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

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

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

OMB No 1545-0047

2019

Open to Public Inspection

For calendar year 2019 or tax year beginning

, and ending

Name of foundation
THE MAURICE SENDAK FOUNDATION, INC.

Number and street (or P.O. box number if mail is not delivered to street address) Room/suite
200 CHESTNUT HILL RD

City or town, state or province, country, and ZIP or foreign postal code
RIDGEFIELD, CT 06877

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) **\$ 55,652,832.** J Accounting method: ☒ Cash ☐ Accrual
☐ Other (specify) _____ (Part I, column (d), must be on cash basis.)

A Employer identification number
13-3807627

B Telephone number
203 438 9224

C If exemption application is pending, check here ☐

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).)		(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				N/A	
2 Check <input checked="" type="checkbox"/> if the foundation is not required to attach Sch. B					
3 Interest on savings and temporary cash investments					
4 Dividends and interest from securities		375,707.	375,707.		STATEMENT 1
5a Gross rents					
b Net rental income or (loss)					
6a Net gain or (loss) from sale of assets not on line 10		-105,412.			
b Gross sales price for all assets on line 6a 5,425,821.					
7 Capital gain net income (from Part IV, line 2)			0.		Received US Bank
8 Net short-term capital gain					13
9 Income modifications					NOV 23 2020
10a Gross sales less returns and allowances					
b Less Cost of goods sold					
c Gross profit or (loss)					
11 Other income		961,170.	961,170.		STATEMENT 2
12 Total. Add lines 1 through 11		1,231,465.	1,336,877.		
13 Compensation of officers, directors, trustees, etc.		198,552.	0.		99,276.
14 Other employee salaries and wages		116,617.	0.		58,309.
15 Pension plans, employee benefits		87,621.	0.		43,810.
16a Legal fees STMT 3		214,574.	107,286.		107,288.
b Accounting fees STMT 4		72,806.	36,403.		36,403.
c Other professional fees STMT 5		188,059.	188,059.		0.
17 Interest					
18 Taxes STMT 6		30,000.	0.		0.
19 Depreciation and depletion		116,012.	0.		
20 Occupancy		159,897.	0.		159,897.
21 Travel, conferences, and meetings		7,979.	0.		7,979.
22 Printing and publications		12,780.	0.		12,780.
23 Other expenses STMT 7		385,842.	15,774.		370,068.
24 Total operating and administrative expenses. Add lines 13 through 23		1,590,739.	347,522.		895,810.
25 Contributions, gifts, grants paid		328,709.			328,709.
26 Total expenses and disbursements. Add lines 24 and 25		1,919,448.	347,522.		1,224,519.
27 Subtract line 26 from line 12:					
a Excess of revenue over expenses and disbursements		-687,983.			
b Net investment income (if negative, enter -0-)			989,355.		
c Adjusted net income (if negative, enter -0-)				N/A	

Part II Balance Sheets		Beginning of year	End of year	
			(a) Book Value	(b) Book Value
Assets	1 Cash - non-interest-bearing	307,882.	109,102.	109,102.
	2 Savings and temporary cash investments			
	3 Accounts receivable ▶			
	Less: allowance for doubtful accounts ▶			
	4 Pledges receivable ▶			
	Less: allowance for doubtful accounts ▶			
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons			
	7 Other notes and loans receivable ▶			
	Less: allowance for doubtful accounts ▶			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10a Investments - U.S. and state government obligations			
	b Investments - corporate stock STMT 9	12,065,854.	11,651,253.	12,818,905.
	c Investments - corporate bonds			
	11 Investments - land, buildings, and equipment basis ▶			
Liabilities	Less: accumulated depreciation ▶			
	12 Investments - mortgage loans			
	13 Investments - other			
	14 Land, buildings, and equipment basis ▶ 2,960,996.			
	Less: accumulated depreciation STMT 8 ▶ 379,868.	2,678,934.	2,581,128.	2,581,128.
	15 Other assets (describe ▶ STATEMENT 10)	40,143,697.	40,143,697.	40,143,697.
	16 Total assets (to be completed by all filers - see the instructions. Also, see page 1, item I)	55,196,367.	54,485,180.	55,652,832.
	17 Accounts payable and accrued expenses			
	18 Grants payable			
	19 Deferred revenue			
Net Assets or Fund Balances	20 Loans from officers, directors, trustees, and other disqualified persons			
	21 Mortgages and other notes payable			
	22 Other liabilities (describe ▶)	25,672.	2,468.	
	23 Total liabilities (add lines 17 through 22)	25,672.	2,468.	
Net Assets or Fund Balances	Foundations that follow FASB ASC 958, check here ▶ <input checked="" type="checkbox"/> and complete lines 24, 25, 29, and 30.			
	24 Net assets without donor restrictions	55,170,695.	54,482,712.	
	25 Net assets with donor restrictions			
	Foundations that do not follow FASB ASC 958, check here ▶ <input type="checkbox"/> and complete lines 26 through 30.			
	26 Capital stock, trust principal, or current funds			
	27 Paid-in or capital surplus, or land, bldg., and equipment fund			
	28 Retained earnings, accumulated income, endowment, or other funds			
	29 Total net assets or fund balances	55,170,695.	54,482,712.	
	30 Total liabilities and net assets/fund balances	55,196,367.	54,485,180.	

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 29 (must agree with end-of-year figure reported on prior year's return)	1	55,170,695.
2 Enter amount from Part I, line 27a	2	-687,983.
3 Other increases not included in line 2 (itemize) ▶	3	0.
4 Add lines 1, 2, and 3	4	54,482,712.
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 29	6	54,482,712.

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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.)
1a PUBLICLY TRADED SECURITIES		P		
b PUBLICLY TRADED SECURITIES		P		
c PUBLICLY TRADED SECURITIES		D		
d PUBLICLY TRADED SECURITIES		P		
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 2,627,492.		2,718,632.	-91,140.
b 2,208,913.		2,268,836.	-59,923.
c 334,135.		292,730.	41,405.
d 255,281.		251,035.	4,246.
e			

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69.			(i) 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			-91,140.
b			-59,923.
c			41,405.
d			4,246.
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	-105,412.
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))
2018	1,798,958.	12,977,680.	.138619
2017	1,857,805.	13,434,553.	.138286
2016	1,297,891.	11,864,116.	.109396
2015	972,797.	12,405,714.	.078415
2014	2,037,158.	9,282,175.	.219470

2 Total of line 1, column (d)	2	.684186
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	.136837
4 Enter the net value of noncharitable-use assets for 2019 from Part X, line 5	4	12,848,047.
5 Multiply line 4 by line 3	5	1,758,088.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	9,894.
7 Add lines 5 and 6	7	1,767,982.
8 Enter qualifying distributions from Part XII, line 4	8	1,224,519.

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	19,787.
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	19,787.
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	19,787.
6 Credits/Payments:			
a 2019 estimated tax payments and 2018 overpayment credited to 2019	6a	42,008.	
b Exempt foreign organizations - tax withheld at source	6b	0.	
c Tax paid with application for extension of time to file (Form 8868)	6c	0.	
d Backup withholding erroneously withheld	6d	0.	
7 Total credits and payments. Add lines 6a through 6d	7	42,008.	
8 Enter any penalty for underpayment of estimated tax. Check here <input checked="" type="checkbox"/> if Form 2220 is attached	8	0.	
9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9		
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	22,221.	
11 Enter the amount of line 10 to be: Credited to 2020 estimated tax	11	0.	

Part VII-A Statements Regarding Activities

	Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		X
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes? See the instructions for the definition. If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.		X
c Did the foundation file Form 1120-POL for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. \$ 0. (2) On foundation managers. \$ 0.		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. \$ 0.		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? If "Yes," attach a detailed description of the activities.		X
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes		X
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		X
b If "Yes," has it filed a tax return on Form 990-T for this year?		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by General Instruction T		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	X	
7 Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col. (c), and Part XV	X	
8a Enter the states to which the foundation reports or with which it is registered. See instructions. CT, 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 General Instruction G? If "No," attach explanation	X	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2019 or the tax year beginning in 2019? See the instructions for Part XIV. If "Yes," complete Part XIV		X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses		X

N/A

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 SENDAKFOUNDATION.ORG	X	
14 The books are in care of THE MAURICE SENDAK FOUNDATION Telephone no. 203-438-9224 Located at 200 CHESTNUT HILL RD, RIDGEFIELD, CT ZIP+4 06877		
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		
16 At any time during calendar year 2019, 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		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 2019?		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 2019, did the foundation have any undistributed income (Part XIII, lines 6d and 6e) for tax year(s) beginning before 2019? If "Yes," list the years	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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.)	N/A	
c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here.		
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
b If "Yes," did it have excess business holdings in 2019 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 Form 4720, Schedule C, to determine if the foundation had excess business holdings in 2019.)	N/A	
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?		X
b Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2019?		X

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

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

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

N/A

5b

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

☐

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

N/A

☐ Yes ☐ No

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

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

☐ Yes ☒ No

6b

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

X

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

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

☐ Yes ☒ No

7b

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

N/A

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

☐ Yes ☒ No**Part VIII** Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors

1 List all officers, directors, trustees, and foundation managers and their compensation.

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
SEE STATEMENT 12		198,552.	63,887.	0.

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

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

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

0

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Part 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."

(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
LOEB & LOEB LLP - 10100 SANTA MONICA BLVD, SUITE 22000, LOS ANGELES, CA 90067	LEGAL	121,483.
LOST MARBLES MEDIA LLC 2660 BROADWAY, #39, NEW YORK, NY 10025	CONSULTING	112,401.
SIMPSON THACHER AND BARTLETT 425 LEXINGTON AVENUE, NEW YORK, NY 10017	LEGAL	92,573.
STINEHOUR EDITIONS 1492 RIVER ROAD, SOUTH LUNENBURG, VT 05906	DESIGN SERVICES	84,165.
JG CONSTRUCTION & LANDSCAPING LLC 35 HOMESTEAD AVE, DANBURY, CT 06810	GROUNDS MAINTENANCE	51,184.
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 SEE STATEMENT 13	895,811.
2	
3	
4	

Part IX-B Summary of Program-Related Investments

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	
All other program-related investments. See instructions.	
3	
Total. Add lines 1 through 3	0.

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
a	Average monthly fair market value of securities	1a	12,551,371.
b	Average of monthly cash balances	1b	165,123.
c	Fair market value of all other assets	1c	327,209.
d	Total (add lines 1a, b, and c)	1d	13,043,703.
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	13,043,703.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	195,656.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	12,848,047.
6	Minimum investment return. Enter 5% of line 5	6	642,402.

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	642,402.
2a	Tax on investment income for 2019 from Part VI, line 5	2a	19,787.
b	Income tax for 2019. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	19,787.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	622,615.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	622,615.
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	622,615.

Part XII Qualifying Distributions (see instructions)

1	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes:		
a	Expenses, contributions, gifts, etc. - total from Part I, column (d), line 26	1a	1,224,519.
b	Program-related investments - total from Part IX-B	1b	0.
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8; and Part XIII, line 4	4	1,224,519.
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	1,224,519.

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 2018	(c) 2018	(d) 2019
1 Distributable amount for 2019 from Part XI, line 7				622,615.
2 Undistributed income, if any, as of the end of 2019				
a Enter amount for 2018 only			0.	
b Total for prior years:		0.		
3 Excess distributions carryover, if any, to 2019:				
a From 2014	1,609,373.			
b From 2015	369,239.			
c From 2016	744,257.			
d From 2017	1,198,046.			
e From 2018	1,191,948.			
f Total of lines 3a through e	5,112,863.			
4 Qualifying distributions for 2019 from Part XII, line 4: ▶ \$ 1,224,519.				
a Applied to 2018, 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 2019 distributable amount				622,615.
e Remaining amount distributed out of corpus	601,904.			
5 Excess distributions carryover applied to 2019 (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	5,714,767.			
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 2018. Subtract line 4a from line 2a. Taxable amount - see instr.			0.	
f Undistributed income for 2019. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2020				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 2014 not applied on line 5 or line 7	1,609,373.			
9 Excess distributions carryover to 2020. Subtract lines 7 and 8 from line 6a	4,105,394.			
10 Analysis of line 9:				
a Excess from 2015	369,239.			
b Excess from 2016	744,257.			
c Excess from 2017	1,198,046.			
d Excess from 2018	1,191,948.			
e Excess from 2019	601,904.			

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				
THE GOOD DOG FOUNDATION 500 7TH AVE 8TH FLOOR NEW YORK, NY 10018		PC	TO PROMOTE RECOVERY FROM TRAUMA AND STRESS WITH THERAPY DOGS	75,000.
UNIVERSITY OF CONNECTICUT 2390 ALUMNI DR STORRS, CT 06269		PC	TO PROMOTE EDUCATION AND RESEARCH IN THE UNIVERSITY OF CONNECTICUT	9,000.
UNIVERSITY OF CONNECTICUT 2390 ALUMNI DR STORRS, CT 06269		PC	TO PROMOTE EDUCATION AND RESEARCH IN THE UNIVERSITY OF CONNECTICUT	144,609.
YADDO 20 W 44TH ST #408 NEW YORK, NY 10036		PC	TO PROMOTE THE WORKS OF OTHER ARTISTS	11,000.
THE JUILLIARD SCHOOL SCHOLARSHIP 60 LINCOLN CENTER PLAZA NEW YORK, NY 10023		PC	TO PROMOTE THE ARTS AND DEVELOP THE CAREER OF FUTURE ARTISTS AND PERFORMERS	3,000.
Total	SEE CONTINUATION SHEET(S)			3a 328,709.
b Approved for future payment				
NONE				
Total				3b 0.

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

- | | | | |
|----------|--|--------------|------------|
| 1 | Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c)(3) (other than section 501(c)(3) organizations) or in section 527, relating to political organizations? | | Yes |
| a | Transfers from the reporting foundation to a noncharitable exempt organization of: | | |
| | (1) Cash | 1a(1) | |
| | (2) Other assets | 1a(2) | |
| b | Other transactions: | | |
| | (1) Sales of assets to a noncharitable exempt organization | 1b(1) | |
| | (2) Purchases of assets from a noncharitable exempt organization | 1b(2) | |
| | (3) Rental of facilities, equipment, or other assets | 1b(3) | |
| | (4) Reimbursement arrangements | 1b(4) | |
| | (5) Loans or loan guarantees | 1b(5) | |
| | (6) Performance of services or membership or fundraising solicitations | 1b(6) | |
| c | Sharing of facilities, equipment, mailing lists, other assets, or paid employees | 1c | |
| 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. | | |

	Yes	No
1a(1)		X
1a(2)		X
1b(1)		X
1b(2)		X
1b(3)		X
1b(4)		X
1b(5)		X
1b(6)		X
1c		X

[illegible]

- 2a** Is the foundation directly or indirectly affiliated with, or related to, one or more tax-exempt organizations described in section 501(c) (other than section 501(c)(3)) or in section 527? ☐ Yes ☒ No

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

**Sign
Here**

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

Signature of officer or trustee

Date _____

► PRESIDENT

Title

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

☒ X Yes ☐

**Paid
Preparer
Use Only**

Print/Type preparer's name

Preparer's signature.

Date _____

Check ☐ if
self-employed

PTIN

STUART KOTLER

Firm's name ► **BERDON LLP**

11/11/2020

P00508533

Firm's EIN ► 13-0485070

Firm's address ► 360 MADISON AVENUE
NEW YORK, NY 10017

Phone no. 212-832-0400

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
THE BROOKLYN QUEENS CONSERVATORY OF MUSIC 58 SEVENTH AVENUE BROOKLYN, NY 11217		PC	TO PROMOTE THE ARTS AND FUTURE MUSICIANS	20,000.
THE MORGAN LIBRARY & MUSEUM 225 MADISON AVENUE NEW YORK, NY 10016		PC	TO PROMOTE "DRAWING THE CURTAIN: MAURICE SENDAK'S DESIGNS FOR OPERA AND BALLET"	50,000.
HISTORIC SALEM COURTHOUSE PRESERVATION ASSOCIATION INC PO BOX 140 SALEM, NY 12865		PC	TO HELP PROTECT AND PRESERVE THE HISTORIC WASHINGTON COUNTY COURTHOUSE	5,000.
THE WATERSHED CENTER 44 KAYE ROAD MILLERTON, NY 12546		PC	TO SUPPORT A FACILITY THAT PROVIDES A RETREAT AND RESORT FOR CHANGEMAKERS	5,000.
COMMUNITY OF ST MARY 242 CLOISTER WAY GREENWICH, NY 12834		PC	TO PROMOTE ACADEMIC EXCELLENCE AND ACHIEVEMENT FOR CHILDREN FROM GRADES 9 -12	1,000.
COMFORT FOOD COMMUNITY PO BOX 86 GREENWICH, NY 12834		PC	TO SUPPORT THE FIGHT AGAINST HUNGER AND PROMOTE HEALTH AND HEALTHIER FOOD FOR AMERICA	5,000.
ROCKVILLE VOLUNTEER FIRE DEPARTMENT PO BOX 1547 ROCKVILLE, MD 20849		PC	TO SUPPORT THE LOCAL FIRE DEPARTMENT IN PROTECTING THE COMMUNITY FROM FIRES AND OTHER NATURAL	100.
Total from continuation sheets				86,100.

Part XV Supplementary Information

3a Grants and Contributions Paid During the Year Continuation of Purpose of Grant or Contribution

NAME OF RECIPIENT - ROCKVILLE VOLUNTEER FIRE DEPARTMENT

TO SUPPORT THE LOCAL FIRE DEPARTMENT IN PROTECTING THE COMMUNITY FROM
FIRES AND OTHER NATURAL DISASTERS

FORM 990-PF		DIVIDENDS AND INTEREST FROM SECURITIES			STATEMENT 1
SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
FROM INVESTMENTS IN SECURITIES	375,707.	0.	375,707.	375,707.	
TO PART I, LINE 4	375,707.	0.	375,707.	375,707.	

FORM 990-PF		OTHER INCOME		STATEMENT 2
DESCRIPTION	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	
ROYALTY INCOME	961,170.	961,170.		
TOTAL TO FORM 990-PF, PART I, LINE 11	961,170.	961,170.		

FORM 990-PF		LEGAL FEES		STATEMENT 3
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
SIMPSON THACHER AND BARTLETT	92,573.	46,286.		46,287.
CUMMINGS AND LOCKWOOD	518.	259.		259.
LOEB & LOEB LLP	121,483.	60,741.		60,742.
TO FM 990-PF, PG 1, LN 16A	214,574.	107,286.		107,288.

FORM 990-PF	ACCOUNTING FEES		STATEMENT 4	
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
BERDON LLP -TAX RETURN PREP WAKOFF	18,718.	9,359.		9,359.
ANDRIULLI-BOOKKEEPING	19,755.	9,877.		9,877.
GREEN HASSON JANKS	15,000.	7,500.		7,500.
KIWI PARTNERS INC	19,333.	9,667.		9,667.
TO FORM 990-PF, PG 1, LN 16B	72,806.	36,403.		36,403.

FORM 990-PF	OTHER PROFESSIONAL FEES		STATEMENT 5	
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
INVESTMENT FEES	64,144.	64,144.		0.
COMMISSIONS	121,723.	121,723.		0.
TWA EXPENSES	2,192.	2,192.		0.
TO FORM 990-PF, PG 1, LN 16C	188,059.	188,059.		0.

FORM 990-PF	TAXES		STATEMENT 6	
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
TAXES - EXCISE TAX ON INVESTMENT INCOME	30,000.	0.		0.
TO FORM 990-PF, PG 1, LN 18	30,000.	0.		0.

FORM 990-PF

OTHER EXPENSES

STATEMENT 7

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ARCHIVING & CONSERVATION	25,111.	0.		25,111.
DATA PROCESSING	5,365.	0.		5,365.
SUPPLIES	690.	0.		690.
POSTAGE & MAILING SERVICE	7,841.	0.		7,841.
STORAGE	11,483.	0.		11,483.
INSURANCE	47,053.	0.		47,053.
MISCELLANEOUS	187,693.	0.		187,693.
DESIGN FEES	84,832.	0.		84,832.
FOREIGN TAXES	15,774.	15,774.		0.
TO FORM 990-PF, PG 1, LN 23	385,842.	15,774.		370,068.

FORM 990-PF

DEPRECIATION OF ASSETS NOT HELD FOR INVESTMENT

STATEMENT 8

DESCRIPTION	COST OR OTHER BASIS	ACCUMULATED DEPRECIATION	BOOK VALUE	FAIR MARKET VALUE
LAND	300,000.	0.	300,000.	300,000.
200 CHESTNUT HILL	1,200,000.	238,168.	961,832.	961,832.
COMPUTERS	8,306.	8,306.	0.	0.
FURN & FIXTURES	10,000.	10,000.	0.	0.
COMPUTERS	2,193.	2,068.	125.	125.
OFFICE FURNITURE	4,907.	3,812.	1,095.	1,095.
COMPUTERS	2,367.	1,957.	410.	410.
FURN & FIXTURES	5,863.	4,175.	1,688.	1,688.
OFFICE FURNITURE	2,604.	1,537.	1,067.	1,067.
ARCHIVE ADDITION	1,406,550.	91,639.	1,314,911.	1,314,911.
OFFICE FURNITURE	18,206.	18,206.	0.	0.
TO 990-PF, PART II, LN 14	2,960,996.	379,868.	2,581,128.	2,581,128.

FORM 990-PF

CORPORATE STOCK

STATEMENT 9

DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
EQUITIES - SEE ATTACHMENT	6,648,488.	7,530,123.
MUTUAL FUNDS - SEE ATTACHMENT	5,002,765.	5,288,782.
TOTAL TO FORM 990-PF, PART II, LINE 10B	11,651,253.	12,818,905.

FORM 990-PF

OTHER ASSETS

STATEMENT 10

DESCRIPTION	BEGINNING OF YR BOOK VALUE	END OF YEAR BOOK VALUE	FAIR MARKET VALUE
WORKS OF ART BY MAURICE SENDAK	19,476,300.	19,476,300.	19,476,300.
ANTIQUES & CERAMICS	600,000.	600,000.	600,000.
MICKY MOUSE COLLECTIBLES	327,209.	327,209.	327,209.
PHOTOGRAPHS	275,000.	275,000.	275,000.
PUBLICATION AGREEMENTS	12,000,000.	12,000,000.	12,000,000.
ROYALTY AGREEMENTS	10,000.	10,000.	10,000.
LETTERS AND MANUSCRIPTS	25,000.	25,000.	25,000.
WORKS OF ART NOT CREATED BY	6,500,000.	6,500,000.	6,500,000.
RARE EDITION BOOKS	930,188.	930,188.	930,188.
TO FORM 990-PF, PART II, LINE 15	40,143,697.	40,143,697.	40,143,697.

FORM 990-PF

OTHER LIABILITIES

STATEMENT 11

DESCRIPTION	BOY AMOUNT	EOY AMOUNT
ACCRUED EXPENSES	21,000.	0.
CREDIT CARD PAYABLE	4,672.	2,468.
TOTAL TO FORM 990-PF, PART II, LINE 22	25,672.	2,468.

FORM 990-PF

PART VIII - LIST OF OFFICERS, DIRECTORS
TRUSTEES AND FOUNDATION MANAGERS

STATEMENT 12

NAME AND ADDRESS	TITLE AND AVRG HRS/WK	COMPEN- SATION	EMPLOYEE BEN PLAN CONTRIB	EXPENSE ACCOUNT
ADAM SPIEGEL C/O THE MAURICE SENDAK FDN. INC. 200 CHESTNUT HILL ROAD RIDGEFIELD, CT 06877	DIRECTOR 1.00	0.	0.	0.
DONA MCADAMS C/O THE MAURICE SENDAK FDN. INC. 200 CHESTNUT HILL ROAD RIDGEFIELD, CT 06877	DIRECTOR/SECRETARY 1.00	0.	0.	0.
LYNN CAPONERA C/O THE MAURICE SENDAK FDN. INC. 200 CHESTNUT HILL ROAD RIDGEFIELD, CT 06877	PRESIDENT/TREASURER/DIRECT 45.00	198,552.	63,887.	0.
MICHAEL DI CAPUA C/O THE MAURICE SENDAK FDN. INC. 200 CHESTNUT HILL ROAD RIDGEFIELD, CT 06877	DIRECTOR 1.00	0.	0.	0.
JOSH SIEGAL C/O THE MAURICE SENDAK FDN. INC. 200 CHESTNUT HILL ROAD RIDGEFIELD, CT 06877	DIRECTOR 1.00	0.	0.	0.
TOTALS INCLUDED ON 990-PF, PAGE 6, PART VIII		198,552.	63,887.	0.

FORM 990-PF

SUMMARY OF DIRECT CHARITABLE ACTIVITIES

STATEMENT 13

ACTIVITY ONE

THE MAURICE SENDAK FOUNDATION IS DEVOTED TO PROMOTING GREATER PUBLIC INTEREST IN AND THE UNDERSTANDING OF THE LITERARY, VISUAL, AND PERFORMING ARTS. DURING 2018, THIS GOAL WAS MET BY COMPLETING WORK ON THE SENDAK HOUSE AND ARCHIVE. THE ARCHIVE CONTAINS ILLUSTRATIONS, MANUSCRIPTS AND RELATED MATERIALS THAT REPRESENT A WIDE RANGE OF SENDAK'S VISUAL CREATIVE OUTPUT. IT ALSO HOUSES SENDAK'S ART COLLECTION. DURING 2019, THE PRESIDENT OF THE MAURICE SENDAK FOUNDATION, LYNN CAPONERA DID APPROVE AN OVERALL INVENTORY OF THE ART AND OBJECTS IN THE SENDAK HOME. IN ADDITION, MAURICE SENDAK'S EARLY PAINTINGS, WHICH WERE NOT WELL-MAINTAINED DURING HIS LIFETIME, ARE UNDERGOING EFFORTS TO CONSERVE AND STABILIZE HIS EARLY WORKS OF ART. A CATALOGUING OF SENDAK'S COLLECTION OF BOOKS IS ALSO ONGOING. ALL OF THESE EFFORTS ARE MEANT TO IMPROVE THE SENDAK HOUSE & ARCHIVE IN TIME FOR ITS SCHEDULED OPENING IN MID-2021. IT WILL BE A RESOURCE AND RESEARCH CENTER FOR SCHOLARS, ARTISTS, AND TO THE GENERAL PUBLIC.

EXPENSES

TO FORM 990-PF, PART IX-A, LINE 1

895,811.

2019 DEPRECIATION AND AMORTIZATION REPORT

FORM 990-PF PAGE 1

990-PF

Asset No	Description	Date Acquired	Method	Life	Conv	Line No	Unadjusted Cost Or Basis	Bus % Excl	Section 179 Expense	Reduction In Basis	Basis For Depreciation	Beginning Accumulated Depreciation	Current Sec 179 Expense	Current Year Deduction	Ending Accumulated Depreciation
1	LAND	07/12/13	L				300,000.				300,000.			0.	
2	200 CHESTNUT HILL	07/12/13	SL	27.50	MM17		2,200,000.				2,200,000.	194,532.		43,636.	238,168.
3	COMPUTERS	01/01/14	200DE	5.00	HY17		8,306.				8,306.	7,828.		478.	8,306.
4	FURN & FIXTURES	07/12/13	200DE	5.00	HY17		10,000.			10,000.				0.	
5	COMPUTERS	02/01/15	200DE	5.00	HY17		2,193.				2,193.	1,815.		253.	2,068.
6	OFFICE FURNITURE	03/01/15	200DE	7.00	HY17		4,907.				4,907.	3,374.		438.	3,812.
7	COMPUTERS	04/01/16	200DE	5.00	HY17		2,367.				2,367.	1,684.		273.	1,957.
8	FURN & FIXTURES	01/01/17	200DE	5.00	HY17		5,863.				5,863.	3,049.		1,126.	4,175.
9	OFFICE FURNITURE	01/01/17	200DE	7.00	HY17		2,604.				2,604.	1,082.		455.	1,537.
10	ARCHIVE ADDITION	03/15/18	SL	27.50	MM17		2,406,550.				2,406,550.	40,492.		51,147.	91,639.
11	OFFICE FURNITURE	12/30/19	200DE	7.00	MM19C		18,206.			18,206.				18,206.	
	* TOTAL 990-PF PG 1 DEPR						2,960,996.			28,206.	2,932,790.	253,856.		116,012.	351,662.
	CURRENT YEAR ACTIVITY														
	BEGINNING BALANCE						2,942,790.			10,000.	2,932,790.	253,856.			351,662.
	ACQUISITIONS						18,206.			18,206.	0.	0.			0.
	DISPOSITIONS/RETIRED						0.			0.	0.	0.			0.
	ENDING BALANCE						2,960,996.			28,206.	2,932,790.	253,856.			351,662.

928111 04-01-19

(D) - Asset disposed

* ITC, Salvage, Bonus, Commercial Revitalization Deduction, GO Zone

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[illegible]

* ITC, Salvage, Bonus, Commercial Revitalization Deduction, GO Zone