUNICATIONS INC | P | 10/22/18 | 11/01/18 |
| i QUANTENNA COMMUNICATIONS INC | P | 10/22/18 | 11/02/18 |
| j QUANTENNA COMMUNICATIONS INC | P | 10/23/18 | 11/05/18 |
| k QUANTENNA COMMUNICATIONS INC | P | 10/25/18 | 11/05/18 |
| l QUANTENNA COMMUNICATIONS INC | P | 10/25/18 | 11/08/18 |
| m QUANTENNA COMMUNICATIONS INC | P | | 10/30/18 |
| n QUANTENNA COMMUNICATIONS INC | P | | 11/01/18 |
| o QUANTENNA COMMUNICATIONS INC | P | | 11/05/18 |

| (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 3,153. | | | 3,153. |
| b 1,975. | | | 1,975. |
| c 3,680. | | | 3,680. |
| d 10. | | | 10. |
| e 2,280. | | | 2,280. |
| f 1,921. | | | 1,921. |
| g 1,842. | | | 1,842. |
| h 787. | | | 787. |
| i 221. | | | 221. |
| j 564. | | | 564. |
| k 319. | | | 319. |
| l 604. | | | 604. |
| m 678. | | | 678. |
| n 127. | | | 127. |
| o 173. | | | 173. |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|---|
| (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 | | | 3,153. |
| b | | | 1,975. |
| c | | | 3,680. |
| d | | | 10. |
| e | | | 2,280. |
| f | | | 1,921. |
| g | | | 1,842. |
| h | | | 787. |
| i | | | 221. |
| j | | | 564. |
| k | | | 319. |
| l | | | 604. |
| m | | | 678. |
| n | | | 127. |
| o | | | 173. |

| | | |
|--|---|--|
| 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 | |
| 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 | |

THE ABNER ROSEN FOUNDATION, INC.

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 RIMINI STREET INC | P | 01/02/18 | 07/05/18 |
| b RIMINI STREET INC | P | 01/04/18 | 07/05/18 |
| c RIMINI STREET INC | P | 01/10/18 | 07/05/18 |
| d RIMINI STREET INC | P | 02/12/18 | 07/05/18 |
| e RIMINI STREET INC | P | 03/05/18 | 07/05/18 |
| f RIMINI STREET INC | P | 03/09/18 | 07/06/18 |
| g RIMINI STREET INC | P | 03/09/18 | 07/11/18 |
| h RIMINI STREET INC | P | | 07/05/18 |
| i RIMINI STREET INC | P | | 07/06/18 |
| j RIMINI STREET INC | P | | 07/11/18 |
| k RIMINI STREET INC | P | 12/29/17 | 07/03/18 |
| l RIMINI STREET INC | P | 12/29/17 | 07/05/18 |
| m RLI CORP | P | 11/15/18 | 11/15/18 |
| n RLI CORP | P | 11/19/18 | 11/19/18 |
| o SERVICIOS CORPORATIVOS JAVER | P | 12/29/17 | 12/26/18 |

| (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 <2,070.> | | | <2,070.> |
| b <1,340.> | | | <1,340.> |
| c <685.> | | | <685.> |
| d <967.> | | | <967.> |
| e <2,332.> | | | <2,332.> |
| f <2,711.> | | | <2,711.> |
| g <2,977.> | | | <2,977.> |
| h <10,695.> | | | <10,695.> |
| i <958.> | | | <958.> |
| j <5,782.> | | | <5,782.> |
| k <1,231.> | | | <1,231.> |
| l <88.> | | | <88.> |
| m 1,940. | | | 1,940. |
| n <35.> | | | <35.> |
| o <51.> | | | <51.> |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|---|
| (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 | | | <2,070.> |
| b | | | <1,340.> |
| c | | | <685.> |
| d | | | <967.> |
| e | | | <2,332.> |
| f | | | <2,711.> |
| g | | | <2,977.> |
| h | | | <10,695.> |
| i | | | <958.> |
| j | | | <5,782.> |
| k | | | <1,231.> |
| l | | | <88.> |
| m | | | 1,940. |
| n | | | <35.> |
| o | | | <51.> |

| | | |
|--|---|--|
| 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 | |
| 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 | |

THE ABNER ROSEN FOUNDATION, INC.

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 SOFTBANK GROUP CORP | P | 07/12/18 | 07/25/18 |
| b SOFTBANK GROUP CORP | P | 07/12/18 | 07/25/18 |
| c SOFTBANK GROUP CORP | P | 07/12/18 | 07/30/18 |
| d SOFTBANK GROUP CORP | P | 10/15/18 | 10/22/18 |
| e SOFTBANK GROUP CORP | P | 11/07/18 | 11/15/18 |
| f SOFTBANK GROUP CORP | P | 12/12/18 | 12/18/18 |
| g SOFTBANK GROUP CORP | P | 12/16/18 | 12/18/18 |
| h SOFTBANK GROUP CORP | P | | 12/18/18 |
| i SOFTBANK GROUP CORP-UNSP ADR | P | 07/11/18 | 07/16/18 |
| j SOFTBANK GROUP CORP-UNSP ADR | P | 11/05/18 | 11/05/18 |
| k SPDR DJIA TRUST | P | 07/02/18 | 07/02/18 |
| l SPDR DJIA TRUST | P | 07/05/18 | 07/05/18 |
| m SPDR DJIA TRUST | P | 07/05/18 | 07/05/18 |
| n SPDR DJIA TRUST | P | 07/23/18 | 07/23/18 |
| o SPDR S&P 500 ETF TRUST | P | 07/26/18 | 07/26/18 |

| (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 2,003. | | | 2,003. |
| b 1,319. | | | 1,319. |
| c <2,625.> | | | <2,625.> |
| d 47. | | | 47. |
| e 2,951. | | | 2,951. |
| f <2,574.> | | | <2,574.> |
| g <1,285.> | | | <1,285.> |
| h <6,253.> | | | <6,253.> |
| i 2,809. | | | 2,809. |
| j 42. | | | 42. |
| k 286. | | | 286. |
| l <667.> | | | <667.> |
| m <8.> | | | <8.> |
| n <3,482.> | | | <3,482.> |
| o <1,002.> | | | <1,002.> |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|---|
| (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 | | | 2,003. |
| b | | | 1,319. |
| c | | | <2,625.> |
| d | | | 47. |
| e | | | 2,951. |
| f | | | <2,574.> |
| g | | | <1,285.> |
| h | | | <6,253.> |
| i | | | 2,809. |
| j | | | 42. |
| k | | | 286. |
| l | | | <667.> |
| m | | | <8.> |
| n | | | <3,482.> |
| o | | | <1,002.> |

| | | |
|---|---|--|
| 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 | |
| 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 | |

| 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 | SPDR S&P 500 ETF TRUST | P | 07/26/18 | 07/26/18 |
| b | SPDR S&P 500 ETF TRUST | P | 09/12/18 | 09/12/18 |
| c | SPDR S&P 500 ETF TRUST | P | 09/18/18 | 09/18/18 |
| d | SPDR S&P 500 ETF TRUST | P | 10/03/18 | 10/03/18 |
| e | SPDR S&P 500 ETF TRUST | P | 10/03/18 | 10/03/18 |
| f | SPDR S&P 500 ETF TRUST | P | 10/10/18 | 10/10/18 |
| g | SPDR S&P 500 ETF TRUST | P | 10/16/18 | 10/16/18 |
| h | SPDR S&P 500 ETF TRUST | P | 10/30/18 | 10/30/18 |
| i | SPDR S&P 500 ETF TRUST | P | 11/19/18 | 11/19/18 |
| j | SPDR S&P 500 ETF TRUST | P | 11/23/18 | 11/23/18 |
| k | SPDR S&P 500 ETF TRUST | P | 12/21/18 | 12/21/18 |
| l | SPDR S&P 500 ETF TRUST | P | 12/21/18 | 12/21/18 |
| m | TAKE-TWO INTERACTIVE SOFTWARE | P | 10/24/18 | 10/30/18 |
| n | TAKE-TWO INTERACTIVE SOFTWARE | P | 10/29/18 | 11/01/18 |
| o | TAKE-TWO INTERACTIVE SOFTWARE | P | 10/29/18 | 11/01/18 |

| (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 | <17,077.> | | <17,077.> |
| b | 89. | | 89. |
| c | 12. | | 12. |
| d | <23,030.> | | <23,030.> |
| e | <4.> | | <4.> |
| f | <1,397.> | | <1,397.> |
| g | <14,996.> | | <14,996.> |
| h | 889. | | 889. |
| i | 61. | | 61. |
| j | 11. | | 11. |
| k | <528.> | | <528.> |
| l | <17.> | | <17.> |
| m | 551. | | 551. |
| n | 1,829. | | 1,829. |
| o | 762. | | 762. |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|-----------------------------------|--|---|
| (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 | | | <17,077.> |
| b | | | 89. |
| c | | | 12. |
| d | | | <23,030.> |
| e | | | <4.> |
| f | | | <1,397.> |
| g | | | <14,996.> |
| h | | | 889. |
| i | | | 61. |
| j | | | 11. |
| k | | | <528.> |
| l | | | <17.> |
| m | | | 551. |
| n | | | 1,829. |
| o | | | 762. |

| | | | |
|---|---|---|--|
| 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 | |
| 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 | |

| 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 TAKE-TWO INTERACTIVE SOFTWARE | P | 10/29/18 | 11/05/18 |
| b TAKE-TWO INTERACTIVE SOFTWARE | P | | 10/29/18 |
| c TAKE-TWO INTERACTIVE SOFTWARE | P | 10/30/18 | 11/05/18 |
| d TAKE-TWO INTERACTIVE SOFTWARE | P | 11/29/18 | 11/30/18 |
| e TAKE-TWO INTERACTIVE SOFTWARE | P | 12/20/18 | 12/20/18 |
| f TAPESTRY INC | P | 12/26/18 | 12/31/18 |
| g TESLA INC | P | 07/02/18 | 07/02/18 |
| h TESLA INC | P | 07/02/18 | 07/02/18 |
| i TESLA INC | P | 07/03/18 | 07/03/18 |
| j TESLA INC | P | 07/05/18 | 07/05/18 |
| k TESLA INC | P | 07/16/18 | 07/16/18 |
| l TESLA INC | P | 07/17/18 | 07/17/18 |
| m TESLA INC | P | 07/25/18 | 07/25/18 |
| n TESLA INC | P | 07/25/18 | 07/25/18 |
| o TESLA INC | P | 08/15/18 | 08/15/18 |

| (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 5,829. | | | 5,829. |
| b 232. | | | 232. |
| c 2,883. | | | 2,883. |
| d <435.> | | | <435.> |
| e <25,543.> | | | <25,543.> |
| f 502. | | | 502. |
| g 54. | | | 54. |
| h 220. | | | 220. |
| i 2,752. | | | 2,752. |
| j 1,264. | | | 1,264. |
| k 3,143. | | | 3,143. |
| l 24. | | | 24. |
| m 827. | | | 827. |
| n 2,210. | | | 2,210. |
| o 1,345. | | | 1,345. |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|--|
| (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 | | | 5,829. |
| b | | | 232. |
| c | | | 2,883. |
| d | | | <435.> |
| e | | | <25,543.> |
| f | | | 502. |
| g | | | 54. |
| h | | | 220. |
| i | | | 2,752. |
| j | | | 1,264. |
| k | | | 3,143. |
| l | | | 24. |
| m | | | 827. |
| n | | | 2,210. |
| o | | | 1,345. |

| | | |
|--|---|--|
| 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 | |
| 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 | |

THE ABNER ROSEN FOUNDATION, INC.

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 TESLA INC | P | 09/07/18 | 09/07/18 |
| b TESLA INC | P | 09/10/18 | 09/10/18 |
| c TESLA INC | P | 09/12/18 | 09/12/18 |
| d TESLA INC | P | 09/17/18 | 09/17/18 |
| e TESLA INC | P | 09/28/18 | 09/28/18 |
| f TETRAGON FINANCIAL GROUP LTD | P | 12/03/18 | 12/03/18 |
| g TIVO CORP | P | 07/31/18 | 08/02/18 |
| h TIVO CORP | P | 07/31/18 | 08/02/18 |
| i TVA GROUP INC- B SHARES | P | 01/04/18 | 09/14/18 |
| j TVA GROUP INC- B SHARES | P | 02/08/18 | 09/18/18 |
| k TVA GROUP INC- B SHARES | P | 03/01/18 | 09/19/18 |
| l TVA GROUP INC- B SHARES | P | 03/23/18 | 09/21/18 |
| m TVA GROUP INC- B SHARES | P | 03/29/18 | 09/24/18 |
| n TVA GROUP INC- B SHARES | P | 04/04/18 | 09/24/18 |
| o TVA GROUP INC- B SHARES | P | 04/04/18 | 10/15/18 |

| (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 1,219. | | | 1,219. |
| b 594. | | | 594. |
| c 12. | | | 12. |
| d <922.> | | | <922.> |
| e 20. | | | 20. |
| f <339.> | | | <339.> |
| g <1,381.> | | | <1,381.> |
| h <344.> | | | <344.> |
| i <1,611.> | | | <1,611.> |
| j <609.> | | | <609.> |
| k <1,057.> | | | <1,057.> |
| l <761.> | | | <761.> |
| m <201.> | | | <201.> |
| n <302.> | | | <302.> |
| o <137.> | | | <137.> |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|---|
| (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 | | | 1,219. |
| b | | | 594. |
| c | | | 12. |
| d | | | <922.> |
| e | | | 20. |
| f | | | <339.> |
| g | | | <1,381.> |
| h | | | <344.> |
| i | | | <1,611.> |
| j | | | <609.> |
| k | | | <1,057.> |
| l | | | <761.> |
| m | | | <201.> |
| n | | | <302.> |
| o | | | <137.> |

| | | |
|---|---|--|
| 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 | |
| 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 | |

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 TVA GROUP INC- B SHARES | P | 04/16/18 | 10/15/18 |
| b TVA GROUP INC- B SHARES | P | 04/17/18 | 10/16/18 |
| c TVA GROUP INC- B SHARES | P | 04/17/18 | 10/17/18 |
| d TVA GROUP INC- B SHARES | P | 04/17/18 | 10/18/18 |
| e TVA GROUP INC- B SHARES | P | 04/26/18 | 10/18/18 |
| f TVA GROUP INC- B SHARES | P | 05/07/18 | 10/23/18 |
| g TVA GROUP INC- B SHARES | P | 05/09/18 | 10/23/18 |
| h TVA GROUP INC- B SHARES | P | 05/31/18 | 10/24/18 |
| i TVA GROUP INC- B SHARES | P | 06/01/18 | 10/24/18 |
| j TVA GROUP INC- B SHARES | P | 06/01/18 | 10/26/18 |
| k TVA GROUP INC- B SHARES | P | 06/01/18 | 10/29/18 |
| l TVA GROUP INC- B SHARES | P | 06/19/18 | 10/29/18 |
| m TVA GROUP INC- B SHARES | P | 07/23/18 | 10/29/18 |
| n TVA GROUP INC- B SHARES | P | 07/23/18 | 10/30/18 |
| o TVA GROUP INC- B SHARES | P | | 09/10/18 |

| (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 <580.> | | | <580.> |
| b <109.> | | | <109.> |
| c <1,226.> | | | <1,226.> |
| d <2,224.> | | | <2,224.> |
| e <2,643.> | | | <2,643.> |
| f <1,188.> | | | <1,188.> |
| g <256.> | | | <256.> |
| h <4,335.> | | | <4,335.> |
| i <1,225.> | | | <1,225.> |
| j <248.> | | | <248.> |
| k <1,639.> | | | <1,639.> |
| l <565.> | | | <565.> |
| m <3,396.> | | | <3,396.> |
| n <535.> | | | <535.> |
| o <1,051.> | | | <1,051.> |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|---|
| (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 | | | <580.> |
| b | | | <109.> |
| c | | | <1,226.> |
| d | | | <2,224.> |
| e | | | <2,643.> |
| f | | | <1,188.> |
| g | | | <256.> |
| h | | | <4,335.> |
| i | | | <1,225.> |
| j | | | <248.> |
| k | | | <1,639.> |
| l | | | <565.> |
| m | | | <3,396.> |
| n | | | <535.> |
| o | | | <1,051.> |

| | | |
|--|---|--|
| 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 | |
| 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 | |

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 TVA GROUP INC- B SHARES | P | | 09/12/18 |
| b TVA GROUP INC- B SHARES | P | | 09/13/18 |
| c TVA GROUP INC- B SHARES | P | | 09/14/18 |
| d TVA GROUP INC- B SHARES | P | | 09/17/18 |
| e TVA GROUP INC- B SHARES | P | | 09/18/18 |
| f TVA GROUP INC- B SHARES | P | | 09/19/18 |
| g TVA GROUP INC- B SHARES | P | | 09/20/18 |
| h TVA GROUP INC- B SHARES | P | | 09/21/18 |
| i TVA GROUP INC- B SHARES | P | | 10/15/18 |
| j TVA GROUP INC- B SHARES | P | | 10/16/18 |
| k TVA GROUP INC- B SHARES | P | | 10/23/18 |
| l TVA GROUP INC- B SHARES | P | 10/24/17 | 08/27/18 |
| m TVA GROUP INC- B SHARES | P | | 10/24/18 |
| n TVA GROUP INC- B SHARES | P | 10/26/17 | 09/12/18 |
| o TVA GROUP INC- B SHARES | P | 10/27/17 | 09/13/18 |

| (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 <944.> | | | <944.> |
| b <3,194.> | | | <3,194.> |
| c <752.> | | | <752.> |
| d <513.> | | | <513.> |
| e <2,613.> | | | <2,613.> |
| f <2,001.> | | | <2,001.> |
| g <1,169.> | | | <1,169.> |
| h <534.> | | | <534.> |
| i <1,291.> | | | <1,291.> |
| j <883.> | | | <883.> |
| k <5,718.> | | | <5,718.> |
| l <87.> | | | <87.> |
| m <1,559.> | | | <1,559.> |
| n <207.> | | | <207.> |
| o <422.> | | | <422.> |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|---|
| (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 | | | <944.> |
| b | | | <3,194.> |
| c | | | <752.> |
| d | | | <513.> |
| e | | | <2,613.> |
| f | | | <2,001.> |
| g | | | <1,169.> |
| h | | | <534.> |
| i | | | <1,291.> |
| j | | | <883.> |
| k | | | <5,718.> |
| l | | | <87.> |
| m | | | <1,559.> |
| n | | | <207.> |
| o | | | <422.> |

| | | |
|---|---|--|
| 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 | |
| 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 | |

| Part IV Capital Gains and Losses for Tax on Investment Income | | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|----------------------------------|
| (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. | | | | |
| 1a | TVA GROUP INC- B SHARES | P | | 10/29/18 |
| b | TVA GROUP INC- B SHARES | P | | 10/30/18 |
| c | TVA GROUP INC- B SHARES | P | 12/05/17 | 09/13/18 |
| d | TWENTY-FIRST CENTURY FOX-A | P | 07/24/18 | 09/26/18 |
| e | TWENTY-FIRST CENTURY FOX-A | P | 07/24/18 | 09/27/18 |
| f | TWENTY-FIRST CENTURY FOX-A | P | 07/24/18 | 09/28/18 |
| g | TWENTY-FIRST CENTURY FOX-A | P | 07/24/18 | 10/02/18 |
| h | TWENTY-FIRST CENTURY FOX-A | P | 07/24/18 | 10/03/18 |
| i | TWENTY-FIRST CENTURY FOX-A | P | 07/25/18 | 10/03/18 |
| j | TWENTY-FIRST CENTURY FOX-A | P | 07/25/18 | 10/03/18 |
| k | TWENTY-FIRST CENTURY FOX-A | P | 07/25/18 | 10/04/18 |
| l | TWENTY-FIRST CENTURY FOX-A | P | 07/27/18 | 10/04/18 |
| m | TWENTY-FIRST CENTURY FOX-A | P | 07/27/18 | 10/10/18 |
| n | TWENTY-FIRST CENTURY FOX-A | P | 07/31/18 | 10/10/18 |
| o | TWENTY-FIRST CENTURY FOX-A | P | 07/31/18 | 10/10/18 |
| (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 <923.> | | | <923.> | |
| b <2,822.> | | | <2,822.> | |
| c <859.> | | | <859.> | |
| d 1,236. | | | 1,236. | |
| e 1,628. | | | 1,628. | |
| f 1,307. | | | 1,307. | |
| g 1,072. | | | 1,072. | |
| h 1,714. | | | 1,714. | |
| i 1,547. | | | 1,547. | |
| j 1,515. | | | 1,515. | |
| k 4,894. | | | 4,894. | |
| l 963. | | | 963. | |
| m 39. | | | 39. | |
| n 181. | | | 181. | |
| o 19. | | | 19. | |
| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") | |
| (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 | | | <923.> | |
| b | | | <2,822.> | |
| c | | | <859.> | |
| d | | | 1,236. | |
| e | | | 1,628. | |
| f | | | 1,307. | |
| g | | | 1,072. | |
| h | | | 1,714. | |
| i | | | 1,547. | |
| j | | | 1,515. | |
| k | | | 4,894. | |
| l | | | 963. | |
| m | | | 39. | |
| n | | | 181. | |
| o | | | 19. | |
| 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 | |
| 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 | |

| 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 | TWENTY-FIRST CENTURY FOX-A | P | 09/20/18 | 10/11/18 |
| b | TWENTY-FIRST CENTURY FOX-A | P | 09/21/18 | 10/11/18 |
| c | TWENTY-FIRST CENTURY FOX-A | P | 09/21/18 | 10/11/18 |
| d | TWENTY-FIRST CENTURY FOX-A | P | | 09/26/18 |
| e | TWENTY-FIRST CENTURY FOX-A | P | | 10/03/18 |
| f | TWENTY-FIRST CENTURY FOX-A | P | | 10/04/18 |
| g | TWENTY-FIRST CENTURY FOX-A | P | | 10/10/18 |
| h | TWENTY-FIRST CENTURY FOX-A | P | 10/12/18 | 10/12/18 |
| i | TWENTY-FIRST CENTURY FOX-A | P | 11/01/18 | 11/02/18 |
| j | TWENTY-FIRST CENTURY FOX-A | P | 11/01/18 | 11/08/18 |
| k | TWENTY-FIRST CENTURY FOX-A | P | 11/05/18 | 11/08/18 |
| l | TWENTY-FIRST CENTURY FOX-A | P | 11/05/18 | 11/12/18 |
| m | ULTRA CLEAN HOLDINGS INC | P | 10/17/18 | 10/18/18 |
| n | ULTRA CLEAN HOLDINGS INC | P | 10/17/18 | 10/18/18 |
| o | ULTRA CLEAN HOLDINGS INC | P | 10/17/18 | 10/24/18 |

| (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 | 393. | | 393. |
| b | <19.> | | <19.> |
| c | <69.> | | <69.> |
| d | 38. | | 38. |
| e | 71. | | 71. |
| f | 568. | | 568. |
| g | 46. | | 46. |
| h | 550. | | 550. |
| i | <70.> | | <70.> |
| j | <328.> | | <328.> |
| k | <305.> | | <305.> |
| l | 645. | | 645. |
| m | <3,690.> | | <3,690.> |
| n | <56.> | | <56.> |
| o | <3,807.> | | <3,807.> |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|---|
| (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 | | | 393. |
| b | | | <19.> |
| c | | | <69.> |
| d | | | 38. |
| e | | | 71. |
| f | | | 568. |
| g | | | 46. |
| h | | | 550. |
| i | | | <70.> |
| j | | | <328.> |
| k | | | <305.> |
| l | | | 645. |
| m | | | <3,690.> |
| n | | | <56.> |
| o | | | <3,807.> |

| | | | |
|---|---|---|--|
| 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 | |
| 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 | |

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 | VERIZON COMMUNICATIONS INC | P | 09/18/18 | 09/21/18 |
| b | VERIZON COMMUNICATIONS INC | P | 09/18/18 | 09/21/18 |
| c | VERIZON COMMUNICATIONS INC | P | 09/18/18 | 09/26/18 |
| d | VERIZON COMMUNICATIONS INC | P | 09/18/18 | 10/01/18 |
| e | VERIZON COMMUNICATIONS INC | P | 10/03/18 | 10/03/18 |
| f | VIVENDI | P | 05/30/18 | 07/12/18 |
| g | VIVENDI | P | 06/26/18 | 07/31/18 |
| h | VIVENDI | P | 07/09/18 | 10/11/18 |
| i | VIVENDI | P | 07/10/18 | 10/11/18 |
| j | VIVENDI | P | 07/11/18 | 10/11/18 |
| k | VIVENDI | P | | 07/12/18 |
| l | VIVENDI | P | 07/17/18 | 10/23/18 |
| m | VIVENDI | P | 07/17/18 | 10/23/18 |
| n | VIVENDI | P | 07/25/18 | 10/23/18 |
| o | VIVENDI | P | 07/30/18 | 10/23/18 |

| (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 | <175.> | | <175.> |
| b | <19.> | | <19.> |
| c | <761.> | | <761.> |
| d | <799.> | | <799.> |
| e | <53.> | | <53.> |
| f | 64. | | 64. |
| g | 473. | | 473. |
| h | 30. | | 30. |
| i | <780.> | | <780.> |
| j | 10,016. | | 10,016. |
| k | 17. | | 17. |
| l | <294.> | | <294.> |
| m | <17.> | | <17.> |
| n | 1,015. | | 1,015. |
| o | <254.> | | <254.> |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|---|
| (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 | | | <175.> |
| b | | | <19.> |
| c | | | <761.> |
| d | | | <799.> |
| e | | | <53.> |
| f | | | 64. |
| g | | | 473. |
| h | | | 30. |
| i | | | <780.> |
| j | | | 10,016. |
| k | | | 17. |
| l | | | <294.> |
| m | | | <17.> |
| n | | | 1,015. |
| o | | | <254.> |

| | | | |
|---|---|---|--|
| 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 | |
| 3 | Net short term capital gain or (loss) as defined in sections 1222(5) and (C). If gain, also enter in Part I, line 8, column (c). If (loss), enter "-0-" in Part I, line 8 | 3 | |

| 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 | VIVENDI | P | 09/13/18 | 10/23/18 |
| b | VIVENDI | P | 09/14/18 | 10/23/18 |
| c | VIVENDI | P | 09/28/18 | 10/23/18 |
| d | VIVENDI | P | 10/02/18 | 10/23/18 |
| e | VIVENDI | P | | 10/11/18 |
| f | VIVENDI | P | | 10/11/18 |
| g | VIVENDI | P | | 10/23/18 |
| h | VIVENDI | P | 11/14/18 | 11/20/18 |
| i | WASHINGTON PG INC | P | 12/26/18 | 12/28/18 |
| j | WASHINGTON PRIME GROUP INC | P | 07/27/18 | 08/02/18 |
| k | WISDOMTREE JAPAN HEDGED EQ | P | 07/25/18 | 07/25/18 |
| l | WISDOMTREE JAPAN HEDGED EQ | P | 07/25/18 | 07/25/18 |
| m | WISDOMTREE JAPAN HEDGED EQ | P | 09/13/18 | 09/13/18 |
| n | WISDOMTREE JAPAN HEDGED EQ | P | 09/14/18 | 09/14/18 |
| o | WISDOMTREE JAPAN HEDGED EQ | P | 09/18/18 | 09/18/18 |
| (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 | <510.> | | <510.> | |
| b | <493.> | | <493.> | |
| c | <3,247.> | | <3,247.> | |
| d | <6,538.> | | <6,538.> | |
| e | 946. | | 946. | |
| f | <584.> | | <584.> | |
| g | <3,244.> | | <3,244.> | |
| h | <3,635.> | | <3,635.> | |
| i | 2,673. | | 2,673. | |
| j | 2,678. | | 2,678. | |
| k | 377. | | 377. | |
| l | 163. | | 163. | |
| m | 1,074. | | 1,074. | |
| n | 802. | | 802. | |
| o | <350.> | | <350.> | |
| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") | |
| (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 | | | <510.> | |
| b | | | <493.> | |
| c | | | <3,247.> | |
| d | | | <6,538.> | |
| e | | | 946. | |
| f | | | <584.> | |
| g | | | <3,244.> | |
| h | | | <3,635.> | |
| i | | | 2,673. | |
| j | | | 2,678. | |
| k | | | 377. | |
| l | | | 163. | |
| m | | | 1,074. | |
| n | | | 802. | |
| o | | | <350.> | |
| 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 |
| 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 |

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 WISDOMTREE JAPAN HEDGED EQ | P | 10/03/18 | 10/03/18 |
| b WISDOMTREE JAPAN HEDGED EQ | P | 10/11/18 | 10/11/18 |
| c WISDOMTREE JAPAN HEDGED EQ | P | 10/16/18 | 10/16/18 |
| d WISDOMTREE JAPAN HEDGED EQ | P | 10/30/18 | 10/30/18 |
| e WISDOMTREE JAPAN HEDGED EQ | P | 10/31/18 | 10/31/18 |
| f YAHOO JAPAN CORP | P | 07/10/18 | 07/11/18 |
| g YAHOO JAPAN CORP | P | 07/10/18 | 07/12/18 |
| h YAHOO JAPAN CORP | P | 09/10/18 | 09/18/18 |
| i CONSOLIDATED COMMUNICATIONS | P | 03/14/18 | 08/06/18 |
| j CONSOLIDATED COMMUNICATIONS | P | 03/26/18 | 08/06/18 |
| k CONSOLIDATED COMMUNICATIONS | P | 03/28/18 | 08/09/18 |
| l CONSOLIDATED COMMUNICATIONS | P | | 08/06/18 |
| m CONSOLIDATED COMMUNICATIONS | P | 10/11/18 | 11/19/18 |
| n CONSOLIDATED COMMUNICATIONS | P | 10/11/18 | 11/19/18 |
| o SERVICIOS CORPORATIVOS JAVER | P | 06/14/17 | 10/10/18 |

| (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 <3,541.> | | | <3,541.> |
| b 2. | | | 2. |
| c <2,259.> | | | <2,259.> |
| d <5,345.> | | | <5,345.> |
| e <708.> | | | <708.> |
| f <535.> | | | <535.> |
| g <1,368.> | | | <1,368.> |
| h 2,232. | | | 2,232. |
| i <7,873.> | | | <7,873.> |
| j <23,046.> | | | <23,046.> |
| k <18,008.> | | | <18,008.> |
| l <27,502.> | | | <27,502.> |
| m 84. | | | 84. |
| n 98. | | | 98. |
| o <1.> | | | <1.> |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|---|
| (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 | | | <3,541.> |
| b | | | 2. |
| c | | | <2,259.> |
| d | | | <5,345.> |
| e | | | <708.> |
| f | | | <535.> |
| g | | | <1,368.> |
| h | | | 2,232. |
| i | | | <7,873.> |
| j | | | <23,046.> |
| k | | | <18,008.> |
| l | | | <27,502.> |
| m | | | 84. |
| n | | | 98. |
| o | | | <1.> |

| | | |
|---|---|--|
| 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 | |
| 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 | |

| Part IV Capital Gains and Losses for Tax on Investment Income | | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) | |
|--|------------------------------|--|--------------------------------------|--|---|
| (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. | | | | | |
| 1a | SERVICIOS CORPORATIVOS JAVER | P | 06/14/17 | 12/14/18 | |
| b | SERVICIOS CORPORATIVOS JAVER | P | 06/14/17 | 12/20/18 | |
| c | SERVICIOS CORPORATIVOS JAVER | P | | 09/10/18 | |
| d | SERVICIOS CORPORATIVOS JAVER | P | 09/22/16 | 08/01/18 | |
| e | SERVICIOS CORPORATIVOS JAVER | P | | 09/28/18 | |
| f | SERVICIOS CORPORATIVOS JAVER | P | | 12/26/18 | |
| g | TVA GROUP INC- B SHARES | P | 07/06/17 | 08/07/18 | |
| h | TVA GROUP INC- B SHARES | P | 07/07/17 | 08/09/18 | |
| i | TVA GROUP INC- B SHARES | P | 07/07/17 | 08/10/18 | |
| j | TVA GROUP INC- B SHARES | P | 07/07/17 | 08/14/18 | |
| k | TVA GROUP INC- B SHARES | P | 07/07/17 | 08/15/18 | |
| l | TVA GROUP INC- B SHARES | P | 07/07/17 | 08/27/18 | |
| m | TVA GROUP INC- B SHARES | P | 07/07/17 | 08/27/18 | |
| n | TVA GROUP INC- B SHARES | P | 07/23/18 | 10/29/18 | |
| o | TVA GROUP INC- B SHARES | P | | 08/07/18 | |
| (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 | 150. | | | | 150. |
| b | <2.> | | | | <2.> |
| c | 1,921. | | | | 1,921. |
| d | <3.> | | | | <3.> |
| e | 6,052. | | | | 6,052. |
| f | 5,016. | | | | 5,016. |
| g | 41. | | | | 41. |
| h | 294. | | | | 294. |
| i | 109. | | | | 109. |
| j | 277. | | | | 277. |
| k | 68. | | | | 68. |
| l | 59. | | | | 59. |
| m | <7.> | | | | <7.> |
| n | <1,149.> | | | | <1,149.> |
| o | 556. | | | | 556. |
| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
| (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 | | | | | 150. |
| b | | | | | <2.> |
| c | | | | | 1,921. |
| d | | | | | <3.> |
| e | | | | | 6,052. |
| f | | | | | 5,016. |
| g | | | | | 41. |
| h | | | | | 294. |
| i | | | | | 109. |
| j | | | | | 277. |
| k | | | | | 68. |
| l | | | | | 59. |
| m | | | | | <7.> |
| n | | | | | <1,149.> |
| o | | | | | 556. |
| 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 |
| 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 |

| 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 | TVA GROUP INC- B SHARES | P | | 10/30/18 |
| b | CAPITAL GAINS DIVIDENDS | | | |
| c | | | | |
| d | | | | |
| e | | | | |
| f | | | | |
| 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 <2,492.> | | | <2,492.> |
| b 11,914. | | | 11,914. |
| c | | | |
| d | | | |
| e | | | |
| f | | | |
| 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 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|---|
| (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 | | | <2,492.> |
| b | | | 11,914. |
| c | | | |
| d | | | |
| e | | | |
| f | | | |
| 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 | <495,536.> |
| 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 |

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 |
|--|-----------------------------|---------------------------------|-------------------------------|
| PASSTHROUGH INTEREST INCOME- ABNER PROPERIES | 7. | 7. | |
| PASSTHROUGH INTEREST INCOME- BLACKSTONE | 455. | 455. | |
| PASSTHROUGH INTEREST INCOME- BONUS EVENTUS TWO | 154. | 154. | |
| PASSTHROUGH INTEREST INCOME- ENERGY TRANSFER | 449. | 449. | |
| PASSTHROUGH INTEREST INCOME- PLAINS ALL AMERICAN | 126. | 126. | |
| PASSTHROUGH INTEREST INCOME- R W ASSOCIATES | 1,174. | 1,174. | |
| PASSTHROUGH INTEREST INCOME- SALUBRIOUS ASIA LLC | 406. | 406. | |
| PASSTHROUGH INTEREST INCOME- BONUS EVENTUS, LLC | 1,664. | 1,664. | |
| PASSTHROUGH INTEREST INCOME- HEX PERFORMANCE, LLC | 2,298. | 2,298. | |
| PASSTHROUGH INTEREST INCOME- OPULENTIA, LLC | 314. | 314. | |
| PASSTHROUGH INTEREST INCOME- PLOUTOS, LLC | 3. | 3. | |
| TOTAL TO PART I, LINE 3 | 7,050. | 7,050. | |

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 |
|---|-----------------|-------------------------------|-----------------------------|-----------------------------------|-------------------------------|
| ABNER PROPERTIES - PASSTHROUGH | 140. | 0. | 140. | 140. | |
| BLACKSTONE LLC - PASSTHROUGH | 607. | 0. | 607. | 607. | |
| COLERAIN SHOPPING - INTEREST | 28. | 0. | 28. | 28. | |
| ENERGY TRANSFER - PASSTHROUGH | 541. | 0. | 541. | 541. | |
| INTERACTIVE BROKERS LLC- INTEREST | 18,135. | 8,435. | 9,700. | 9,700. | |
| INTERACTIVE BROKERS LLC- ORDINARY DIVIDENDS | 20,230. | 0. | 20,230. | 20,230. | |
| MORGAN STANLEY - INTEREST | 278. | 0. | 278. | 278. | |
| MORGAN STANLEY#013- 010851-370- ORDINARY DIVIDENDS | 3,479. | 3,479. | 0. | 0. | |
| OPULENTIA, LLC- PASSTHROUGH DIVIDEND INCOME | 701. | 0. | 701. | 701. | |
| PLAINS ALL AMERICAN - PASSTHROUGH | 20. | 0. | 20. | 20. | |
| REGAL SECURITIES #9565 - ORDINARY DIVIDENDS | 1,615. | 0. | 1,615. | 1,615. | |
| REGAL SECURITIES 9565 - INTEREST | 394. | 0. | 394. | 394. | |
| SALUBRIOUS, LLC- PASSTHROUGH | 10,679. | 0. | 10,679. | 10,679. | |
| TO PART I, LINE 4 | 56,847. | 11,914. | 44,933. | 44,933. | |

FORM 990-PF RENTAL INCOME STATEMENT 3

| KIND AND LOCATION OF PROPERTY | ACTIVITY NUMBER | GROSS RENTAL INCOME |
|---------------------------------------|-----------------|---------------------|
| COMMERCIAL REAL ESTATE | 1 | 634,157. |
| R W ASSOCIATES | 2 | <3,412.> |
| TELEPHONE REALTY CO. | 5 | <56.> |
| CHI RETAIL ASSOCIATES | 6 | <80,257.> |
| BLACKSTONE LLC | 7 | <6.> |
| ABNER PROPERTIES | 8 | 2,302. |
| ENERGY TRANSFER | 9 | <6.> |
| TOTAL TO FORM 990-PF, PART I, LINE 5A | | 552,722. |

FORM 990-PF RENTAL EXPENSES STATEMENT 4

| DESCRIPTION | ACTIVITY NUMBER | AMOUNT | TOTAL |
|---|-----------------|----------|----------|
| DEPRECIATION | | 24,907. | |
| REAL ESTATE TAXES | | 109,239. | |
| UTILITIES | | 19,595. | |
| OPERATING & MAINTENANCE | | 75,374. | |
| INSURANCE | | 11,239. | |
| LEGAL FEES - JEROME ROBBINS | | 2,000. | |
| GROUND LEASE RENT | | 249,202. | |
| MANAGEMENT FEES | | 37,148. | |
| AMORTIZATION | | 4,422. | |
| ADMIN EXPENSE | | 421. | |
| PROFESSIONAL FEES - CTMI, LLC | | 125. | |
| PROFESSIONAL FEES - MARKS PANETH LLP | | 12,000. | |
| - SUBTOTAL - | 1 | | 545,672. |
| SECTION 754 DEPRECIATION | | 94. | |
| - SUBTOTAL - | 8 | | 94. |
| TOTAL RENTAL EXPENSES | | | 545,766. |
| NET RENTAL INCOME TO FORM 990-PF, PART I, LINE 5B | | | 6,956. |

FORM 990-PF

OTHER INCOME

STATEMENT 5

| DESCRIPTION | (A) REVENUE PER BOOKS | (B) NET INVEST- MENT INCOME | (C) ADJUSTED NET INCOME |
|---|-----------------------------|-----------------------------------|-------------------------------|
| OPULENTIA, LLC- PASSTHROUGH OTHER INCOME | 2,421. | 2,421. | |
| SALUBRIOUS ASIA LLC- PASSTHROUGH OTHER INCOME | <6,591.> | <6,591.> | |
| PLOUTUS LLC - PASSTHROUGH OTHER INCOME | 11. | 11. | |
| BLACKSTONE LLC - PASSTHROUGH | 10. | 10. | |
| ENERGY TRANSFER - PASSTHROUGH | 5. | 5. | |
| BLACKSTONE LLC - PASSTHROUGH | 364. | 364. | |
| HEX PERFORMANCE LLC - PASSTHROUGH | <64,633.> | <64,633.> | |
| BLACKSTONE LLC - PASSTHROUGH | 39. | 39. | |
| ENERGY TRANSFER - PASSTHROUGH | <6,802.> | <6,802.> | |
| PLAINS ALL AMERICAN - PASSTHROUGH RW ASSOCIATES | <35,267.> | <35,267.> | |
| BLACKSTONE LLC - PASSTHROUGH | 42,672. | 42,672. | |
| ENERGY TRANSFER - PASSTHROUGH | 222. | 222. | |
| PLAINS ALL AMERICAN - PASSTHROUGH | <112.> | <112.> | |
| INTERACTIVE BROKERAGE - OTHER INCOME | 1,230. | 1,230. | |
| | 50,619. | 50,619. | |
| TOTAL TO FORM 990-PF, PART I, LINE 11 | <15,812.> | <15,812.> | |

FORM 990-PF

LEGAL FEES

STATEMENT 6

| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST- MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|-----------------------------|------------------------------|-----------------------------------|-------------------------------|-------------------------------|
| LEGAL FEES - JEROME ROBBINS | 2,000. | 0. | | 0. |
| TO FM 990-PF, PG 1, LN 16A | 2,000. | 0. | | 0. |

| FORM 990-PF | ACCOUNTING FEES | | | STATEMENT 7 |
|---|------------------------------|-----------------------------------|-------------------------------|-------------------------------|
| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST- MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
| PROFESSIONAL FEES - MARKS PANETH LLP | 36,341. | 17,670. | | 17,671. |
| PROFESSIONAL FEES - MARKS PANETH LLP | 12,000. | 0. | | 0. |
| TO FORM 990-PF, PG 1, LN 16B | 48,341. | 17,670. | | 17,671. |

| FORM 990-PF | OTHER PROFESSIONAL FEES | | | STATEMENT 8 |
|----------------------------------|------------------------------|-----------------------------------|-------------------------------|-------------------------------|
| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST- MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
| BONUS EVENTUS, LLC | 1,090. | 1,090. | | 0. |
| PLOTOUS | 281. | 281. | | 0. |
| BONUS EVENTUS 2, LLC | 1,085. | 1,085. | | 0. |
| SALUBRIOUS ASIA | 611. | 611. | | 0. |
| PROFESSIONAL FEES - CTMI, LLC | 125. | 0. | | 0. |
| TO FORM 990-PF, PG 1, LN 16C | 3,192. | 3,067. | | 0. |

| FORM 990-PF | TAXES | | | STATEMENT 9 |
|---|------------------------------|-----------------------------------|-------------------------------|-------------------------------|
| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST- MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
| SALUBRIOUS ASIA LLC- FOREIGN TAXES PAID | 3,781. | 3,781. | | 0. |
| INTERACTIVE BROKERS- FOREIGN TAXES PAID | 6,925. | 6,925. | | 0. |
| BLACKSTONE- FOREIGN TAXES PAID | 6. | 6. | | 0. |
| PLAINS ALL AMERICAN - FOREIGN TAXES PAID | 828. | 828. | | 0. |
| FEDERAL TAXES | 5,335. | 0. | | 0. |
| REAL ESTATE TAXES | 109,239. | 0. | | 0. |
| TO FORM 990-PF, PG 1, LN 18 | 126,114. | 11,540. | | 0. |

FORM 990-PF

OTHER EXPENSES

STATEMENT 10

| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST- MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|---|------------------------------|-----------------------------------|-------------------------------|-------------------------------|
| BONUS EVENTUS, LLC- PASSTHROUGH INVESTMENT INTEREST EXPENSE | 448. | 448. | | 0. |
| OPULENTIA, LLC- PASSTHROUGH PORTFOLIO DEDUCTIONS | 1,551. | 1,551. | | 0. |
| FILING FEES | 5. | 5. | | 0. |
| BONUS EVENTUS, LLC - PASSTHROUGH PORTFOLIO DEDUCTIONS | 11,175. | 11,175. | | 0. |
| SALUBRIOUS ASIA, LLC- PASSTHROUGH PORTFOLIO DEDUCTIONS | 7,953. | 7,953. | | 0. |
| SALUBRIOUS ASIA LLC- PASSTHROUGH INVESTMENT INTEREST | 594. | 594. | | 0. |
| REGAL- RBC CAPITAL MARKETS- INVESTMENT EXPENSE | 228. | 228. | | 0. |
| MORGAN STANLEY #013-010851-370 - INVESTMENT EXPENSE | 1,179. | 1,179. | | 0. |
| BONUS EVENTUS II, LLC - PASSTHROUGH PORTFOLIO DEDUCTIONS | 48,025. | 48,025. | | 0. |
| OPULENTIA, LLC- INVESTMENT EXPENSE | 22. | 22. | | 0. |
| BLACKSTONE PASSTHROUGH PORTFOLIO DEDUCTIONS | 42. | 42. | | 0. |
| BLACKSTONE - INVESTMENT EXPENSE | 46. | 46. | | 0. |
| PLAINS ALL AMERICAN PIPELINE - INVESTMENT EXPENSE | 59. | 59. | | 0. |
| ENERGY TRANSFER - INVESTMENT EXPENSE | 389. | 389. | | 0. |
| OPULENTIA, LLC- 1256 LOSS | 426. | 426. | | 0. |
| HEX PERFORMANCE - NONDEDUCTIBLE EXPENSES | 345. | 345. | | 0. |
| ABNER PROPERTIES - NONDEDUCTIBLE EXPENSES | 68. | 68. | | 0. |
| OPULENTIA, LLC- INTEREST EXPENSE | 591. | 591. | | 0. |
| MISC EXPENSES | 11,989. | 5,994. | | 5,994. |
| ENERGY TRANSFER - OTHER EXPENSE | 4. | 4. | | 0. |
| ENERGY TRANSFER - NONDEDUCTIBLE | 25. | 25. | | 0. |
| PLAINS ALL AMERICAN PIPELINE - NONDEDUCTIBLE | 106. | 106. | | 0. |
| INTERACTIVE BROKERAGE - INVESTMENT EXPENSE | 8,477. | 8,477. | | 0. |
| CONTRIBUTIONS - PASSTHROUGH | 46. | 0. | | 46. |
| UTILITIES | 19,595. | 0. | | 0. |

STATEMENT(S) 10

THE ABNER ROSEN FOUNDATION, INC.

13-3841307

| | | | |
|-----------------------------|----------|---------|--------|
| OPERATING & MAINTENANCE | 75,374. | 0. | 0. |
| INSURANCE | 11,239. | 0. | 0. |
| MANAGEMENT FEES | 37,148. | 0. | 0. |
| ADMIN EXPENSE | 421. | 0. | 0. |
| SECTION 754 DEPRECIATION | 94. | 94. | 0. |
| AMORTIZATION | 4,422. | 0. | 0. |
| TO FORM 990-PF, PG 1, LN 23 | 242,086. | 87,846. | 6,040. |

FORM 990-PF CORPORATE STOCK STATEMENT 11

| DESCRIPTION | BOOK VALUE | FAIR MARKET VALUE |
|---|------------|-------------------|
| ECM ASSET MANAGEMENT | 250,000. | 250,000. |
| ARRIN BACKGROUND INC | 60,000. | 60,000. |
| RARE MINERAL CORP | 250,000. | 250,000. |
| TOTAL TO FORM 990-PF, PART II, LINE 10B | 560,000. | 560,000. |

FORM 990-PF DEPRECIATION OF ASSETS HELD FOR INVESTMENT STATEMENT 12

| DESCRIPTION | COST OR OTHER BASIS | ACCUMULATED DEPRECIATION | BOOK VALUE |
|------------------------------------|---------------------|--------------------------|------------|
| BUILDING IMPROVEMENTS | 901,892. | 179,105. | 722,787. |
| BUILDING IMPROVEMENTS- ROOF | 23,200. | 4,462. | 18,738. |
| HVAC | 43,870. | 5,531. | 38,339. |
| HVAC | 59,448. | 62. | 59,386. |
| TOTAL TO FM 990-PF, PART II, LN 11 | 1,028,410. | 189,160. | 839,250. |

| FORM 990-PF | OTHER INVESTMENTS | STATEMENT 13 | |
|--|-------------------|--------------|-------------------|
| DESCRIPTION | VALUATION METHOD | BOOK VALUE | FAIR MARKET VALUE |
| OPULENTIA, LLC | COST | 24,614. | 52,826. |
| RW ASSOCIATES | COST | 493,849. | 50,100. |
| FIRST IRON GROUP PLC | COST | 300,000. | 300,000. |
| MORGAN STANLEY | COST | 736,535. | 613,960. |
| TOURNAMENT | COST | 1,500,000. | 1,500,000. |
| SALUBRIOUS ASIA LLC | COST | 325,709. | 368,138. |
| INTERACTIVE BROKERS | COST | 5,512,290. | 5,101,585. |
| REGAL SECURITIES 708299565 | COST | 477,001. | 436,395. |
| BONUS EVENTUS TWO LLC | COST | 363,312. | 1,733,393. |
| TELEPHONE REALTY CO. | COST | 874. | 0. |
| CHI RETAIL ASSOCIATES | COST | 4,124,000. | 4,313,929. |
| BONUS EVENTUS LLC | COST | 79,098. | 1,697,505. |
| HEX PERFORMANCE | COST | 237,320. | 300,000. |
| ABNER PROPERTIES | COST | 322,250. | 5,181. |
| PLOUTOS LLC | COST | 4,466. | 4,466. |
| PLAINS ALL AMERICAN PIPELINE | COST | 106,000. | 100,200. |
| TOTAL TO FORM 990-PF, PART II, LINE 13 | | 14,607,318. | 16,577,678. |

| FORM 990-PF | OTHER LIABILITIES | STATEMENT 14 | |
|--|-------------------|--------------|------------|
| DESCRIPTION | | BOY AMOUNT | EOY AMOUNT |
| SECURITY DEPOSIT- TENANTS | | 7,581. | 11,583. |
| PLOUTOS LLC | | 2,196. | 0. |
| COLERAIN CENTER | | 80,000. | 0. |
| CASH OVERDRAFT | | 0. | 2,511,449. |
| OTHER LIABILITY | | 0. | 300,000. |
| TOTAL TO FORM 990-PF, PART II, LINE 22 | | 89,777. | 2,823,032. |

FORM 990-PF

OTHER ASSETS

STATEMENT 15

| <u>DESCRIPTION</u> | <u>BEGINNING OF YR BOOK VALUE</u> | <u>END OF YEAR BOOK VALUE</u> | <u>FAIR MARKET VALUE</u> |
|--|---------------------------------------|-----------------------------------|------------------------------|
| PREPAID LEASING COMMISSIONS DUE FROM ESTATE FROM ABRAHAM ROSEN | 14,300. | 18,068. | 0. |
| UTILITY DEPOSIT- COLERAIN | 11,923. | 0. | 0. |
| | 3,271. | 2,401. | 2,401. |
| TO FORM 990-PF, PART II, LINE 15 | 29,494. | 20,469. | 2,401. |