

Form 990-PF

Department of the Treasury  
Internal Revenue ServiceReturn of Private Foundation  
or Section 4947(a)(1) Trust Treated as Private Foundation► Do not enter social security numbers on this form as it may be made public.  
► Go to [www.irs.gov/Form990PF](http://www.irs.gov/Form990PF) for instructions and the latest information.

OMB No 1545 0052

2018

Open to Public Inspection

For calendar year 2018 or tax year beginning , 2018, and ending

THE PETER AND PATRICIA GRUBER FOUNDATION  
P.O. BOX 208958  
NEW HAVEN, CT 06520-8958

G Check all that apply.  Initial return  Initial return of a former public charity  
 Final return  Amended return  
 Address change  Name change

H Check type of organization  Section 501(c)(3) exempt private foundation **04**  
 Section 4947(a)(1) nonexempt charitable trust  Other taxable private foundation

I Fair market value of all assets at end of year (from Part II, column (c), line 16) **19,564,711.** J Accounting method  Cash  Accrual  
 Other (specify) **(Part I, column (d) must be on cash basis)**

A Employer identification number **65-1230485**  
 B Telephone number (see instructions) **203-432-6231**  
 C If exemption application is pending, check here  **6**  
 D 1 Foreign organizations, check here   
 2 Foreign organizations meeting the 85% test, check here and attach computation   
 E If private foundation status was terminated under section 507(b)(1)(A), check here   
 F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here

**Part I Analysis of Revenue and Expenses** (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions))

		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
	1 Contributions, gifts, grants, etc., received (attach schedule)	<b>4,343,093.</b>			
	2 Check <input type="checkbox"/> if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments	<b>1,233.</b>	<b>1,233.</b>	<b>N/A</b>	
	4 Dividends and interest from securities	<b>431,868.</b>	<b>431,868.</b>		
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 11	<b>509,546.</b>			
	b Gross sales price for all assets on line 6a <b>2,111,298.</b>				
	7 Capital gain net income (from Part IV, line 2)		<b>509,546.</b>		
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less returns and allowances				
	b Less Cost of goods sold				
	c Gross profit or (loss) (attach schedule)				
	11 Other income (attach schedule)				
	SEE STATEMENT 1	<b>-95.</b>	<b>-95.</b>		
	12 Total. Add lines 1 through 11	<b>5,285,645.</b>	<b>942,552.</b>		
SCANNED JUN 27 2019	13 Compensation of officers, directors, trustees, etc.	<b>0.</b>			
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees (attach schedule) SEE ST 2	<b>1,795.</b>			
	b Accounting fees (attach sch) SEE ST 3	<b>5,959.</b>	<b>2,980.</b>		
	c Other professional fees (attach sch)				
	17 Interest				
	18 Taxes (attach schedule)(see instrs) SEE STM 4	<b>23,785.</b>	<b>5,060.</b>		
	19 Depreciation (attach schedule) and depletion SEE STMT 5	<b>357.</b>			
	20 Occupancy				
	21 Travel, conferences, and meetings	<b>12,698.</b>		<b>12,698.</b>	
	22 Printing and publications				
	23 Other expenses (attach schedule) SEE STATEMENT 6	<b>13,291.</b>		<b>13,291.</b>	
	24 Total operating and administrative expenses Add lines 13 through 23	<b>57,885.</b>	<b>8,040.</b>	<b>30,763.</b>	
	25 Contributions, gifts, grants paid PART XV	<b>401,000.</b>			<b>1,745,000.</b>
	26 Total expenses and disbursements Add lines 24 and 25	<b>458,885.</b>	<b>8,040.</b>		<b>1,775,763.</b>
	27 Subtract line 26 from line 12				
	a Excess of revenue over expenses and disbursements	<b>4,826,760.</b>			
	b Net investment income (if negative, enter -0.)		<b>934,512.</b>		
	c Adjusted net income (if negative, enter 0.)				

BAA For Paperwork Reduction Act Notice, see instructions.

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Part II Balance Sheets		Attached schedules and amounts in the description column should be for end of year amounts only (See instructions)	Beginning of year	End of year	
			(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash – non-interest-bearing	58.	58.	58.
	2	Savings and temporary cash investments	722,835.	713,322.	713,322.
	3	Accounts receivable.			
		Less allowance for doubtful accounts ▶			
	4	Pledges receivable			
		Less allowance for doubtful accounts ▶			
	5	Grants receivable			
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
	7	Other notes and loans receivable (attach sch) ▶			
		Less allowance for doubtful accounts ▶			
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges			
	10a	Investments – U S and state government obligations (attach schedule)			
	b	Investments – corporate stock (attach schedule)			
	c	Investments – corporate bonds (attach schedule)			
	11	Investments – land, buildings, and equipment: basis ▶			
		Less, accumulated depreciation (attach schedule) ▶			
	12	Investments – mortgage loans			
	13	Investments – other (attach schedule) <u>STATEMENT 7</u>	16,113,707.	15,276,071.	14,430,975.
	14	Land, buildings, and equipment basis ▶ <u>1,784.</u>		1	
		Less accumulated depreciation (attach schedule) <u>SEE STMT 8</u> ▶ <u>773.</u>	1,368.	1,011.	1,011.
	15	Other assets (describe ▶ <u>SEE STATEMENT 9</u> )	90,387.	4,419,345.	4,419,345.
	16	Total assets (to be completed by all filers – see the instructions Also, see page 1, item I)	16,928,355.	20,409,807.	19,564,711.
Liabilities	17	Accounts payable and accrued expenses	669.	1,636.	
	18	Grants payable	1,344,000.		
	19	Deferred revenue			
	20	Loans from officers, directors, trustees, & other disqualified persons			
	21	Mortgages and other notes payable (attach schedule)			
	22	Other liabilities (describe ▶ <u>SEE STATEMENT 10</u> )	3,729.	1,454.	
Net Assets or Fund Balances	23	Total liabilities (add lines 17 through 22)	1,348,398.	3,090.	
		Foundations that follow SFAS 117, check here and complete lines 24 through 26, and lines 30 and 31. ▶ <input type="checkbox"/>			
Net Assets or Fund Balances	24	Unrestricted			
	25	Unrestricted			
	26	Permanently restricted			
		Foundations that do not follow SFAS 117, check here and complete lines 27 through 31. ▶ <input checked="" type="checkbox"/>			
	27	Capital stock, trust principal, or current funds			
	28	Paid-in or capital surplus, or land, bldg, and equipment fund	22,404,979.	22,404,979.	
	29	Retained earnings, accumulated income, endowment, or other funds	-6,825,022.	-1,998,262.	
	30	Total net assets or fund balances (see instructions)	15,579,957.	20,406,717.	
	31	Total liabilities and net assets/fund balances (see instructions)	16,928,355.	20,409,807.	

## 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	15,579,957.
2	Enter amount from Part I, line 27a	2	4,826,760.
3	Other increases not included in line 2 (itemize) ▶	3	
4	Add lines 1, 2, and 3	4	20,406,717.
5	Decreases not included in line 2 (itemize) ▶	5	
6	Total net assets or fund balances at end of year (line 4 minus line 5) – Part II, column (b), line 30	6	20,406,717.

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

(a) List and describe the kind(s) of property sold (for example, real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co )			(b) How acquired P — Purchase D — Donation	(c) Date acquired (mo . day, yr)	(d) Date sold (mo . day, yr)
<b>1 a SEE STATEMENT 11</b>					
<b>b</b>					
<b>c</b>					
<b>d</b>					
<b>e</b>					
<b>(e) Gross sales price</b>	<b>(f) Depreciation allowed (or allowable)</b>	<b>(g) Cost or other basis plus expense of sale</b>	<b>(h) Gain or (loss) (e) plus (f) minus (g))</b>		
<b>a</b>					
<b>b</b>					
<b>c</b>					
<b>d</b>					
<b>e</b>					
Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			<b>(I) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))</b>		
<b>(i) FMV as of 12/31/69</b>	<b>(j) Adjusted basis as of 12/31/69</b>	<b>(k) Excess of col (i) over col (j), if any</b>			
<b>a</b>					
<b>b</b>					
<b>c</b>					
<b>d</b>					
<b>e</b>					
<b>2</b> Capital gain net income or (net capital loss). <span style="border: 1px solid black; padding: 2px;">If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7</span>			<b>2</b>	<b>509,546.</b>	
<b>3</b> Net short-term capital gain or (loss) as defined in sections 1222(5) and (6).  If gain, also enter in Part I, line 8, column (c) See instructions If (loss), enter -0- in Part I, line 8			<b>3</b>	<b>-2,742.</b>	

**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

<b>(a)</b> Base period years Calendar year (or tax year beginning in)	<b>(b)</b> Adjusted qualifying distributions	<b>(c)</b> Net value of noncharitable-use assets	<b>(d)</b> Distribution ratio (col (b) divided by col (c))
2017	1,835,092.	17,284,080.	0.106172
2016	1,632,968.	13,370,074.	0.122136
2015	1,086,501.	13,518,893.	0.080369
2014	1,837,372.	9,910,186.	0.185402
2013	1,823,045.	9,997,259.	0.182354

2 Total of line 1, column (d)

**2** **0.676433**

3 Average distribution ratio for the 5-year base period — divide the total on line 2 by 5 0, or by the number of years the foundation has been in existence if less than 5 years

**3** **0.135287**

4 Enter the net value of noncharitable-use assets for 2018 from Part X, line 5

**4** **16,406,574.**

5 Multiply line 4 by line 3

**5** **2,219,596.**

6 Enter 1% of net investment income (1% of Part I, line 27b)

**6** **9,345.**

7 Add lines 5 and 6

**7** **2,228,941.**

8 Enter qualifying distributions from Part XII, line 4

**8** **1,775,763.**

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

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

1 a	Exempt operating foundations described in section 4940(d)(2), check here ► <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 18,690.
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 18,690.
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only, others, enter -0-)	4 0.
5	<b>Tax based on investment income.</b> Subtract line 4 from line 3 If zero or less, enter -0-	5 18,690.
6	<b>Credits/Payments</b>	
a	2018 estimated tax pmts and 2017 overpayment credited to 2018	6a 17,271.
b	Exempt foreign organizations – tax withheld at source	6b
c	Tax paid with application for extension of time to file (Form 8868)	6c
d	Backup withholding erroneously withheld	6d
7	Total credits and payments Add lines 6a through 6d	7 17,271.
8	Enter any <b>penalty</b> for underpayment of estimated tax Check here <input checked="" type="checkbox"/> if Form 2220 is attached	8 35.
9	Tax due If the total of lines 5 and 8 is more than line 7, enter amount owed	9 1,454.
10	Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10
11	Enter the amount of line 10 to be Credited to 2019 estimated tax ►	Refunded
		11

**Part VII-A Statements Regarding Activities**

1 a	During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?	Yes	No
1 a		X	
b	Did it spend more than \$100 during the year (either directly or indirectly) for political purposes? See the instructions for the definition	1 b	X
If the answer is 'Yes' to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities			
c	Did the foundation file <b>Form 1120-POL</b> for this year?	1 c	X
d	Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year (1) On the foundation ► \$ 0. (2) On foundation managers ► \$ 0.	4 a	X
e	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ► \$ 0.	4 b	N/A
2	Has the foundation engaged in any activities that have not previously been reported to the IRS? If 'Yes,' attach a detailed description of the activities	5	X
3	Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If 'Yes,' attach a conformed copy of the changes	6	X
4 a	Did the foundation have unrelated business gross income of \$1,000 or more during the year?	7	X
b	If 'Yes,' has it filed a tax return on <b>Form 990-T</b> for this year?	8 a	
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year? If 'Yes,' attach the statement required by General Instruction T	8 b	X
6	Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either • By language in the governing instrument, or	9	X
• By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?			
7	Did the foundation have at least \$5,000 in assets at any time during the year? If 'Yes,' complete Part II, col (c), and Part XV	10	X
8 a	Enter the states to which the foundation reports or with which it is registered See instructions DE		
b	If the answer is 'Yes' to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by <i>General Instruction G</i> ? If 'No,' attach explanation		
9	Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2018 or the tax year beginning in 2018? See the instructions for Part XIV If 'Yes,' complete Part XIV		
10	Did any persons become substantial contributors during the tax year? If 'Yes,' attach a schedule listing their names and addresses		

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**Part VII-A Statements Regarding Activities (continued)**

	Yes	No
11 At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If 'Yes,' attach schedule See instructions	11	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	12	X
13 Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► <a href="http://WWW.PPGRUBERFOUNDATION.ORG">WWW.PPGRUBERFOUNDATION.ORG</a>	13	X
14 The books are in care of ► A. SARAH HREHA Telephone no ► 203-432-6231 Located at ► PO BOX 208958 NEW HAVEN CT ZIP + 4 ► 06520-8958		
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 ► N/A	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 ►	16	Yes
	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? (2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? (3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? (4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? (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)? (6) Agree to pay money or property to a government official? (Exception. Check 'No' if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days )	Yes	X No
	Yes	X No
1b 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 ►	1b	N/A
1c 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? If 'Yes,' list the years ► 20 __ , 20 __ , 20 __ , 20 __	Yes	X No
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 )	2b	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 ► 20 __ , 20 __ , 20 __ , 20 __		
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?	Yes	X 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 )	3b	N/A
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)**

<b>5a</b> During the year, did the foundation pay or incur any amount to		<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No			Yes	No
(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>b</b> If any answer is 'Yes' to 5a(1)–(5), did <b>any</b> 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						<b>5b</b>	N/A
Organizations relying on a current notice regarding disaster assistance, check here		> <input type="checkbox"/>					
<b>c</b> 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?		<b>N/A</b>	<input type="checkbox"/> Yes	<input type="checkbox"/> No			
If 'Yes,' attach the statement required by Regulations section 53 4945–5(d)							
<b>6a</b> 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>b</b> Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? If 'Yes' to 6b, file Form 8870						<b>6b</b>	X
<b>7a</b> 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>b</b> If 'Yes,' did the foundation receive any proceeds or have any net income attributable to the transaction?						<b>7b</b>	N/A
<b>8</b> 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. See instructions.**

List all officers, directors, trustees, and foundation managers and their compensation. See instructions.				
(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
PATRICIA M. GRUBER P.O. BOX 208958 NEW HAVEN, CT 06520-8958	PRESIDENT 1.00	0.	0.	0.
AMY SARAH HREHA P.O. BOX 208958 NEW HAVEN, CT 06520-8958	VP, TREAS, SEC 1.00	0.	0.	0.
BENJAMIN WARING PARTRIDGE P.O. BOX 208958 NEW HAVEN, CT 06520-8958	DIRECTOR 0.50	0.	0.	0.
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2 Compensation of five highest-paid employees (other than those included on line 1 – see instructions). If none, enter 'NONE'.

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

**BAA**

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

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

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

## **Part IX-A Summary of Direct Charitable Activities**

List the foundation's four largest direct charitable activities during the tax year. Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc		Expenses
1	N/A	
2		
3		
4		

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

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2		Amount
1	N/A	
2		
3	All other program-related investments See instructions	

All other program-related investments See instructions

3

**Total. Add lines 1 through 3.**

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

1 Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes  
 a Average monthly fair market value of securities

<b>1 a</b>	16,355,527.
<b>1 b</b>	300,893.
<b>1 c</b>	

b Average of monthly cash balances

<b>1 d</b>	16,656,420.

c Fair market value of all other assets (see instructions)

<b>1 e</b>	0.
<b>2</b>	0.

d Total (add lines 1a, b, and c)

<b>2</b>	0.
<b>3</b>	16,656,420.

e Reduction claimed for blockage or other factors reported on lines 1a and

1c (attach detailed explanation)

<b>3</b>	16,656,420.
<b>4</b>	249,846.

2 Acquisition indebtedness applicable to line 1 assets

<b>5</b>	16,406,574.
<b>6</b>	820,329.

3 Subtract line 2 from line 1

<b>6</b>	820,329.

4 Cash deemed held for charitable activities. Enter 1-1/2% of line 3

(for greater amount, see instructions)

<b>4</b>	249,846.
<b>5</b>	16,406,574.

5 Net value of noncharitable-use assets. Subtract line 4 from line 3 Enter here and on Part V, line 4

<b>5</b>	16,406,574.
<b>6</b>	820,329.

6 Minimum investment return. Enter 5% of line 5

<b>6</b>	820,329.

**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

<b>1</b>	820,329.
<b>2 a</b>	18,690.

2a Tax on investment income for 2018 from Part VI, line 5

<b>2 a</b>	18,690.
<b>2 b</b>	

b Income tax for 2018 (This does not include the tax from Part VI)

<b>2 b</b>	
<b>2 c</b>	18,690.

c Add lines 2a and 2b

<b>2 c</b>	18,690.
<b>3</b>	801,639.

3 Distributable amount before adjustments Subtract line 2c from line 1

<b>3</b>	801,639.
<b>4</b>	

4 Recoveries of amounts treated as qualifying distributions

<b>4</b>	
<b>5</b>	801,639.

5 Add lines 3 and 4

<b>5</b>	801,639.
<b>6</b>	

6 Deduction from distributable amount (see instructions)

<b>6</b>	
<b>7</b>	801,639.

7 Distributable amount as adjusted. Subtract line 6 from line 5 Enter here and on Part XIII, line 1

<b>7</b>	801,639.

**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

<b>1 a</b>	1,775,763.
<b>1 b</b>	

b Program-related investments – total from Part IX-B

<b>1 b</b>	
<b>2</b>	

2 Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes

<b>2</b>	
<b>3 a</b>	

3 Amounts set aside for specific charitable projects that satisfy the

<b>3 a</b>	
<b>3 b</b>	

a Suitability test (prior IRS approval required)

<b>3 b</b>	
<b>4</b>	1,775,763.

b Cash distribution test (attach the required schedule)

<b>4</b>	1,775,763.
<b>5</b>	

4 Qualifying distributions. Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4

<b>5</b>	
<b>6</b>	1,775,763.

5 Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income.

Enter 1% of Part I, line 27b See instructions

6 Adjusted qualifying distributions. Subtract line 5 from line 4

**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				801,639.
2 Undistributed income, if any, as of the end of 2018:				
a Enter amount for 2017 only			0.	
b Total for prior years 20 __, 20 __, 20 __		0.		
3 Excess distributions carryover, if any, to 2018				
a From 2013 1,347,031.				
b From 2014 1,359,212.				
c From 2015 416,332.				
d From 2016 971,145.				
e From 2017 988,746.				
f Total of lines 3a through e 5,082,466.				
4 Qualifying distributions for 2018 from Part XII, line 4 ► \$ 1,775,763.			0.	
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				801,639.
e Remaining amount distributed out of corpus 974,124.				
5 Excess distributions carryover applied to 2018 (If an amount appears in column (d), the same amount must be shown in column (a))	0.			0.
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5 6,056,590.				
b Prior years' undistributed income Subtract line 4b from line 2b 0.			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.			0.	
d Subtract line 6c from line 6b Taxable amount – see instructions 0.			0.	
e Undistributed income for 2017 Subtract line 4a from line 2a Taxable amount – see instructions 0.			0.	
f Undistributed income for 2018 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2019 0.				0.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 1912(g)(3) (Election may be required – see instructions) 0.				
8 Excess distributions carryover from 2013 not applied on line 5 or line 7 (see instructions) 1,347,031.				
9 Excess distributions carryover to 2019 Subtract lines 7 and 8 from line 6a 4,709,559.				
10 Analysis of line 9				
a Excess from 2014 1,359,212.				
b Excess from 2015 416,332.				
c Excess from 2016 971,145.				
d Excess from 2017 988,746.				
e Excess from 2018 974,124.				



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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
<i>a Paid during the year</i> SEE STATEMENT 12				
<b>Total</b>			► 3a	1,745,000.
<i>b Approved for future payment</i>				
<b>Total</b>			► 3b	

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated

Enter gross amounts unless otherwise indicated	Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See instructions.)
	(a) Business code	(b) Amount	(c) Exclu- sion code	(d) Amount	
1 Program service revenue					
a					
b					
c					
d					
e					
f					
g Fees and contracts from government agencies					
2 Membership dues and assessments					
3 Interest on savings and temporary cash investments			14	1,233.	
4 Dividends and interest from securities			14	431,868.	
5 Net rental income or (loss) from real estate					
a Debt-financed property					
b Not debt-financed property					
6 Net rental income or (loss) from personal property					
7 Other investment income			14	-95.	
8 Gain or (loss) from sales of assets other than inventory			18	509,546.	
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue					
a					
b					
c					
d					
e					
12 Subtotal Add columns (b), (d), and (e)				942,552.	
13 Total. Add line 12, columns (b), (d), and (e)	13				942,552.

(See worksheet in line 13 instructions to verify calculations )

**Part XVI-B Relationship of Activities to the Accomplishment of Exempt Purposes**

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

		Yes	No
1	Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?		
a	Transfers from the reporting foundation to a noncharitable exempt organization of:		
(1)	Cash	1 a (1)	X
(2)	Other assets	1 a (2)	X
b	Other transactions.		
(1)	Sales of assets to a noncharitable exempt organization	1 b (1)	X
(2)	Purchases of assets from a noncharitable exempt organization	1 b (2)	X
(3)	Rental of facilities, equipment, or other assets	1 b (3)	X
(4)	Reimbursement arrangements	1 b (4)	X
(5)	Loans or loan guarantees.	1 b (5)	X
(6)	Performance of services or membership or fundraising solicitations	1 b (6)	X
c	Sharing of facilities, equipment, mailing lists, other assets, or paid employees	1 c	X

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

<b>(a) Line no</b>	<b>(b) Amount involved</b>	<b>(c) Name of noncharitable exempt organization</b>	<b>(d) Description of transfers, transactions, and sharing arrangements</b>
N/A			

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

Yes  No

**b** If 'Yes,' complete the following schedule

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

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

**Sign  
Here**

► Patricia M. Grable | May 14, 2017 ► PRESIDENT  
Signature of officer or trustee Date Title

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

<b>Paid Preparer Use Only</b>	Print/Type preparer's name <b>MARCELINE H. OBERLY</b>	Preparer's signature <i>Marceline H Oberly</i>	Date <b>5/13/19</b>	Check <input checked="" type="checkbox"/> if self employed	PTIN <b>P00081778</b>
	Firm's name ► <b>MARCELINE H. OBERLY, CPA</b>	Firm's EIN ►			
	Firm's address ► <b>225 FOREST HILLS DR BRISTOL, TN 37620</b>	Phone no <b>423-573-4690</b>			

**BAA**

**Form 990-PF (2018)**

**Schedule B**  
(Form 990, 990-EZ,  
or 990-PF)

Department of the Treasury  
Internal Revenue Service

OMB No 1545-0047

**2018**

**Schedule of Contributors**

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

Name of the organization <b>THE PETER AND PATRICIA GRUBER FOUNDATION</b>	Employer identification number <b>65-1230485</b>
Organization type (check one)	
Form 990 or 990-EZ	<b>Section:</b> <input type="checkbox"/> 501(c)( ) (enter number) organization <input type="checkbox"/> 4947(a)(1) nonexempt charitable trust <b>not</b> treated as a private foundation <input type="checkbox"/> 527 political organization
Form 990-PF	<input checked="" type="checkbox"/> 501(c)(3) exempt private foundation <input type="checkbox"/> 4947(a)(1) nonexempt charitable trust treated as a private foundation <input type="checkbox"/> 501(c)(3) taxable private foundation

Check if your organization is covered by the **General Rule** or a **Special Rule**.

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

**General Rule**

For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, contributions totaling \$5,000 or more (in money or 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)

BAA For Paperwork Reduction Act Notice, see the instructions for Form 990, 990-EZ, or 990-PF.

**Schedule B (Form 990, 990-EZ, or 990-PF) (2018)**

Name of organization

THE PETER AND PATRICIA GRUBER FOUNDATION

Employer identification number

65-1230485

**Part I** **Contributors** (see instructions) Use duplicate copies of Part I if additional space is needed

(a) Number	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	PETER GRUBER CRUT #2	\$ 4,343,093	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input checked="" type="checkbox"/>
	6501 RED HOOK PLAZA, SUITE 201		(Complete Part II for noncash contributions.)
	ST. THOMAS, VI 00802		
(a) Number	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/>
			(Complete Part II for noncash contributions.)
(a) Number	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/>
			(Complete Part II for noncash contributions.)
(a) Number	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/>
			(Complete Part II for noncash contributions.)
(a) Number	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/>
			(Complete Part II for noncash contributions.)
(a) Number	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/>
			(Complete Part II for noncash contributions.)

---

**Name of organization**

**Employer identification number**

THE PETER AND PATRICIA GRUBER FOUNDATION

65-1230485

**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
1	JPM HIGH YIELD FD - CL I FUND 3580 1,050,152.71 JPM ACCESS BALANCED FD - L FUND 3231 3,111,974.33 LATINTECH CAPITAL, INC. 50,000.00	\$ 4,212,127.	12/31/18
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions.)	(d) Date received
-	-	\$	-
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions.)	(d) Date received
-	-	\$	-
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions.)	(d) Date received
-	-	\$	-
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions.)	(d) Date received
-	-	\$	-
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions.)	(d) Date received
-	-	\$	-
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions.)	(d) Date received
-	-	\$	-

**BAA**

**Schedule B (Form 990, 990-EZ, or 990-PF) (2018)**

Name of organization

THE PETER AND PATRICIA GRUBER FOUNDATION

Employer identification number

65-1230485

**Part III** *Exclusively religious, charitable, etc., contributions to organizations described in section 501(c)(7), (8), or (10) that total more than \$1,000 for the year from any one contributor.* Complete columns (a) through (e) and the following line entry. For organizations completing Part III, enter the total of *exclusively religious, charitable, etc., contributions of \$1,000 or less* for the year. (Enter this information once. See instructions.) ► \$        N/A  
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
N/A			
(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	

2018

## FEDERAL STATEMENTS

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THE PETER AND PATRICIA GRUBER FOUNDATION

65-1230485

**STATEMENT 1**  
**FORM 990-PF, PART I, LINE 11**  
**OTHER INCOME**

	(A) REVENUE PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME
OTHER INVESTMENT INCOME	\$ -95.	\$ -95.	\$ 0.
TOTAL	\$ <u>-95.</u>	\$ <u>-95.</u>	\$ <u>0.</u>

**STATEMENT 2**  
**FORM 990-PF, PART I, LINE 16A**  
**LEGAL FEES**

	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
RESEARCH & COMPLIANCE	\$ 1,795.	\$ 0.	\$ 0.	\$ 1,795.
TOTAL	\$ <u>1,795.</u>	\$ <u>0.</u>	\$ <u>0.</u>	\$ <u>1,795.</u>

**STATEMENT 3**  
**FORM 990-PF, PART I, LINE 16B**  
**ACCOUNTING FEES**

	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ACCOUNTING AND TAX PREPARATION	\$ 5,959.	\$ 2,980.	\$ 0.	\$ 2,979.
TOTAL	\$ <u>5,959.</u>	\$ <u>2,980.</u>	\$ <u>0.</u>	\$ <u>2,979.</u>

**STATEMENT 4**  
**FORM 990-PF, PART I, LINE 18**  
**TAXES**

	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
EXCISE TAX FOREIGN TAXES WITHHELD	\$ 18,725. 5,060.	\$ 5,060.	\$ 0.	\$ 0.
TOTAL	\$ <u>23,785.</u>	\$ <u>5,060.</u>	\$ <u>0.</u>	\$ <u>0.</u>

2018

## FEDERAL STATEMENTS

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THE PETER AND PATRICIA GRUBER FOUNDATION

65-1230485

**STATEMENT 5**  
**FORM 990-PF, PART I, LINE 19**  
**ALLOCATED DEPRECIATION**

DATE ACQUIRED	COST BASIS	PRIOR YR DEPR	METHOD	RATE	LIFE	CURRENT YR DEPR	NET INVEST INCOME	ADJUSTED NET INCOME
COMPUTERS 11/07/16	1,784	416	S/L		5	357	0	0

**STATEMENT 6**  
**FORM 990-PF, PART I, LINE 23**  
**OTHER EXPENSES**

	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ADMINISTRATIVE EXPENSES	\$ 13.			\$ 13.
ANNUAL & FRANCHISE REPORTS	334.			334.
BANK SERVICE CHARGES	180.			180.
DUES & SUBSCRIPTIONS	989.			989.
INSURANCE	4,492.			4,492.
IT	950.			950.
MISCELLANEOUS	80.			80.
POSTAGE, SHIPPING & DELIVERY	214.			214.
STAFF MEETINGS AND MEALS	2,540.			2,540.
TELEPHONE	3,499.			3,499.
<b>TOTAL</b>	<b>\$ 13,291.</b>	<b>\$ 0.</b>		<b>\$ 13,291.</b>

**STATEMENT 7**  
**FORM 990-PF, PART II, LINE 13**  
**INVESTMENTS - OTHER**

OTHER INVESTMENTS	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
SFC PARK KNOLLS INVESTORS, LP	COST	\$ 0.	\$ 0.
SFC PHEASANT RUN INVESTORS, LP	COST	\$ 0.	\$ 0.
JPM ACCESS BALANCED FD - INSTL	MKT VAL	9,629,603.	8,632,710.
LATINTECH CAPITAL INC	MKT VAL	66,054.	100,000.
JPM HIGH YIELD FD - SEL FUND 3580	MKT VAL	2,828,792.	2,742,476.
JPM EQ INC FD - SEL	MKT VAL	159,477.	190,915.
NEUBERGER BER MU/C OPP-INS	MKT VAL	250,069.	264,505.
ISHARES CORE S&P MIDCAP ETF	MKT VAL	107,643.	135,173.
DODGE & COX INTL STOCK FD	MKT VAL	145,309.	124,671.
MFS INTL VALUE-I	MKT VAL	79,329.	91,960.
BROWN ADV JAPAN ALPHA OPP-IS	MKT VAL	62,500.	35,633.
JPM GLBL RES ENH INDEX FD - SEL	MKT VAL	222,641.	228,442.
JPM STRAT INC OPP FD - SEL	MKT VAL	272,383.	262,663.
JPM FLOAT RATE INC FD - CL I	MKT VAL	537,150.	508,587.
SPDR S&P 500 ETF TRUST	MKT VAL	603,955.	801,493.
ISHARES MSCI EAFE INDEX FUND	MKT VAL	236,364.	241,997.
XTRACKERS MSCI EAFE HEDGED EQUITY	MKT VAL	74,802.	69,750.
<b>TOTAL</b>		<b>\$ 15,276,071.</b>	<b>\$ 14,430,975.</b>

2018

## FEDERAL STATEMENTS

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THE PETER AND PATRICIA GRUBER FOUNDATION

65-1230485

**STATEMENT 8**  
**FORM 990-PF, PART II, LINE 14**  
**LAND, BUILDINGS, AND EQUIPMENT**

CATEGORY	BASIS	ACCUM. DEPREC.	BOOK VALUE	FAIR MARKET VALUE
MACHINERY AND EQUIPMENT	\$ 1,784.	\$ 773.	\$ 1,011.	\$ 1,011.
TOTAL	<u>\$ 1,784.</u>	<u>\$ 773.</u>	<u>\$ 1,011.</u>	<u>\$ 1,011.</u>

**STATEMENT 9**  
**FORM 990-PF, PART II, LINE 15**  
**OTHER ASSETS**

	BOOK VALUE	FAIR MARKET VALUE
DIVIDENDS RECEIVABLE	\$ 76,252.	\$ 76,252.
PETER GRUBER CRUT #2 RECEIVABLE	4,343,093.	4,343,093.
TOTAL	<u>\$ 4,419,345.</u>	<u>\$ 4,419,345.</u>

**STATEMENT 10**  
**FORM 990-PF, PART II, LINE 22**  
**OTHER LIABILITIES**

EXCISE TAX PAYABLE	\$ 1,454.
TOTAL	<u>\$ 1,454.</u>

**STATEMENT 11**  
**FORM 990-PF, PART IV, LINE 1**  
**CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME**

ITEM	(A) DESCRIPTION	(B) HOW ACQUIRED	(C) DATE ACQUIRED	(D) DATE SOLD
1	35,531.238 JPM ACCESS BALANCED FD - L	PURCHASED	VARIOUS	5/30/2018
2	24,746.037 JPM ACCESS BALANCED FD - L	PURCHASED	3/05/2013	5/30/2018
3	200,000.000 BARC MARKET PLUS SPX 10/10/18	PURCHASED	4/07/2017	10/10/2018
4	200,000.000 HSBC MARKET PLUS SX5E 10/10/18	PURCHASED	4/07/2017	10/10/2018
5	200,000.000 HSBC MARKET PLUS SX7E 10/10/18	PURCHASED	4/07/2017	10/10/2018
6	SFC PARK KNOLLS INVSTRS, LP-EXCESS DISTR	DONATED	VARIOUS	12/31/2018
7	SFC PHEASANT RUN INVSTRS, LP-EXCESS DISTR	DONATED	VARIOUS	12/31/2018
8	CAPITAL GAIN DIVIDENDS			

ITEM	(E) GROSS SALES	(F) DEPREC. ALLOWED	(G) COST BASIS	(H) GAIN (LOSS)	(I) FMV 12/31/69	(J) ADJ. BAS. 12/31/69	(K) EXCESS (I) - (J)	(L) GAIN (LOSS)
1	589,463.	592,205.	-2,742.					\$ -2,742.
2	410,537.	409,547.	990.					990.
3	247,259.	200,000.	47,259.					47,259.
4	200,000.	200,000.	0.					0.
5	200,000.	200,000.	0.					0.
6	3,348.	0.	3,348.					3,348.
7	3,327.	0.	3,327.					3,327.

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**STATEMENT 11 (CONTINUED)**  
**FORM 990-PF, PART IV, LINE 1**  
**CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME**

ITEM	(E) GROSS SALES	(F) DEPREC. ALLOWED	(G) COST BASIS	(H) GAIN (LOSS)	(I) FMV 12/31/69	(J) ADJ. BAS. 12/31/69	(K) EXCESS (I) - (J)	(L) GAIN (LOSS)
8								\$ 457,364.
								<b>TOTAL</b> \$ 509,546.

**STATEMENT 12**  
**FORM 990-PF, PART XV, LINE 3A**  
**RECIPIENT PAID DURING THE YEAR**

NAME AND ADDRESS	DONEE RELATIONSHIP	FOUND- ATION STATUS	PURPOSE OF GRANT	AMOUNT
EQUAL JUSTICE INITIATIVE 122 COMMERCE STREET MONTGOMERY AL 36104	N/A	PC	TO SUPPORT LEGAL REPRESENTATION FOR PERSONS DENIED FAIR AND JUST TREATMENT	\$ 10,000.
AMERICAN COMMITTEE FOR THE WEIZMANN INST 633 3RD AVENUE NEW YORK NY 10017	N/A	PC	PROVIDING RESOURCES FOR CONTINUOUS DEVELOPMENT/PION EERING PROJECTS, AND PROMOTING ITS SCIENTISTS	1,000,000.
KENT SCHOOL CORPORATION 1 MACEDONIA RD KENT CT 06757	N/A	PC	PARTRIDGE SCHOLAR PROGRAM SPECIFICALLY FOR A FOREIGN STUDENT	25,000.
INTERNATIONAL WOMEN'S HEALTH COALITION 333 SEVENTH AVENUE, 6TH FLOOR NEW YORK NY 10001	N/A	PC	PIONEERING IDEAS TO INTERNATIONAL NEGOTIATIONS ON WOMEN'S RIGHTS AND HEALTH	5,000.
WORLD BICYCLE RELIEF 1000 W. FULTON MARKET, 4TH FLOOR CHICAGO IL 60607	N/A	PC	TO SUPPORT WORLD BICYCLE RELIEF WORK ON SUSTAINABLE TRANSPORTATION IN THE DEVELOPING WORLD	5,000.

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**STATEMENT 12 (CONTINUED)**  
**FORM 990-PF, PART XV, LINE 3A**  
**RECIPIENT PAID DURING THE YEAR**

NAME AND ADDRESS	DONEE RELATIONSHIP	FOUND- ATION STATUS	PURPOSE OF GRANT	AMOUNT
CLIMATE RIDE 111 N. HIGGINS AVENUE, SUITE 415 MISSOULA MT 59802	N/A	PC	TO SUPPORT ORGANIZATIONS THAT ENGAGE CITIZENS IN THE POSSIBILITY OF A GREEN ECONOMY AND TRANSPORTATION	\$ 2,500.
BUDDHIST DIGITAL RESOURCE CENTER 1430 MASSACHUSETTS AVE CAMBRIDGE MA 02138	N/A	PC	SUPPORT FOR PRESERVATION OF BUDDHIST CULTURE	300,000.
LET'S BREAKTHROUGH INC 1124 W RIVERSIDE AVE SUITE 200 SPOKANE WA 99201	N/A	PC	TO SUPPORT NIDA'A AL NISSA FOUNDATION FOR THEIR WORK WITH MUSLIM WOMEN	334,000.
EAST COAST GREENWAY ALLIANCE 5826 FAYETTEVILLE ROAD, SUITE 210 DURHAM NC 27713	N/A	PC	CONNECTING PEOPLE TO NATURE AND COMMUNITIES VIA A SAFE, ACCESSIBLE GREENWAY	10,000.
SECOND CHANCE RESCUE PO BOX 570701 WHitestone NY 11357	N/A	PC	RESCUE AND REHABILITATE INJURED OR ABANDONED ANIMALS	2,500.
UNIVERSITY OF THE VIRGIN ISLANDS 2 JOHN BREWERS BAY ST. THOMAS VI 00802	N/A	PC	ASTRONOMY DAY FOR BENEFIT OF ETELMAN OBSERVATORY OUTREACH AND EDUCATION FUND	1,000.
AMERICAN COMMITTEE FOR THE WEIZMANN INSTITUTE 633 3RD AVENUE NEW YORK NY 10017	N/A	PC	MARSHALL S LEVIN PLEDGE FOR WEIZMANN MULTI DISCIPLINARY SCIENCE RESEARCH	50,000.

TOTAL \$ 1,745,000.