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Form 990-PF

Return of Private Foundation

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

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

OMB No. 1545-0052

2019

Open to Public Inspection

For calendar year 2019, or tax year beginning 01-01-2019, and ending 12-31-2019

Name of foundation UW HAROLD S GENEEN CHARITABLE TR		A Employer identification number 13-7163001	
Number and street (or P.O. box number if mail is not delivered to street address) P O BOX 1802	Room/suite	B Telephone number (see instructions) (888) 866-3275	
City or town, state or province, country, and ZIP or foreign postal code PROVIDENCE, RI 029011802		C If exemption application is pending, check here <input type="checkbox"/>	
G Check all that apply: <div><input type="checkbox"/> Initial return<input type="checkbox"/> Initial return of a former public charity</div> <div><input type="checkbox"/> Final return<input type="checkbox"/> Amended return</div> <div><input type="checkbox"/> Address change<input type="checkbox"/> Name change</div>		D 1. Foreign organizations, check here..... <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation ... <input type="checkbox"/>	
H Check type of organization: <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here ..... <input type="checkbox"/>	
I Fair market value of all assets at end of year (from Part II, col. (c), line 16) ▶ \$ 43,414,490	J Accounting method: <input type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____ (Part I, column (d) must be on cash basis.)		
F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ..... <input type="checkbox"/>			

Part I

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

	(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc., received (attach schedule)			
	2 Check <input 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 . . .	1,041,966	1,017,978	
	5a Gross rents . . . . .			
	b Net rental income or (loss)			
	6a Net gain or (loss) from sale of assets not on line 10	383,461		
	b Gross sales price for all assets on line 6a			
		9,512,650		
	7 Capital gain net income (from Part IV, line 2) . . .		383,461	
	8 Net short-term capital gain . . . . .			0
	9 Income modifications . . . . .			
Operating and Administrative Expenses	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) . . . . .	26,280	15,169	
	12 Total. Add lines 1 through 11 . . . . .	1,451,707	1,416,608	
	13 Compensation of officers, directors, trustees, etc.	236,892	142,135	94,757
	14 Other employee salaries and wages . . . . .		0	0
	15 Pension plans, employee benefits . . . . .		0	0
	16a Legal fees (attach schedule) . . . . .	76,767	0	0
	b Accounting fees (attach schedule) . . . . .	1,250	750	0
	c Other professional fees (attach schedule) . . . . .	4,313	4,313	0
	17 Interest . . . . .			0
	18 Taxes (attach schedule) (see instructions) . . . . .	45,791	24,791	0
	19 Depreciation (attach schedule) and depletion . . . . .	0	0	
	20 Occupancy . . . . .			
	21 Travel, conferences, and meetings . . . . .	2,588	0	0
	22 Printing and publications . . . . .		0	0
	23 Other expenses (attach schedule) . . . . .	8,435	7,685	750
24 Total operating and administrative expenses. Add lines 13 through 23 . . . . .	376,036	179,674	0	
25 Contributions, gifts, grants paid . . . . .	1,863,312		1,863,312	
26 Total expenses and disbursements. Add lines 24 and 25	2,239,348	179,674	0	
27 Subtract line 26 from line 12:				
a Excess of revenue over expenses and disbursements	-787,641			
b Net investment income (if negative, enter -0-)		1,236,934		
c Adjusted net income (if negative, enter -0-)			0	

For Paperwork Reduction Act Notice, see instructions.

Cat. No. 11289X

Form 990-PF (2019)

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 . . . . .	795,866	1,523,907	1,523,907
	3 Accounts receivable ▶ _____ Less: allowance for doubtful accounts ▶ _____		0	0
	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 ▶ _____ 0			
	8 Inventories for sale or use . . . . .			
	9 Prepaid expenses and deferred charges . . . . .			
	10a Investments—U.S. and state government obligations (attach schedule)	3,942,064	6,566,959	6,605,402
	b Investments—corporate stock (attach schedule) . . . . .	25,774,042	22,598,350	32,752,046
	c Investments—corporate bonds (attach schedule) . . . . .	3,498,424	2,502,295	2,515,425
	11 Investments—land, buildings, and equipment: basis ▶ _____ Less: accumulated depreciation (attach schedule) ▶ _____			
	12 Investments—mortgage loans . . . . .			
	13 Investments—other (attach schedule) . . . . .			0
	14 Land, buildings, and equipment: basis ▶ _____ Less: accumulated depreciation (attach schedule) ▶ _____			
15 Other assets (describe ▶ _____)			17,710	
16 <b>Total assets</b> (to be completed by all filers—see the instructions. Also, see page 1, item I)	34,010,396	33,191,511	43,414,490	
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 <b>Total liabilities</b> (add lines 17 through 22) . . . . .		0	
Net Assets or Fund Balances	<b>Foundations that follow FASB ASC 958, check here</b> ▶ <input type="checkbox"/> <b>and complete lines 24, 25, 29 and 30.</b>			
	24 Net assets without donor restrictions . . . . .			
	25 Net assets with donor restrictions . . . . .			
	<b>Foundations that do not follow FASB ASC 958, check here</b> ▶ <input checked="" type="checkbox"/> <b>and complete lines 26 through 30.</b>			
	26 Capital stock, trust principal, or current funds . . . . .	34,010,396	33,191,511	
	27 Paid-in or capital surplus, or land, bldg., and equipment fund			
	28 Retained earnings, accumulated income, endowment, or other funds			
29 <b>Total net assets or fund balances</b> (see instructions) . . . . .	34,010,396	33,191,511		
30 <b>Total liabilities and net assets/fund balances</b> (see instructions) .	34,010,396	33,191,511		

**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	34,010,396
2 Enter amount from Part I, line 27a . . . . .	2	-787,641
3 Other increases not included in line 2 (itemize) ▶ _____	3	7,876
4 Add lines 1, 2, and 3 . . . . .	4	33,230,631
5 Decreases not included in line 2 (itemize) ▶ _____	5	39,120
6 Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 29 .	6	33,191,511

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

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
<b>1a</b> See Additional Data Table			
<b>b</b>			
<b>c</b>			
<b>d</b>			
<b>e</b>			

  

(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)
<b>a</b> See Additional Data Table			
<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			(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h))
(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
<b>a</b> See Additional Data Table			
<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="float: right;">{ If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 }</span>	<b>2</b>	383,461
<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>	

**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 does not qualify under section 4940(e). Do not complete this part.

**1** Enter the appropriate amount in each column for each year; see 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	1,801,832	40,521,117	0.044466
2017	1,822,462	38,658,260	0.047143
2016	1,897,791	36,661,504	0.051765
2015	1,858,374	37,157,397	0.050014
2014	991,214	36,405,747	0.027227

  

<b>2</b> Total of line 1, column (d)	<b>2</b>	0.220615
<b>3</b> 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	<b>3</b>	0.044123
<b>4</b> Enter the net value of noncharitable-use assets for 2019 from Part X, line 5	<b>4</b>	41,891,673
<b>5</b> Multiply line 4 by line 3	<b>5</b>	1,848,386
<b>6</b> Enter 1% of net investment income (1% of Part I, line 27b)	<b>6</b>	12,369
<b>7</b> Add lines 5 and 6	<b>7</b>	1,860,755
<b>8</b> Enter qualifying distributions from Part XII, line 4	<b>8</b>	2,038,674

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)**

<b>1a</b>	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>b</b>	Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input checked="" type="checkbox"/> and enter 1% of Part I, line 27b . . . . .	<b>1</b>	12,369
<b>c</b>	All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b)		
<b>2</b>	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	<b>2</b>	0
<b>3</b>	Add lines 1 and 2. . . . .	<b>3</b>	12,369
<b>4</b>	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	<b>4</b>	0
<b>5</b>	<b>Tax based on investment income.</b> Subtract line 4 from line 3. If zero or less, enter -0- . . . . .	<b>5</b>	12,369
<b>6</b>	Credits/Payments:		
<b>a</b>	2019 estimated tax payments and 2018 overpayment credited to 2019	<b>6a</b>	31,236
<b>b</b>	Exempt foreign organizations—tax withheld at source . . . . .	<b>6b</b>	
<b>c</b>	Tax paid with application for extension of time to file (Form 8868) . . . . .	<b>6c</b>	0
<b>d</b>	Backup withholding erroneously withheld . . . . .	<b>6d</b>	
<b>7</b>	Total credits and payments. Add lines 6a through 6d. . . . .	<b>7</b>	31,236
<b>8</b>	Enter any <b>penalty</b> for underpayment of estimated tax. Check here <input type="checkbox"/> if Form 2220 is attached.	<b>8</b>	0
<b>9</b>	<b>Tax due.</b> If the total of lines 5 and 8 is more than line 7, enter <b>amount owed</b> . . . . . <b>▶</b>	<b>9</b>	
<b>10</b>	<b>Overpayment.</b> If line 7 is more than the total of lines 5 and 8, enter the <b>amount overpaid</b> . . . . . <b>▶</b>	<b>10</b>	18,867
<b>11</b>	Enter the amount of line 10 to be: <b>Credited to 2020 estimated tax</b> <b>▶</b> 6,186 <b>Refunded</b> <b>▶</b>	<b>11</b>	12,681

**Part VII-A Statements Regarding Activities**

<b>1a</b>	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? . . . . .		<b>Yes</b>	<b>No</b>
<b>b</b>	Did it spend more than \$100 during the year (either directly or indirectly) for political purposes? (see Instructions for definition). . . . . <i>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.</i>	<b>1a</b>		<b>No</b>
<b>c</b>	Did the foundation file <b>Form 1120-POL</b> for this year? . . . . .	<b>1b</b>		<b>No</b>
<b>d</b>	Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. <b>▶</b> \$ _____ (2) On foundation managers. <b>▶</b> \$ _____	<b>1c</b>		<b>No</b>
<b>e</b>	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. <b>▶</b> \$ _____			
<b>2</b>	Has the foundation engaged in any activities that have not previously been reported to the IRS? . . . . . <i>If "Yes," attach a detailed description of the activities.</i>	<b>2</b>		<b>No</b>
<b>3</b>	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? <i>If "Yes," attach a conformed copy of the changes</i> . . . . .	<b>3</b>		<b>No</b>
<b>4a</b>	Did the foundation have unrelated business gross income of \$1,000 or more during the year? . . . . .	<b>4a</b>		<b>No</b>
<b>b</b>	If "Yes," has it filed a tax return on <b>Form 990-T</b> for this year? . . . . .	<b>4b</b>		
<b>5</b>	Was there a liquidation, termination, dissolution, or substantial contraction during the year? . . . . . <i>If "Yes," attach the statement required by General Instruction T.</i>	<b>5</b>		<b>No</b>
<b>6</b>	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? . . . . .	<b>6</b>	<b>Yes</b>	
<b>7</b>	Did the foundation have at least \$5,000 in assets at any time during the year? <i>If "Yes," complete Part II, col. (c), and Part XV.</i> . . . . .	<b>7</b>	<b>Yes</b>	
<b>8a</b>	Enter the states to which the foundation reports or with which it is registered (see instructions) <b>▶</b> NY _____			
<b>b</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? <i>If "No," attach explanation .</i>	<b>8b</b>	<b>Yes</b>	
<b>9</b>	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 taxable year beginning in 2019? See the instructions for Part XIV. <i>If "Yes," complete Part XIV</i> . . . . .	<b>9</b>		<b>No</b>
<b>10</b>	Did any persons become substantial contributors during the tax year? <i>If "Yes," attach a schedule listing their names and addresses.</i> . . . . .	<b>10</b>		<b>No</b>

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

<b>11</b>	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. . . . .	<b>11</b>		<b>No</b>
<b>12</b>	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 . . . . .	<b>12</b>		<b>No</b>
<b>13</b>	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► _____	<b>13</b>	<b>Yes</b>	
<b>14</b>	The books are in care of ► <u>BANK OF AMERICA NA</u> Telephone no. ► <u>(888) 866-3275</u>			
	Located at ► <u>PO BOX 1802 PROVIDENCE RI</u> ZIP+4 ► <u>029011802</u>			
<b>15</b>	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of <b>Form 1041</b> —check here . . . . . <input type="checkbox"/> and enter the amount of tax-exempt interest received or accrued during the year . . . . . <b>15</b> <input type="checkbox"/>			
<b>16</b>	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 ► _____	<b>16</b>	<b>Yes</b> <b>No</b>	<b>No</b> <b>No</b>

**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
<b>1a</b>	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? ( <b>Exception.</b> 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>b</b>	If any answer is "Yes" to 1a(1)–(6), did <b>any</b> 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 . . . . . <input type="checkbox"/> Organizations relying on a current notice regarding disaster assistance check here. . . . . <input type="checkbox"/>	<b>1b</b>	<b>No</b>
<b>c</b>	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? . . . . .	<b>1c</b>	<b>No</b>
<b>2</b>	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)):		
<b>a</b>	At the end of tax year 2019, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2019? . . . . . <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If "Yes," list the years ► 20____, 20____, 20____, 20____		
<b>b</b>	Are there any years listed in 2a for which the foundation is <b>not</b> 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 <b>all</b> years listed, answer "No" and attach statement—see instructions.) . . . . .	<b>2b</b>	
<b>c</b>	If the provisions of section 4942(a)(2) are being applied to <b>any</b> of the years listed in 2a, list the years here. ► 20____, 20____, 20____, 20____		
<b>3a</b>	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>b</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 Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2019.) . . . . .	<b>3b</b>	
<b>4a</b>	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	<b>4a</b>	<b>No</b>
<b>b</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?	<b>4b</b>	<b>No</b>

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

		Yes	No
<b>5a</b>	During the year did the foundation pay or incur any amount to:		
(1)	Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(2)	Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive? . . . . .	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(3)	Provide a grant to an individual for travel, study, or other similar purposes?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(4)	Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? See instructions. . . . .	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(5)	Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? . . . . .	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
<b>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>
<b>c</b>	Organizations relying on a current notice regarding disaster assistance check here. . . . . <input type="checkbox"/>		
	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? . . . . .	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	<i>If "Yes," attach the statement required by Regulations section 53.4945–5(d).</i>		
<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? . . . . .		<b>6b</b>
	<i>If "Yes" to 6b, file Form 8870.</i>		<b>No</b>
<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>
<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 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**

<b>1 List all officers, directors, trustees, foundation managers and their compensation. See instructions</b>				
(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
BANK OF AMERICA N A 114 W 47TH ST NEW YORK, NY 10036	TRUSTEE 1	177,390		
ALLEN KEESEE 1124 TREESIDE LN HERNDON, VA 201703809	TRUSTEE 81	29,751		
THOMAS SILBIGER C/O CAMERON HORNBOSTEL LLP NEW YORK, NY 100171822	TRUSTEE 81	29,751		
<b>2 Compensation of five highest-paid employees (other than those included on line 1—see instructions). If none, enter "NONE."</b>				
(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				
<b>Total number of other employees paid over \$50,000.</b> . . . . .				<b>0</b>

**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		
<b>Total</b> 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
<b>1</b>	
<b>2</b>	
<b>3</b>	
<b>4</b>	

**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
<b>1</b>	
<b>2</b>	
All other program-related investments. See instructions.	
<b>3</b>	
<b>Total.</b> Add lines 1 through 3 . . . . . ►	

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

<b>1</b>	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
<b>a</b>	Average monthly fair market value of securities. . . . .	<b>1a</b>	40,345,641
<b>b</b>	Average of monthly cash balances. . . . .	<b>1b</b>	2,183,976
<b>c</b>	Fair market value of all other assets (see instructions). . . . .	<b>1c</b>	0
<b>d</b>	<b>Total</b> (add lines 1a, b, and c). . . . .	<b>1d</b>	42,529,617
<b>e</b>	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation). . . . .	<b>1e</b>	0
<b>2</b>	Acquisition indebtedness applicable to line 1 assets. . . . .	<b>2</b>	0
<b>3</b>	Subtract line 2 from line 1d. . . . .	<b>3</b>	42,529,617
<b>4</b>	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions). . . . .	<b>4</b>	637,944
<b>5</b>	<b>Net value of noncharitable-use assets.</b> Subtract line 4 from line 3. Enter here and on Part V, line 4	<b>5</b>	41,891,673
<b>6</b>	<b>Minimum investment return.</b> Enter 5% of line 5. . . . .	<b>6</b>	2,094,584

**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.)

<b>1</b>	Minimum investment return from Part X, line 6. . . . .	<b>1</b>	2,094,584
<b>2a</b>	Tax on investment income for 2019 from Part VI, line 5. . . . .	<b>2a</b>	12,369
<b>b</b>	Income tax for 2019. (This does not include the tax from Part VI.). . . . .	<b>2b</b>	
<b>c</b>	Add lines 2a and 2b. . . . .	<b>2c</b>	12,369
<b>3</b>	Distributable amount before adjustments. Subtract line 2c from line 1. . . . .	<b>3</b>	2,082,215
<b>4</b>	Recoveries of amounts treated as qualifying distributions. . . . .	<b>4</b>	7,876
<b>5</b>	Add lines 3 and 4. . . . .	<b>5</b>	2,090,091
<b>6</b>	Deduction from distributable amount (see instructions). . . . .	<b>6</b>	0
<b>7</b>	<b>Distributable amount</b> as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1. . . . .	<b>7</b>	2,090,091

**Part XII Qualifying Distributions** (see instructions)

<b>1</b>	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes:		
<b>a</b>	Expenses, contributions, gifts, etc.—total from Part I, column (d), line 26. . . . .	<b>1a</b>	2,038,674
<b>b</b>	Program-related investments—total from Part IX-B. . . . .	<b>1b</b>	0
<b>2</b>	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes. . . . .	<b>2</b>	0
<b>3</b>	Amounts set aside for specific charitable projects that satisfy the:		
<b>a</b>	Suitability test (prior IRS approval required). . . . .	<b>3a</b>	0
<b>b</b>	Cash distribution test (attach the required schedule). . . . .	<b>3b</b>	0
<b>4</b>	<b>Qualifying distributions.</b> Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	<b>4</b>	2,038,674
<b>5</b>	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. . . . .	<b>5</b>	12,369
<b>6</b>	<b>Adjusted qualifying distributions.</b> Subtract line 5 from line 4. . . . .	<b>6</b>	2,026,305

**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
<b>1</b> Distributable amount for 2019 from Part XI, line 7				2,090,091
<b>2</b> Undistributed income, if any, as of the end of 2019:				
<b>a</b> Enter amount for 2018 only. . . . .			1,863,466	
<b>b</b> Total for prior years: 20____, 20____, 20____		0		
<b>3</b> Excess distributions carryover, if any, to 2019:				
<b>a</b> From 2014. . . . .	0			
<b>b</b> From 2015. . . . .	0			
<b>c</b> From 2016. . . . .	0			
<b>d</b> From 2017. . . . .	0			
<b>e</b> From 2018. . . . .	0			
<b>f</b> <b>Total</b> of lines 3a through e. . . . .	0			
<b>4</b> Qualifying distributions for 2019 from Part XII, line 4: ► \$ <u>2,038,674</u>				
<b>a</b> Applied to 2018, but not more than line 2a			1,863,466	
<b>b</b> Applied to undistributed income of prior years (Election required—see instructions). . . . .		0		
<b>c</b> Treated as distributions out of corpus (Election required—see instructions). . . . .	0			
<b>d</b> Applied to 2019 distributable amount. . . . .				175,208
<b>e</b> Remaining amount distributed out of corpus	0			
<b>5</b> Excess distributions carryover applied to 2019. (If an amount appears in column (d), the same amount must be shown in column (a).)	0			0
<b>6</b> <b>Enter the net total of each column as indicated below:</b>	0			
<b>a</b> Corpus. Add lines 3f, 4c, and 4e. Subtract line 5				
<b>b</b> Prior years' undistributed income. Subtract line 4b from line 2b. . . . .		0		
<b>c</b> 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		
<b>d</b> Subtract line 6c from line 6b. Taxable amount—see instructions. . . . .		0		
<b>e</b> Undistributed income for 2018. Subtract line 4a from line 2a. Taxable amount—see instructions. . . . .			0	
<b>f</b> Undistributed income for 2019. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2020. . . . .				1,914,883
<b>7</b> 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			
<b>8</b> Excess distributions carryover from 2014 not applied on line 5 or line 7 (see instructions). . . . .	0			
<b>9</b> <b>Excess distributions carryover to 2020.</b> Subtract lines 7 and 8 from line 6a. . . . .	0			
<b>10</b> Analysis of line 9:				
<b>a</b> Excess from 2015. . . . .	0			
<b>b</b> Excess from 2016. . . . .	0			
<b>c</b> Excess from 2017. . . . .	0			
<b>d</b> Excess from 2018. . . . .	0			
<b>e</b> Excess from 2019. . . . .	0			

**Part XIV Private Operating Foundations** (see instructions and Part VII-A, question 9)

<b>1a</b> If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2019, enter the date of the ruling. . . . . ▶					
<b>b</b> Check box to indicate whether the organization is a private operating foundation described in section <input type="checkbox"/> 4942(j)(3) or <input type="checkbox"/> 4942(j)(5)					
<b>2a</b> Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed . . . . .	Tax year	Prior 3 years			(e) Total
	(a) 2019	(b) 2018	(c) 2017	(d) 2016	
<b>b</b> 85% of line 2a . . . . .					
<b>c</b> Qualifying distributions from Part XII, line 4 for each year listed . . . . .					
<b>d</b> Amounts included in line 2c not used directly for active conduct of exempt activities . . . . .					
<b>e</b> Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c . . . . .					
<b>3</b> Complete 3a, b, or c for the alternative test relied upon:					
<b>a</b> "Assets" alternative test—enter:					
(1) Value of all assets . . . . .					
(2) Value of assets qualifying under section 4942(j)(3)(B)(i)					
<b>b</b> "Endowment" alternative test— enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed. . .					
<b>c</b> "Support" alternative test—enter:					
(1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties) . . . . .					
(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii). . . . .					
(3) Largest amount of support from an exempt organization					
(4) Gross investment income					

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

<b>1 Information Regarding Foundation Managers:</b>	
<b>a</b> 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).)	
<b>b</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.	
<b>2 Information Regarding Contribution, Grant, Gift, Loan, Scholarship, etc., Programs:</b>	
Check here <input checked="" type="checkbox"/> 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	
<b>a</b> The name, address, and telephone number or email address of the person to whom applications should be addressed:	
<b>b</b> The form in which applications should be submitted and information and materials they should include:	
<b>c</b> Any submission deadlines:	
<b>d</b> 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
<b>a</b> <i>Paid during the year</i> See Additional Data Table				
<b>Total . . . . .</b>			<b>▶ 3a</b>	1,863,312
<b>b</b> <i>Approved for future payment</i>				
<b>Total . . . . .</b>			<b>▶ 3b</b>	

**Part XVI-A Analysis of Income-Producing Activities**

Enter gross amounts unless otherwise indicated.

	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	(See instructions.)
<b>1</b> Program service revenue:					
a _____					
b _____					
c _____					
d _____					
e _____					
f _____					
g Fees and contracts from government agencies					
<b>2</b> Membership dues and assessments. . . .					
<b>3</b> Interest on savings and temporary cash investments . . . . .					
<b>4</b> Dividends and interest from securities. . . .			14	1,041,966	
<b>5</b> Net rental income or (loss) from real estate:					
a Debt-financed property. . . . .					
b Not debt-financed property. . . . .					
<b>6</b> Net rental income or (loss) from personal property					
<b>7</b> Other investment income. . . . .					
<b>8</b> Gain or (loss) from sales of assets other than inventory . . . . .			18	383,461	
<b>9</b> Net income or (loss) from special events:					
<b>10</b> Gross profit or (loss) from sales of inventory					
<b>11</b> Other revenue:					
a OTHER INCOME _____			1	15,169	
b EXCISE TAX REFUND _____			1	11,111	
c _____					
d _____					
e _____					
<b>12</b> Subtotal. Add columns (b), (d), and (e). .				1,451,707	
<b>13 Total.</b> Add line 12, columns (b), (d), and (e). . . . .				1,451,707	

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

[illegible]

## Part XVII

- |   |   |    |  |    |
|---|---|----|--|----|
| c | Sharing of facilities, equipment, mailing lists, other assets, or paid employees. . . . .   | 1c |  | No |
| d | <p>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.</p> |    |  |    |

[illegible]

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

- | b If "Yes," complete the following schedule. |                          |                                 |
|--|--------------------------|---------------------------------|
| (a) Name of organization                     | (b) Type of organization | (c) Description of relationship |
|  |                          |                                 |
|  |                          |                                 |
|  |                          |                                 |
|  |                          |                                 |

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**

\*\*\*\*\*

Title

May the IRS discuss this return with the preparer shown below

(see instr.) ☐ Yes ☐ No

**Paid  
Preparer  
Use Only**

<b>Paid Preparer Use Only</b>	Print/Type preparer's name	Preparer's Signature	Date	Check if self-employed <input type="checkbox"/>	PTIN
	Firm's name ▶				Firm's EIN ▶
	Firm's address ▶				Phone no.

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

List and describe the kind(s) of property sold (e.g., real estate, (a) 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.)
2622. AT&T INC		2012-10-09	2019-07-23
4131.9 AT&T INC		2012-10-09	2019-10-21
1868.1 AT&T INC		2011-09-30	2019-10-21
2000. AMERICAN INTL GROUP INC NEW COM		2017-07-27	2019-02-22
4000. AMERICAN INTL GROUP INC NEW COM		2016-01-26	2019-02-22
2000. ANADARKO PETROLEUM CORP		2019-02-22	2019-07-23
4000. ANADARKO PETROLEUM CORP		2019-02-22	2019-08-08
2000. ANHEUSER BUSCH INBEV SA/NV SPONSORED ADR		2012-10-09	2019-07-23
3000. ANHEUSER BUSCH INBEV SA/NV SPONSORED ADR		2012-10-09	2019-08-06
1000. ANHEUSER BUSCH INBEV SA/NV SPONSORED ADR		2010-12-23	2019-08-06

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

(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)
83,812		80,656	3,156
158,299		127,103	31,196
71,570		37,967	33,603
85,750		130,379	-44,629
171,501		224,672	-53,171
147,013		88,028	58,985
290,349		176,056	114,293
191,553		176,005	15,548
291,819		264,008	27,811
97,273		57,180	40,093

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

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) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
			3,156
			31,196
			33,603
			-44,629
			-53,171
			58,985
			114,293
			15,548
			27,811
			40,093

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d**

List and describe the kind(s) of property sold (e.g., real estate, (a) 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.)
250000. BB&T CORP UNSECD SR MEDIUM TERM NT CALL 12/15/19 @100		2018-02-26	2019-12-16
8099.555 INTERNATIONAL EQUITY CTF		2006-06-16	2019-12-13
25968.985 INTERNATIONAL EQUITY CTF		2012-10-09	2019-12-13
3000. CAPITAL ONE FINANCIAL CORPORATION		2015-06-12	2019-07-23
2400. CELGENE CORP		2016-09-29	2019-02-22
2000. CISCO SYSTEMS INCORPORATED		2017-07-27	2019-07-23
250000. CISCO SYS INC UNSECD SR GLOBAL NT		2017-07-28	2019-09-20
.333 CORTEVA INC COM		2018-03-26	2019-07-12
.333 DOW INC COM		2018-03-26	2019-05-09
.333 DUPONT DE NEMOURS INC COM		2018-03-26	2019-07-12

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h**

(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)
250,000		248,968	1,032
230,925		306,288	-75,363
740,397		964,025	-223,628
282,801		262,271	20,530
213,758		247,101	-33,343
115,437		63,069	52,368
250,000		249,125	875
9		11	-2
18		22	-4
23		32	-9

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l**

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) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
			1,032
			-75,363
			-223,628
			20,530
			-33,343
			52,368
			875
			-2
			-4
			-9

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d			
List and describe the kind(s) of property sold (e.g., real estate, (a) 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.)
400. GARRETT MOTION INC COM		2012-10-09	2019-02-22
120. GARRETT MOTION INC COM		2006-07-07	2019-02-22
1500. INTERNATIONAL BUSINESS MACHS		2012-10-09	2019-02-22
250000. LILLY ELI & CO SR UNSECD NT		2017-10-25	2019-03-15
3000. MICROSOFT CORPORATION		2012-10-09	2019-02-22
5000. NEWELL RUBBERMAID INC		2016-11-28	2019-07-23
2500. NEWELL RUBBERMAID INC		2017-10-25	2019-07-23
500. NEWELL RUBBERMAID INC		2017-10-25	2019-08-06
3000. NEWELL RUBBERMAID INC		2018-03-06	2019-08-06
4000. NEWELL RUBBERMAID INC		2018-05-23	2019-08-06

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

(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)
6,471		2,612	3,859
1,941		502	1,439
208,511		313,830	-105,319
250,000		250,000	
333,208		88,380	244,828
71,484		238,159	-166,675
35,742		101,010	-65,268
7,714		20,202	-12,488
46,285		82,220	-35,935
61,714		103,576	-41,862

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

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) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
			3,859
			1,439
			-105,319
			244,828
			-166,675
			-65,268
			-12,488
			-35,935
			-41,862

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

List and describe the kind(s) of property sold (e.g., real estate, (a) 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.)
.6 OCCIDENTAL PETROLEUM CORPORATION		2012-10-09	2019-09-26
250000. ORACLE CORP SR UNSECD NT		2015-10-16	2019-01-15
1000. PAYPAL HOLDINGS INC COM		2017-02-10	2019-07-23
666. RESIDEO TECHNOLOGIES INC COM		2012-10-09	2019-02-22
200. RESIDEO TECHNOLOGIES INC COM		2006-07-07	2019-02-22
103. SCE TR III FXD/FLTG RATE TR PFD SECS		2014-06-10	2019-04-23
3205. SCE TR III FXD/FLTG RATE TR PFD SECS		2014-06-11	2019-04-23
44. SCE TR III FXD/FLTG RATE TR PFD SECS		2014-06-05	2019-04-23
4148. SCE TR III FXD/FLTG RATE TR PFD SECS		2014-06-04	2019-04-23
250000. TORONTO DOMINION BK UNSECD SR MEDIUM TERM BK NT CANADA		2016-11-28	2019-08-13

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

(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)
27		49	-22
250,000		250,000	
119,507		40,639	78,868
17,046		6,992	10,054
5,119		1,344	3,775
2,509		2,753	-244
78,073		85,333	-7,260
1,072		1,167	-95
101,045		109,242	-8,197
250,000		246,843	3,157

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

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) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
			-22
			78,868
			10,054
			3,775
			-244
			-7,260
			-95
			-8,197
			3,157

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

List and describe the kind(s) of property sold (e.g., real estate, (a) 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.)
250000. UNILEVER CAP CORP SR UNSECD NT		2014-02-20	2019-03-06
300000. UNITED STATES TREAS NT DTD 01/31/14 1.500% DUE 01/31/19		2014-02-20	2019-01-31
600000. UNITED STATES TREAS NT DTD 02/17/09 2.750% DUE 02/15/19		2018-02-26	2019-02-15
600000. UNITED STATES TREAS NT DTD 05/15/09 3.125% DUE 05/15/19		2018-02-26	2019-05-15
200000. UNITED STATES TREAS NT DTD 11/16/09 3.375% DUE 11/15/19		2018-10-18	2019-11-15
500000. UNITED STATES TREAS NT DTD 10/01/12 1.000% DUE 09/30/19		2016-05-02	2019-09-30
5500. WELLS FARGO COMPANY		2013-10-22	2019-07-23
250000. WELLS FARGO & CO NEW UNSECD MEDIUM TERM SR NT		2016-09-29	2019-01-15
1500. XILINX INCOPRORATED		2012-10-09	2019-02-22
6000. JOHNSON CONTROLS INTL PLC COM		2017-02-10	2019-05-28

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

(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)
250,000		250,000	
300,000		299,415	585
600,000		600,000	
600,000		600,000	
200,000		200,000	
500,000		499,316	684
260,272		235,690	24,582
250,000		250,000	
183,820		50,228	133,592
231,352		251,585	-20,233

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

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) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
			585
			684
			24,582
			133,592
			-20,233

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d**

List and describe the kind(s) of property sold (e.g., real estate, <b>(a)</b> 2-story brick warehouse; or common stock, 200 shs. MLC Co.)	<b>(b)</b> How acquired P—Purchase D—Donation	<b>(c)</b> Date acquired (mo., day, yr.)	<b>(d)</b> Date sold (mo., day, yr.)
6000. JOHNSON CONTROLS INTL PLC COM		2017-07-27	2019-05-28
CAPITAL GAIN DIVIDENDS	P		

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h**

<b>(e)</b> Gross sales price	Depreciation allowed <b>(f)</b> (or allowable)	Cost or other basis <b>(g)</b> plus expense of sale	Gain or (loss) <b>(h)</b> (e) plus (f) minus (g)
231,352		240,992	-9,640
			119,066

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l**

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			<b>(l)</b> Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h))
<b>(i)</b> F.M.V. as of 12/31/69	<b>(j)</b> Adjusted basis as of 12/31/69	<b>(k)</b> Excess of col. (i) over col. (j), if any	
			-9,640

**Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment**

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> <i>Paid during the year</i>				
HOFSTRA UNIVERSITY 101 HOFSTRA UNIVERSITY HEMPSTEAD, NY 11550	N/A	PC	SUPPORTS MULTIPLE	98,140
BABSON COLLEGE231 FOREST STREET BABSON PARK, MA 024570310	N/A	PC	SUPPORTS MULTIPLE	105,000
HEALTH RESOURCES IN ACTION95 BERKELEY STREET BOSTON, MA 02116	N/A	PC	RESEARCH FELLOWSHIPS	624,480
<b>Total . . . . . ▶ 3a</b>				1,863,312

**Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment**

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> <i>Paid during the year</i>				
AMERICAN UNIVERSITY 4400 MASSACHUSETTS AVE NW WASHINGTON, DC 200168143	N/A	PC	SUPPORTS MULTIPLE	105,000
QUINNIPIAC UNIVERSITY 275 MOUNT CARMEL AVE HAMDEN, CT 065181905	N/A	PC	SUPPORTS MULTIPLE	60,000
COLBY COLLEGE4320 MAYFLOWER HILL WATERVILLE, ME 04901	N/A	PC	SUPPORTS MULTIPLE	60,000
<b>Total . . . . . ▶ 3a</b>				1,863,312

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> <i>Paid during the year</i>				
OBERLIN COLLEGE50 W LORAIN ST OBERLIN, OH 440741057	N/A	PC	SUPPORTS MULTIPLE	80,000
NORTHEASTERN UNIVERSITY 101 HAYDEN HALL 360 HUNTINGTON AVE BOSTON, MA 02115	N/A	PC	SUPPORTS MULTIPLE	105,000
WESLEYAN UNIVERSITY45 WYLLYS AVE MIDDLETOWN, CT 06459	N/A	PC	SUPPORTS MULTIPLE	105,000
<b>Total . . . . . ▶ 3a</b>				1,863,312

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> Paid during the year				
COLORADO COLLEGE 14 E CACHE LA POUDRE ST COLORADO SPRINGS, CO 80903	N/A	PC	SUPPORTS MULTIPLE	75,000
BARUCH COLLEGE FUND 55 LEXINGTON AVE NEW YORK, NY 10010	N/A	PC	SUPPORTS MULTIPLE	62,220
CLAREMONT MCKENNA COLLEGE 888 N COLUMBIA AVE CLAREMONT, CA 91711	N/A	PC	SUPPORTS MULTIPLE	125,000
<b>Total . . . . . ▶ 3a</b>				1,863,312

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> <i>Paid during the year</i>				
MACALESTER COLLEGE 1600 GRAND AVE ST PAUL, MN 55105	N/A	PC	SUPPORTS MULTIPLE	30,000
LEHIGH UNIVERSITY 27 MEMORIAL DR W BETHLEHEM, PA 18015	N/A	PC	SUPPORTS MULTIPLE	92,700
ONE TO WORLD INC307 7TH AVE 2003 NEW YORK, NY 10001	N/A	PC	UNRESTRICTED GENERAL	25,000
<b>Total . . . . . ▶ 3a</b>				1,863,312

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> <i>Paid during the year</i>				
RENSSELAER POLYTECHNIC INSTITUTE110 8TH ST TROY, NY 12180	N/A	PC	SUPPORTS MULTIPLE	55,772
FORDHAM UNIVERSITY SCHOOL OF LAW150 W 62ND ST NEW YORK, NY 10023	N.A	PC	SUPPORTS MULTIPLE	55,000
<b>Total . . . . . ▶ 3a</b>				1,863,312

**TY 2019 Accounting Fees Schedule****Name:** UW HAROLD S GENEEN CHARITABLE TR**EIN:** 13-7163001

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
TAX PREPARATION FEE - BOA	1,250	750		500

**TY 2019 General Explanation Attachment****Name:** UW HAROLD S GENEEN CHARITABLE TR**EIN:** 13-7163001**General Explanation Attachment**

Identifier	Return Reference	Explanation	
1	FEDERAL FOOTNOTE	PART VIII LIST OF OFFICERS AND DIRECTORS	THE COMPENSATION SHOWN ON THE RETURN THAT IS PAID TO BANK OF AMERICA, N.A. AS CORPORATE TRUSTEE IS NOT CALCULATED BASED UPON AN HOURLY RATE FOR THE TIME SPENT BY THE TRUSTEE; RATHER, BANK OF AMERICA'S COMPENSATION AS CORPORATE TRUSTEE IS CALCULATED USING A MARKET VALUE FEE SCHEDULE. THE TRUST OFFICER'S TIME SPENT PERFORMING ADMINISTRATIVE RESPONSIBILITIES FOR THIS FOUNDATION AVERAGES ONE HOUR PER WEEK. IN ADDITION, TIME IS SPENT BY OTHER STAFF MEMBERS FOR RECORDKEEPING, INVESTMENT MANAGEMENT, INCOME COLLECTION, RENDERING STATEMENTS AND ACCOUNTINGS, REGULATORY REPORTING, REGULATORY COMPLIANCE, AND TAX SERVICES.

## TY 2019 Investments Corporate Bonds Schedule

**Name:** UW HAROLD S GENEEN CHARITABLE TR

**EIN:** 13-7163001

### Investments Corporate Bonds Schedule

Name of Bond	End of Year Book Value	End of Year Fair Market Value
055451AP3 BHP BILLITON FIN USA		
084670BH0 BERKSHIRE HATHAWAY I		
59156RBE7 METLIFE INC UNSECD S		
718172AN9 PHILIP MORRIS INTL I		
25243YAR0 DIAGEO CAP PLC CO GT		
035242AE6 ANHEUSER-BUSCH INBEV		
191216AY6 COCA COLA CO SR UNSE		
437076BB7 HOME DEPOT INC SR UN		
904764AQ0 UNILEVER CAP CORP SR		
68389X AQ8 ORACLE CORP SR UNSEC		
713448CB2 PEPSICO INC SR UNSEC		
91324PCL4 UNITEDHEALTH GROUP I		
037833AX8 APPLE INC SR UNSECD	248,193	249,903
58933YAS4 MERCK & CO INC NEW S	250,063	249,938
594918AY0 MICROSOFT CORP SR UN	250,159	250,003
94974BFQ8 WELLS FARGO & CO NEW		
89114QBJ6 TORONTO DOMINION BK		
17275RBG6 CISCO SYS INC UNSECD		
25468PDP8 DISNEY WALT CO NEW S	250,099	249,993
532457BF4 LILLY ELI & CO SR UN		

**Investments Corporate Bonds Schedule**

<b>Name of Bond</b>	<b>End of Year Book Value</b>	<b>End of Year Fair Market Value</b>
718172BX6 PHILIP MORRIS INTL I	250,041	249,965
05531FAS2 BB&T CORP UNSECD SR		
263901AC4 DUKE ENERGY IND INC	251,086	252,558
91324PCM2 UNITEDHEALTH GROUP I	248,725	251,040
46625HQJ2 JPMORGAN CHASE & CO	250,661	251,935
90331HNP4 U S BK NATL ASSN CIN	250,834	253,990
91324PBT8 UNITEDHEALTH GROUP I	252,434	256,100

**TY 2019 Investments Corporate Stock Schedule**

**Name:** UW HAROLD S GENEEN CHARITABLE TR  
**EIN:** 13-7163001

**Investments Corporation Stock Schedule**

Name of Stock	End of Year Book Value	End of Year Fair Market Value
166764100 CHEVRON CORP COM	450,765	482,040
30231G102 EXXON MOBIL CORP COM	711,823	593,130
674599105 OCCIDENTAL PETE CORP	420,671	254,389
806857108 SCHLUMBERGER LTD COM	339,875	221,100
847560109 SPECTRA ENERGY CORP		
61166W101 MONSANTO CO NEW COM		
384802104 GRAINGER W W INC COM		
438516106 HONEYWELL INTL INC C	277,545	920,400
775781206 ROLLS-ROYCE HLDGS PL	281,547	208,173
94106L109 WASTE MGMT INC DEL C	260,608	934,472
548661107 LOWES COS INC COM	236,204	958,080
87612E106 TARGET CORP COM	275,250	589,766
887317303 TIME WARNER INC NEW		
03524A108 ANHEUSER BUSCH INBEV		
23636T100 DANONE SPONSORED ADR	203,724	298,638
582839106 MEAD JOHNSON NUTRITI		
609207105 MONDELEZ INTL INC CO	321,260	688,500
713448108 PEPSICO INC COM	471,564	929,356
742718109 PROCTER & GAMBLE CO	200,711	374,700
002824100 ABBOTT LABS COM	136,211	364,812
03073E105 AMERISOURCEBERGEN CO		
670100205 NOVO-NORDISK A S ADR		
771195104 ROCHE HLDG LTD SPONS	282,400	486,396
17275R102 CISCO SYS INC COM	420,438	959,200
219350105 CORNING INC COM	243,150	538,535
594918104 MICROSOFT CORP COM	346,114	1,892,400
68389X105 ORACLE CORP COM	397,794	635,760
983919101 XILINX INC COM	151,210	488,850
780905691 ROYCE OPPORTUNITY FU	1,034,247	992,003
693390841 PIMCO HIGH YIELD FD	142,765	140,120

Investments Corporation Stock Schedule

Name of Stock	End of Year Book Value	End of Year Fair Market Value
722005667 PIMCO COMMODITY REAL	214,318	72,092
19766J607 COLUMBIA QUALITY INC	286,600	278,500
1261291M7 INTERMEDIATE AGGREGA	776,929	775,244
1261292H7 INTERNATIONAL EQUITY		
29099J109 EMERGING MARKETS STO	1,055,931	1,299,896
29699T994 SELECT LARGE CAP GRO		
902973817 US BANCORP DEL PRFD		
40414L109 HCP INC REIT		
G29183103 EATON CORP PLC COM	369,402	568,320
071813109 BAXTER INTL INC COM	142,695	292,670
66987V109 NOVARTIS A G SPONSOR	218,739	378,760
717081103 PFIZER INC COM	203,000	313,440
38141G104 GOLDMAN SACHS GROUP	412,618	528,839
949746101 WELLS FARGO & CO NEW		
032654105 ANALOG DEVICES INC C	331,873	653,620
459200101 INTERNATIONAL BUSINE		
535678106 LINEAR TECHNOLOGY CO		
197199805 COLUMBIA ACORN USA F		
693475857 PNC FINL SVCS GROUP	199,564	205,425
78409B207 SCE TR III FXD/FLTG		
98978V103 ZOETIS INC CL A COM	178,601	794,100
054937107 BB&T CORP COM		
254709108 DISCOVER FINL SVCS C		
4812A4351 JPMORGAN STRATEGIC I	381,660	367,040
857477608 STATE STR CORP DEP S	211,378	219,680
828806109 SIMON PPTY GROUP INC		
872540109 TJX COS INC NEW COM	242,084	451,844
14040H105 CAPITAL ONE FINL COR		
74925K581 BOSTON PARTNERS LONG	375,000	397,000
904504842 UNDISCOVERED MANAGER	1,169,980	1,223,040

## Investments Corporation Stock Schedule

Name of Stock	End of Year Book Value	End of Year Fair Market Value
94987W737 WELLS FARGO ABSOLUTE	361,350	371,910
19247U106 COHEN & STEERS INSTI	869,780	890,910
747545101 QUALITY CARE PPTYS I		
651229106 NEWELL RUBBERMAID IN		
963320106 WHIRLPOOL CORP COM		
G97822103 PERRIGO CO COM		
151020104 CELGENE CORP COM		
879369106 TELEFLEX INC COM	150,605	414,084
H1467J104 CHUBB LTD COM	365,471	778,300
026874784 AMERICAN INTL GROUP		
70450Y103 PAYPAL HOLDINGS INC	223,580	757,190
378690820 GLENMEDE SMALL CAPIT	1,052,690	984,240
29250N105 ENBRIDGE INC COM	413,008	556,780
G51502105 JOHNSON CONTROLS INT		
47803W406 JOHN HANCOCK FDS III	266,160	267,240
09256H286 BLACKROCK STRATEGIC		
315807552 FIDELITY ADVISOR FLO	173,700	170,640
949746465 WELLS FARGO & CO NEW	224,560	230,640
26078J100 DOWDUPONT INC COM		
G7S00T104 PENTAIR PLC COM	258,482	275,220
574599106 MASCO CORP COM	476,404	575,880
366505105 GARRETT MOTION INC C		
46625H100 J P MORGAN CHASE & C	325,590	418,200
867914103 SUNTRUST BKS INC COM		
76118Y104 RESIDEO TECHNOLOGIES		
00206R102 AT&T INC COM		
09260B382 BLACKROCK STRATEGIC	492,851	498,500
316773605 FIFTH THIRD BANCORP	199,098	200,970
22052L104 CORTEVA INC COM	102,686	98,523
260557103 DOW INC COM	200,531	182,415

## Investments Corporation Stock Schedule

<b>Name of Stock</b>	<b>End of Year Book Value</b>	<b>End of Year Fair Market Value</b>
26614N102 DUPONT DE NEMOURS IN	402,668	321,000
902494103 TYSON FOODS INC CL A	244,166	273,120
H01301128 ALCON INC COM	30,441	45,256
98956P102 ZIMMER BIOMET HLDGS	276,466	299,360
617446448 MORGAN STANLEY COM	394,483	460,080
89832Q109 TRUIST FINL CORP COM	717,332	911,258

**TY 2019 Investments Government Obligations Schedule****Name:** UW HAROLD S GENEEN CHARITABLE TR**EIN:** 13-7163001**US Government Securities - End  
of Year Book Value:**

6,566,959

**US Government Securities - End  
of Year Fair Market Value:**

6,605,402

**State & Local Government  
Securities - End of Year Book  
Value:****State & Local Government  
Securities - End of Year Fair  
Market Value:**

# TY 2019 Legal Fees Schedule

**Name:** UW HAROLD S GENEEN CHARITABLE TR

**EIN:** 13-7163001

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
LEGAL FEES - CHARITABLE	76,767			76,767

**TY 2019 Other Assets Schedule****Name:** UW HAROLD S GENEEN CHARITABLE TR**EIN:** 13-7163001**Other Assets Schedule**

Description	Beginning of Year - Book Value	End of Year - Book Value	End of Year - Fair Market Value
991822222 BAROR INTERNATIONAL		0	17,710
991822230 ST MARTIN'S PRESS BO		0	0

**TY 2019 Other Decreases Schedule****Name:** UW HAROLD S GENEEN CHARITABLE TR**EIN:** 13-7163001

Description	Amount
INCOME ADJUSTMENT	20,507
ADJUST CARRYING VALUE	18,613

**TY 2019 Other Expenses Schedule****Name:** UW HAROLD S GENEEN CHARITABLE TR**EIN:** 13-7163001**Other Expenses Schedule**

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
OTHER ALLOCABLE EXPENSE-PRINCI	2,787	2,787		0
OTHER ALLOCABLE EXPENSE-INCOME	2,788	2,788		0
OTHER INVESTMENT FEE	2,110	2,110		0
STATE FILING FEE	750	0		750

**TY 2019 Other Income Schedule****Name:** UW HAROLD S GENEEN CHARITABLE TR**EIN:** 13-7163001**Other Income Schedule**

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
EXCISE TAX REFUND	11,111	0	
ROYALTY INCOME	15,169	15,169	

**TY 2019 Other Increases Schedule**

**Name:** UW HAROLD S GENEEN CHARITABLE TR

**EIN:** 13-7163001

Description	Amount
RETURNED GRANT	7,876

**TY 2019 Other Professional Fees Schedule****Name:** UW HAROLD S GENEEN CHARITABLE TR**EIN:** 13-7163001

<b>Category</b>	<b>Amount</b>	<b>Net Investment Income</b>	<b>Adjusted Net Income</b>	<b>Disbursements for Charitable Purposes</b>
INVESTMENT ADVISORY FEES	2,538	2,538		
OTHER PROFESSIONAL FEES- INVST	1,775	1,775		

**TY 2019 Taxes Schedule****Name:** UW HAROLD S GENEEN CHARITABLE TR**EIN:** 13-7163001

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FOREIGN TAXES	24,791	24,791		0
EXCISE TAX ESTIMATES	21,000	0		0