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Form **990-PF**

Return of Private Foundation

OMB No 1545-0052

2018

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

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Open to Public Inspection

For calendar year 2018 or tax year beginning 12/01, 2018, and ending 11/30, 2019

Name of foundation: **JAMES S. PETERSON FOUNDATION**

Number and street (or P O box number if mail is not delivered to street address): **399 PARK AVENUE, 14TH FLOOR**

Room/suite: _____

City or town, state or province, country, and ZIP or foreign postal code: **NEW YORK, NY 10022**

A Employer identification number: **26-1607047**

B Telephone number (see instructions): **(212) 542-9243**

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.

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, col (c), line 16) ▶ \$ **9,283,465.**

J Accounting method: Cash Accrual Other (specify) _____
(Part I, column (d) must be on cash basis)

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)					
2 Check <input checked="" type="checkbox"/> if the foundation is not required to attach Sch. B.					
3 Interest on savings and temporary cash investments		84,782.	84,782.		
4 Dividends and interest from securities		99,100.	99,100.		
5a Gross rents					
b Net rental income or (loss)					
6a Net gain or (loss) from sale of assets not on line 10					
b Gross sales price for all assets on line 6a					
7 Capital gain net income (from Part IV, line 2)			0.		
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)					
12 Total. Add lines 1 through 11		183,882.	183,882.		
13 Compensation of officers, directors, trustees, etc.		0.			
14 Other employee salaries and wages					
15 Pension plans, employee benefits					
16a Legal fees (attach schedule)					
b Accounting fees (attach schedule) ATCH. 1		9,117.			9,117.
c Other professional fees (attach schedule) [2]		175.			
17 Interest					
18 Taxes (attach schedule) (see instructions)					
19 Depreciation (attach schedule) and depletion					
20 Occupancy					
21 Travel, conferences, and meetings					
22 Printing and publications					
23 Other expenses (attach schedule) ATCH. 3		789.			789.
24 Total operating and administrative expenses. Add lines 13 through 23.		10,081.	175.		9,906.
25 Contributions, gifts, grants paid		453,000.			453,000.
26 Total expenses and disbursements. Add lines 24 and 25		463,081.	175.	0.	462,906.
27 Subtract line 26 from line 12					
a Excess of revenue over expenses and disbursements		-279,199.			
b Net investment income (if negative, enter -0-)			183,707.		
c Adjusted net income (if negative, enter -0-)					

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Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)	Beginning of year	End of year	
			(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash - non-interest-bearing			
	2	Savings and temporary cash investments	4,413,467.	4,056,856.	4,056,856.
	3	Accounts receivable ▶			
		Less allowance for doubtful accounts ▶			
	4	Pledges receivable ▶			
		Less allowance for doubtful accounts ▶			
	5	Grants receivable			
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
	7	Other notes and loans receivable (attach schedule) ▶			
		Less allowance for doubtful accounts ▶			
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges			
	10a	Investments - U S and state government obligations (attach schedule)			
	b	Investments - corporate stock (attach schedule) ATCH 4	436,229.	436,229.	1,887,234.
	c	Investments - corporate bonds (attach schedule) ATCH 5	116,250.	116,250.	18,750.
	11	Investments - land, buildings, and equipment basis ▶ Less accumulated depreciation (attach schedule) ▶			
12	Investments - mortgage loans				
13	Investments - other (attach schedule) ATCH 6	3,232,947.	3,310,359.	3,320,625.	
14	Land, buildings, and equipment basis ▶ Less accumulated depreciation (attach schedule) ▶				
15	Other assets (describe ▶)				
16	Total assets (to be completed by all filers - see the instructions Also, see page 1, item I)	8,198,893.	7,919,694.	9,283,465.	
Liabilities	17	Accounts payable and accrued expenses			
	18	Grants payable			
	19	Deferred revenue			
	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable (attach schedule)			
	22	Other liabilities (describe ▶)			
23	Total liabilities (add lines 17 through 22)	0.	0.		
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here <input type="checkbox"/>				
	and complete lines 24 through 26, and lines 30 and 31				
	24	Unrestricted			
	25	Temporarily restricted			
	26	Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ <input checked="" type="checkbox"/>				
	and complete lines 27 through 31.				
	27	Capital stock, trust principal, or current funds	8,198,893.	7,919,694.	
28	Paid-in or capital surplus, or land, bldg, and equipment fund				
29	Retained earnings, accumulated income, endowment, or other funds				
30	Total net assets or fund balances (see instructions)	8,198,893.	7,919,694.		
31	Total liabilities and net assets/fund balances (see instructions)	8,198,893.	7,919,694.		

Part III Analysis of Changes in Net Assets or Fund Balances			
1	Total net assets or fund balances at beginning of year - Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return)	1	8,198,893.
2	Enter amount from Part I, line 27a	2	-279,199.
3	Other increases not included in line 2 (itemize) ▶	3	
4	Add lines 1, 2, and 3	4	7,919,694.
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	7,919,694.

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)
1 a						
b						
c						
d						
e						
(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) ((e) plus (f) minus (g))			
a						
b						
c						
d						
e						
Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(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						
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) See instructions If (loss), enter -0- in Part I, line 8			3			

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

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

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2017	411,853.	8,962,277.	0.045954
2016	483,483.	9,135,968.	0.052921
2015	482,120.	9,122,549.	0.052849
2014	408,639.	9,631,401.	0.042428
2013	251,636.	9,298,242.	0.027063
2 Total of line 1, column (d)			2 0.221215
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 0.044243
4 Enter the net value of noncharitable-use assets for 2018 from Part X, line 5			4 8,840,978.
5 Multiply line 4 by line 3.			5 391,151.
6 Enter 1% of net investment income (1% of Part I, line 27b).			6 1,837.
7 Add lines 5 and 6.			7 392,988.
8 Enter qualifying distributions from Part XII, line 4 If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate See the Part VI instructions			8 462,906.

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

Table with 11 rows for excise tax calculations. Includes fields for exempt operating foundations, domestic foundations, tax under section 511, subtitle A tax, and credits/payments. Total tax due is 3,184.

Part VII-A Statements Regarding Activities

Table with 10 rows for activity statements. Includes questions about political campaigns, unrelated business income, and substantial contributors. Includes 'Yes' and 'No' columns.

Part VII-A Statements Regarding Activities (continued)

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 Yes No 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 Yes No X
13 Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address N/A 13 X
14 The books are in care of THE FOUNDATION Telephone no 212-542-9243 Located at 399 PARK AVENUE, 14TH FLOOR NEW YORK, NY ZIP+4 10022
15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - check here 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? 16 Yes No 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.
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? Yes X No
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? Yes X No
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? X Yes No
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? Yes X 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)? Yes X 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). Yes X 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 1b X
Organizations relying on a current notice regarding disaster assistance, check here
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? Yes X 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) 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
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)

5a During the year, did the foundation pay or incur any amount to... (1) Carry on propaganda... (2) Influence the outcome of any specific public election... (3) Provide a grant to an individual for travel... (4) Provide a grant to an organization other than a charitable... (5) Provide for any purpose other than religious... b If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify... c If the answer is "Yes" to question 5a(4), does the foundation claim exemption... 6a Did the foundation, during the year, receive any funds... b Did the foundation, during the year, pay premiums... 7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?... b If "Yes," did the foundation receive any proceeds... 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?

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.

Table with 5 columns: (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. Row 1: ATCH 7, 0, 0, 0.

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

Table with 5 columns: (a) Name and address of each employee paid more than \$50,000, (b) Title, and average hours per week devoted to position, (c) Compensation, (d) Contributions to employee benefit plans and deferred compensation, (e) Expense account, other allowances. Row 1: NONE.

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

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

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

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

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

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 NONE	
2	
All other program-related investments See instructions	
3 NONE	

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	4,733,497.
b	Average of monthly cash balances	1b	4,242,115.
c	Fair market value of all other assets (see instructions).	1c	
d	Total (add lines 1a, b, and c)	1d	8,975,612.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	
2	Acquisition indebtedness applicable to line 1 assets	2	
3	Subtract line 2 from line 1d.	3	8,975,612.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	134,634.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	8,840,978.
6	Minimum investment return. Enter 5% of line 5	6	442,049.

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	442,049.
2a	Tax on investment income for 2018 from Part VI, line 5	2a	1,837.
b	Income tax for 2018 (This does not include the tax from Part VI)	2b	
c	Add lines 2a and 2b.	2c	1,837.
3	Distributable amount before adjustments. Subtract line 2c from line 1.	3	440,212.
4	Recoveries of amounts treated as qualifying distributions.	4	
5	Add lines 3 and 4	5	440,212.
6	Deduction from distributable amount (see instructions).	6	
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1.	7	440,212.

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	462,906.
b	Program-related investments - total from Part IX-B.	1b	
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes.	2	
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	462,906.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b. See instructions.	5	1,837.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	461,069.

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				440,212.
2 Undistributed income, if any, as of the end of 2018				
a Enter amount for 2017 only			435,890.	
b Total for prior years 20_16_, 20_15_, 20_14_				
3 Excess distributions carryover, if any, to 2018				
a From 2013				
b From 2014				
c From 2015				
d From 2016				
e From 2017				
f Total of lines 3a through e				
1 Qualifying distributions for 2018 from Part XII, line 4 ▶ \$ 462,906.				
a Applied to 2017, but not more than line 2a			435,890.	
b Applied to undistributed income of prior years (Election required - see instructions)				
c Treated as distributions out of corpus (Election required - see instructions)				
d Applied to 2018 distributable amount				27,016.
e Remaining amount distributed out of corpus				
5 Excess distributions carryover applied to 2018 (If an amount appears in column (d), the same amount must be shown in column (a))				
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5				
b Prior years' undistributed income Subtract line 4b from line 2b.				
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed				
d Subtract line 6c from line 6b Taxable amount - see instructions				
e Undistributed income for 2017 Subtract line 4a from line 2a Taxable amount - see instructions				
f Undistributed income for 2018 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2019.				413,196.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions)				
8 Excess distributions carryover from 2013 not applied on line 5 or line 7 (see instructions)				
9 Excess distributions carryover to 2019. Subtract lines 7 and 8 from line 6a	0.			
10 Analysis of line 9				
a Excess from 2014				
b Excess from 2015				
c Excess from 2016				
d Excess from 2017				
e Excess from 2018				

Part XIV Private Operating Foundations (see instructions and Part VII-A, question 9) NOT APPLICABLE

1a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2018, enter the date of the ruling

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

Table with 5 columns: (a) 2018, (b) 2017, (c) 2016, (d) 2015, (e) Total. Rows include 2a (Adjusted net income), 2b (85% of line 2a), 2c (Qualifying distributions from Part XII line 4), 2d (Amounts included in line 2c not used directly for active conduct of exempt activities), 2e (Qualifying distributions made directly for active conduct of exempt activities), 3 (Alternative tests: a Assets, b Endowment, c Support).

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

1 Information Regarding Foundation Managers:

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

N/A

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

NONE

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

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

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

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

c Any submission deadlines

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

Part XV Supplementary Information *(continued)*

3 Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient 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
a Paid during the year SCHEDULE ATTACHED - EXHIBIT 1			GENERAL	453,000.
Total ▶ 3a				453,000.
b Approved for future payment				
Total ▶ 3b				NONE

ATTACHMENT 1

FORM 990PF, PART I - ACCOUNTING FEES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>	<u>ADJUSTED NET INCOME</u>	<u>CHARITABLE PURPOSES</u>
KPMG LLP	9,117.			9,117.
TOTALS	<u>9,117.</u>			<u>9,117.</u>

ATTACHMENT 2

FORM 990PF, PART I - OTHER PROFESSIONAL FEES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>
ANNUAL UBS ACCOUNT FEE	175.	175.
TOTALS	<u>175.</u>	<u>175.</u>

ATTACHMENT 3

FORM 990PF, PART I - OTHER EXPENSES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	CHARITABLE PURPOSES
NYS DEFC OF LAW - REGISTRATION	250.	250.
DE SECRETARY OF STATE FILING	25.	25.
CT CORPORATION	489.	489.
UBS WIRE FEE	25.	25.
TOTALS	<u>789.</u>	<u>789.</u>

ATTACHMENT 4

FORM 990PF, PART II - CORPORATE STOCK

<u>DESCRIPTION</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
7,000 SHS APPLE INC	427,177.	1,870,750.
299 SHS WESTROCK CO	8,085.	12,059.
49 SHS INGEVITY CORP	967.	4,425.
TOTALS	<u>436,229.</u>	<u>1,887,234.</u>

ATTACHMENT 5

FORM 990PF, PART II - CORPORATE BONDS

<u>DESCRIPTION</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
250,000 PETROLEOS DE VENEZUELA	116,250.	18,750.
TOTALS	<u>116,250.</u>	<u>18,750.</u>

ATTACHMENT 6

FORM 990PF, PART II - OTHER INVESTMENTS

<u>DESCRIPTION</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
304,645 SHS JPM ST DURATION BD	3,310,359.	3,320,625.
TOTALS	<u>3,310,359.</u>	<u>3,320,625.</u>

FORM 990-PF, PART VIII LIST OF OFFICERS, DIRECTORS, AND TRUSTEES

ATTACHMENT 7

<u>NAME AND ADDRESS</u>	<u>TITLE AND AVERAGE HOURS PER WEEK DEVOTED TO POSITION</u>	<u>COMPENSATION</u>	<u>CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS</u>	<u>EXPENSE ACCT AND OTHER ALLOWANCES</u>
JAMES S PETERSON 399 PARK AVENUE, 14TH FLOOR NEW YORK, NY 10022	DIRECTOR, CHAIRMAN, PRESIDENT 1.00	0.	0.	0.
MICHAEL A PETERSON 399 PARK AVENUE, 14TH FLOOR NEW YORK, NY 10022	SECRETARY & TREASURER .10	0.	0.	0.
MICHAEL SHANKMAN 399 PARK AVENUE, 14TH FLOOR NEW YORK, NY 10022	TREASURER 2.00	0.	0.	0.
GRAND TOTALS		<u>0.</u>	<u>0.</u>	<u>0.</u>

JAMES S. PETERSON FOUNDATION
 EIN 26-1607047
 NOVEMBER 30, 2019

FORM 990FE, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

<u>Recipient Name and Address</u>	<u>Foundation Status of Recipient</u>	<u>Purpose of Grant or Contribution</u>	<u>Amount</u>
American Cancer Society 132 West 32 nd Street New York, NY 10001	PC - 509(a)(1)	To support Hope Lodge NYC	\$1,000
Association to Benefit Children 419 East 86 th Street New York, NY 10028	PC - 509(a)(1)	To support the charity's core activities	\$2,000
Ballet Vero Beach 2135 Windward Way #209 Vero Beach, FL 32963	PC - 509(a)(1)	To support the charity's core activities	\$1,000
Breakthrough New York 123 William Street, 4 th Floor New York, NY 10038	PC - 509(a)(1)	To support the charity's core activities	\$5,000
Bucknell University 301 Market Street, Suite 2 Lewisburg, PA 17837	PC - 509(a)(1)	To support the charity's core activities	\$1,000
Cat's Meow Rescue Adoption Center 126 43 rd Avenue Vero Beach, FL 32968	PC - 509(a)(1)	To support the charity's core activities	\$1,000
Cedars of Marin P.O. Box 947 Ross, CA 94957	PC - 509(a)(1)	To support the charity's Annual Fund	\$25,000
Cedars of Marin P.O. Box 947 Ross, CA 94957	PC - 509(a)(1)	To the charity's Endowment Fund	\$25,000
Cornelia Connelly Center 220 East Fourth Street New York, NY 10009	PC - 509(a)(1)	To support the charity's core activities	\$5,000
Doctors Without Borders USA 40 Rector Street New York, NY 10006	PC - 509(a)(1)	To support the charity's core activities	\$15,000

<u>Recipient Name and Address</u>	<u>Foundation Status of Recipient</u>	<u>Purpose of Grant or Contribution</u>	<u>Amount</u>
The Doe Fund 232 East 84th Street New York, NY 10028	PC - 509(a)(1)	To support the charity's core activities	\$25,000
East End for Opportunity, Inc. P.O. Box 7057 Amagansett, NY 11930	PC - 509(a)(1)	To support the charity's core activities	\$2,000
East Hampton Healthcare Foundation 200 Pantigo Place East Hampton, NY 11937	PC - 509(a)(1)	To support the charity's core activities	\$3,000
Equal Justice Initiative 122 Commerce Street Montgomery, AL 36104	PC - 509(a)(1)	To support the charity's core activities	\$45,000
Fair Democracy Engagement Fund PO Box 15293 Washington, DC 20003	PC - 509(a)(1)	To support the charity's core activities	\$25,000
Faith Crusade Ministries 17 Mildred Street Montgomery, Alabama 36104	PC - 509(a)(1)	To support the charity's core activities	\$500
Franklin Collins Caddie Scholarship Trust P.O. Box 5110 East Hampton, NY 11937	PC - 509(a)(1)	To support the charity's core activities	\$1,500
Give2Asia 600 California Street 11th Floor San Francisco, CA 94108	PC - 509(a)(1)	To support the charity's core activities	\$1,000
The Green Explorer 60 Northwest Landing Road East Hampton, NY 11937	PC - 509(a)(1)	To support the charity's core activities	\$2,000
Guild Hall of East Hampton 158 Main Street East Hampton, NY 11937	PC - 509(a)(1)	To support the charity's core activities	\$25,000

<u>Recipient Name and Address</u>	<u>Foundation Status of Recipient</u>	<u>Purpose of Grant or Contribution</u>	<u>Amount</u>
Harlem Academy 1330 Fifth Avenue New York, NY 10026	PC - 509(a)(1)	To support the charity's core activities	\$5,000
Homeless Children's Foundation 6001 Hwy ALA PMB 8071	PC - 509(a)(1)	To support the charity's core activities	\$1,000
Indian River Shores, PL 32963 1000 36th Street Vero Beach, FL 32960	PC - 509(a)(1)	To support the charity's core activities	\$2,500
The Innocence Project 40 Worth Street, Suite 701 New York, NY 10013	PC - 509(a)(1)	To support the charity's core activities	\$15,000
Kipp Foundation 135 Main Street, Suite 1700 San Francisco, CA 94105	PC - 509(a)(1)	To support the charity's core activities	\$25,000
The Learning Alliance P.O. Box 643446 Vero Beach, FL 32964	PC - 509(a)(1)	To support the charity's core activities	\$3,000
Mardy Fish Children's Foundation P.O. Box 648158 Vero Beach, FL 32964	PC - 509(a)(1)	To support the charity's core activities	\$1,000
The Nature Conservancy 4245 N. Fairfax Drive, Suite 100 Arlington, VA 22203 USA	PC - 509(a)(1)	To support the charity's core activities	\$10,000
NEST 501 Fifth Avenue, Suite 1608 New York, NY 10017	PC - 509(a)(1)	To support the charity's core activities	\$2,500
Project Rebirth, Inc. 1 Pace Plaza, Room Y23B New York, NY 10038	PC - 509(a)(1)	To support the charity's core activities	\$5,000
Robin Hood Foundation 826 Broadway, Fl 9 New York, NY 10003	PC - 509(a)(1)	To support the charity's core activities	\$50,000

<u>Recipient Name and Address</u>	<u>Foundation Status of Recipient</u>	<u>Purpose of Grant or Contribution</u>	<u>Amount</u>
Sanctuary for Families Wall Street Station P.O. Box 1406 New York, NY 10268	PC - 509(a)(1)	To support the charity's core activities	\$10,000
Success Academy Charter Schools 95 Pine Street, 6 th Floor New York, NY 10005	PC - 509(a)(1)	To support the charity's core activities	\$75,000
Town School 540 East 76th Street New York, NY 10021	PC - 509(a)(1)	To support the charity's core activities	\$1,000
Uncommon Schools 826 Broadway New York, NY 10003	PC - 509(a)(1)	To support the charity's core activities	\$35,000
The Wellness Foundation P.O. Box 1141 Sag Harbor, NY 11963	PC - 509(a)(1)	To support the charity's core activities	\$1,000
Total			<u>\$453,000</u>