

Form **990-PF**

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

OMB No 1545-0047

2019

Department of the Treasury
Internal Revenue Service

▶ Do not enter social security numbers on this form as it may be made public.

▶ Go to www.irs.gov/Form990PF for instructions and the latest information.

Open to Public Inspection

For calendar year 2019 or tax year beginning , and ending

Name of foundation
RIP VAN WINKLE FOUNDATION
DBA THE LOU GEHRIG SOCIETY

Number and street (or P O box number if mail is not delivered to street address) Room/suite
P.O. BOX 455

City or town, state or province, country, and ZIP or foreign postal code
HILLSDALE NY 12529

A Employer identification number
14-1365186

B Telephone number (see instructions)
518-325-4443

C If exemption application is pending, check here **6**

D 1 Foreign organizations, check here
2 Foreign organizations meeting the 85% test, check here and attach computation

E If private foundation status was terminated under section 507(b)(1)(A), check here

F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here

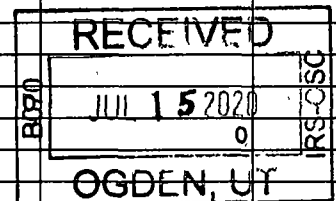
G Check all that apply Initial return Initial return of a former public charity
 Final return Amended return
 Address change Name change

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

I Fair market value of all assets at end of year (from Part II, col (c), line 16) ▶ \$ **1,230,799** (Part I, column (d), must be on cash basis)

J Accounting method Cash Accrual
 Other (specify)

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions))		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
1	Contributions, gifts, grants, etc., received (attach schedule)	126,654			
2	Check <input type="checkbox"/> if the foundation is not required to attach Sch B				
3	Interest on savings and temporary cash investments	2,319	2,319		
4	Dividends and interest from securities	26,406	26,406		
5a	Gross rents				
b	Net rental income or (loss)				
6a	Net gain or (loss) from sale of assets not on line 10 STMT 1	-18,113			
b	Gross sales price for all assets on line 6a 1,106,162				
7	Capital gain net income (from Part IV, line 2)				
8	Net short-term capital gain				
9	Income modifications				
10a	Gross sales less returns and allowances				
b	Less Cost of goods sold				
c	Gross profit or (loss) (attach schedule)				
11	Other income (attach schedule) STMT 2	77,468	77,468		
12	Total. Add lines 1 through 11	214,734	106,193	0	
13	Compensation of officers, directors, trustees, etc	24,376	12,188		12,188
14	Other employee salaries and wages				
15	Pension plans, employee benefits				
16a	Legal fees (attach schedule) SEE STMT 3	3,132	3,132		
b	Accounting fees (attach schedule) STMT 4	2,160	1,080		1,080
c	Other professional fees (attach schedule)				
17	Interest				
18	Taxes (attach schedule) (see instructions) STMT 5	4,547	1,304		
19	Depreciation (attach schedule) and depletion				
20	Occupancy				
21	Travel, conferences, and meetings	601	300		301
22	Printing and publications	40	20		20
23	Other expenses (att sch) STMT 6 STMT 7	23,827	4,514		2,078
24	Total operating and administrative expenses. Add lines 13 through 23	58,683	22,538	0	15,667
25	Contributions, gifts, grants paid	35,000			35,000
26	Total expenses and disbursements. Add lines 24 and 25	93,683	22,538	0	50,667
27	Subtract line 26 from line 12				
a	Excess of revenue over expenses and disbursements	121,051			
b	Net investment income (if negative, enter -0-)		83,655		
c	Adjusted net income (if negative, enter -0-)			0	



SCANNED OCT 22 2021 Revenue Operating and Administrative Expenses

	Beginning of year	End of year		
		(a) Book Value	(b) Book Value	(c) Fair Market Value
Part II Balance Sheets Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)				
Assets	1 Cash – non-interest-bearing			
	2 Savings and temporary cash investments	118,073	10,320	10,321
	3 Accounts receivable ▶ Less allowance for doubtful accounts ▶			
	4 Pledges receivable ▶ Less allowance for doubtful accounts ▶			
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
	7 Other notes and loans receivable (att 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) STMT 8	98,978	99,765	99,765
	b Investments – corporate stock (attach schedule) SEE STMT 9	693,251	1,047,586	1,047,586
	c Investments – corporate bonds (attach schedule)			
	11 Investments – land, buildings, and equipment basis ▶ 2,072 Less accumulated depreciation (attach sch) ▶ STMT 10	2,072	2,072	2,072
	12 Investments – mortgage loans			
	13 Investments – other (attach schedule) SEE STATEMENT 11	47,993	41,376	41,376
	14 Land, buildings, and equipment basis ▶ 258,529 Less accumulated depreciation (attach sch) ▶ STMT 12 238,850	36,914	19,679	19,679
15 Other assets (describe ▶ SEE STATEMENT 13)	10,000	10,000	10,000	
16 Total assets (to be completed by all filers – see the instructions Also, see page 1, item I)	1,007,281	1,230,798	1,230,799	
Liabilities	17 Accounts payable and accrued expenses			
	18 Grants payable			
	19 Deferred revenue			
	20 Loans from officers, directors, trustees, and other disqualified persons			
	21 Mortgages and other notes payable (attach schedule)			
	22 Other liabilities (describe ▶)			
	23 Total liabilities (add lines 17 through 22)	0	0	
Net Assets or Fund Balances	Foundations that follow FASB ASC 958, check here and complete lines 24, 25, 29, and 30. ▶ <input checked="" type="checkbox"/>			
	24 Net assets without donor restrictions	1,007,281	1,230,798	
	25 Net assets with donor restrictions			
	Foundations that do not follow FASB ASC 958, check here and complete lines 26 through 30. ▶ <input type="checkbox"/>			
	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 (see instructions)	1,007,281	1,230,798		
30 Total liabilities and net assets/fund balances (see instructions)	1,007,281	1,230,798		

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	1,007,281
2 Enter amount from Part I, line 27a	2	121,051
3 Other increases not included in line 2 (itemize) ▶ SEE STATEMENT 14	3	102,466
4 Add lines 1, 2, and 3	4	1,230,798
5 Decreases not included in line 2 (itemize) ▶	5	
6 Total net assets or fund balances at end of year (line 4 minus line 5) – Part II, column (b), line 29	6	1,230,798

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 SEE WORKSHEET			
b			
c			
d			
e			

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) ((e) plus (f) minus (g))
a			
b			
c			
d			
e			

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) FMV as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
a			
b			
c			
d			
e			

2 Capital gain net income or (net capital loss)	[If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7]	2	-3,976
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) See instructions If (loss), enter -0- in Part I line 8		3	-12,280

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	35,343	1,090,352	0.032414
2017	40,963	1,049,504	0.039031
2016	65,693	984,413	0.066733
2015	42,106	973,488	0.043253
2014	60,870	1,115,487	0.054568

2 Total of line 1, column (d)	2	0.235999
3 Average distribution ratio for the 5-year base period - divide the total on line 2 by 5 0, or by the number of years the foundation has been in existence if less than 5 years	3	0.047200
4 Enter the net value of noncharitable-use assets for 2019 from Part X, line 5	4	1,120,721
5 Multiply line 4 by line 3	5	52,898
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	837
7 Add lines 5 and 6	7	53,735
8 Enter qualifying distributions from Part XII, line 4 If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate See the Part VI instructions	8	50,667

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	1,673
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	1,673
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	1,673
6	Credits/Payments		
a	2019 estimated tax payments and 2018 overpayment credited to 2019	6a	1,600
b	Exempt foreign organizations – tax withheld at source	6b	
c	Tax paid with application for extension of time to file (Form 8868)	6c	
d	Backup withholding erroneously withheld	6d	
7	Total credits and payments Add lines 6a through 6d	7	1,600
8	Enter any penalty for underpayment of estimated tax Check here <input type="checkbox"/> if Form 2220 is attached	8	
9	Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9	73
10	Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	
11	Enter the amount of line 10 to be Credited to 2020 estimated tax Refunded	11	

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
1b 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
1c Did the foundation file Form 1120-POL for this year?	N/A	
2 Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year (1) On the foundation ▶ \$ _____ (2) On foundation managers ▶ \$ _____		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ▶ \$ _____		
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?	N/A	
4b If "Yes," has it filed a tax return on Form 990-T for this year?		X
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 ▶ NY		
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 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

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 ► THELOUGEHRIGSOCIETY.ORG	X	
14 The books are in care of ► JULIA BRANDI P.O. BOX 455 Located at ► HILLSDALE NY ZIP+4 ► 12529 Telephone no ► 518-325-4443		
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		<input type="checkbox"/>
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 type="checkbox"/> Yes	<input checked="" 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	N/A <input type="checkbox"/>	
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?	N/A	
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 ► 20 , 20 , 20 , 20	<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 ► 20 , 20 , 20 , 20		
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?	<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

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. Organizations relying on a current notice regarding disaster assistance, check here **N/A**

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

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? Yes No
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

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. See instructions.

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
JULIA BRANDI P.O. BOX 455 HILLSDALE NY 12529	EXEC VP/TREA 12.00	24,376	0	0
R. RODNEY HOWELL, MD P.O. BOX 455 HILLSDALE NY 12529	PRESIDENT 1.50	0	0	0
CALDWELL B. ESSELSTYN P.O. BOX 455 HILLSDALE NY 12529	CHAIRMAN/CEO 1.50	0	0	0
JOHN E. HOWELL P.O. BOX 455 HILLSDALE NY 12529	DIRECTOR 1.50	0	0	0

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

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

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

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

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

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

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

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 TO EDUCATE AND STIMULATE CONSTRUCTIVE CHANGE AND IMPROVEMENTS TO BENEFIT THE HEALTH OF THE GENERAL PUBLIC.	50,667
2	
3	
4	

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

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2

	Amount
1 N/A	
2	
3 All other program-related investments. See instructions.	

Total. Add lines 1 through 3 ▶

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	1,031,484
b	Average of monthly cash balances	1b	65,936
c	Fair market value of all other assets (see instructions)	1c	40,368
d	Total (add lines 1a, b, and c)	1d	1,137,788
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	1,137,788
4	Cash deemed held for charitable activities. Enter 1½% of line 3 (for greater amount, see instructions)	4	17,067
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	1,120,721
6	Minimum investment return. Enter 5% of line 5	6	56,036

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	56,036
2a	Tax on investment income for 2019 from Part VI, line 5	2a	1,673
b	Income tax for 2019 (This does not include the tax from Part VI)	2b	
c	Add lines 2a and 2b	2c	1,673
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	54,363
4	Recoveries of amounts treated as qualifying distributions	4	
5	Add lines 3 and 4	5	54,363
6	Deduction from distributable amount (see instructions)	6	
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	54,363

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	50,667
b	Program-related investments – total from Part IX-B	1b	
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	50,667
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b. See instructions.	5	0
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	50,667

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				54,363
2 Undistributed income, if any, as of the end of 2019				
a Enter amount for 2018 only			36,862	
b Total for prior years 20____, 20____, 20____				
3 Excess distributions carryover, if any, to 2019				
a From 2014				
b From 2015				
c From 2016				
d From 2017				
e From 2018				
f Total of lines 3a through e				
4 Qualifying distributions for 2019 from Part XII, line 4 ▶ \$ 50,667				
a Applied to 2018, but not more than line 2a			36,862	
b Applied to undistributed income of prior years (Election required – see instructions)				
c Treated as distributions out of corpus (Election required – see instructions)				
d Applied to 2019 distributable amount				13,805
e Remaining amount distributed out of corpus				
5 Excess distributions carryover applied to 2019 (If an amount appears in column (d), the same amount must be shown in column (a))				
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5				
b Prior years' undistributed income Subtract line 4b from line 2b				
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed				
d Subtract line 6c from line 6b Taxable amount – see instructions				
e Undistributed income for 2018 Subtract line 4a from line 2a Taxable amount – see instructions				
f Undistributed income for 2019 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2020				40,558
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required—see instructions)				
8 Excess distributions carryover from 2014 not applied on line 5 or line 7 (see instructions)				
9 Excess distributions carryover to 2020. Subtract lines 7 and 8 from line 6a				
10 Analysis of line 9				
a Excess from 2015				
b Excess from 2016				
c Excess from 2017				
d Excess from 2018				
e Excess from 2019				

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

- 1a 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 Check box to indicate whether the foundation is a private operating foundation described in section 4942(j)(3) or 4942(j)(5)

	Tax year				(e) Total
	(a) 2019	(b) 2018	(c) 2017	(d) 2016	
2a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed					
b 85% of line 2a					
c Qualifying distributions from Part XII, line 4, for each year listed					
d Amounts included in line 2c not used directly for active conduct of exempt activities					
e Qualifying distributions made directly for active conduct of exempt activities Subtract line 2d from line 2c					
3 Complete 3a, b, or c for the alternative test relied upon					
a "Assets" alternative test – enter					
(1) Value of all assets					
(2) Value of assets qualifying under section 4942(j)(3)(B)(i)					
b "Endowment" alternative test – enter 2/3 of minimum investment return shown in Part X, line 6, for each year listed					
c "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.)

- 1 Information Regarding Foundation Managers:
 - a List any managers of the foundation who have contributed more than 2% of the total contributions received by the foundation before the close of any tax year (but only if they have contributed more than \$5,000) (See section 507(d)(2))
NONE
 - b List any managers of the foundation who own 10% or more of the stock of a corporation (or an equally large portion of the ownership of a partnership or other entity) of which the foundation has a 10% or greater interest
NONE
- 2 Information Regarding Contribution, Grant, Gift, Loan, Scholarship, etc., Programs:

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

 - a The name, address, and telephone number or email address of the person to whom applications should be addressed
**THE RIP VAN WINKLE FOUNDATION 518-325-4443
P.O. BOX 455 HILLSDALE NY 12529**
 - b The form in which applications should be submitted and information and materials they should include
SEE STATEMENT 15
 - c Any submission deadlines
LETTER OF INTENT BY APRIL 1, PROPOSAL BY JULY 1.
 - d Any restrictions or limitations on awards, such as by geographical areas, charitable fields, kinds of institutions, or other factors
SEE STATEMENT 16

Part XV. Supplementary Information (continued)

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i> SEAN PATRICK FRENCH MEMORIAL RUN P.O. BOX 38195 ALBANY NY 12203		NC COMBAT UNDERAGE	DRINKING	5,000
COLUMBIA CO. HEALTHCARE CONSORTIUM 325 COLUMBIA ST HUDSON NY 12534		NY MEDICAL TRANSPORTATION PROGRAM EQUIP		30,000
Total			▶ 3a	35,000
b <i>Approved for future payment</i> N/A				
Total			▶ 3b	

Schedule B(Form 990, 990-EZ,
or 990-PF)Department of the Treasury
Internal Revenue Service**Schedule of Contributors**

OMB No 1545-0047

2019▶ Attach to Form 990, Form 990-EZ, or Form 990-PF.
▶ Go to www.irs.gov/Form990 for the latest information.

Name of the organization

**RIP VAN WINKLE FOUNDATION
DBA THE LOU GEHRIG SOCIETY**

Employer identification number

14-1365186

Organization type (check one)

Filers of:

Section:

Form 990 or 990-EZ

 501(c)() (enter number) organization 4947(a)(1) nonexempt charitable trust not treated as a private foundation 527 political organization

Form 990-PF

 501(c)(3) exempt private foundation 4947(a)(1) nonexempt charitable trust treated as a private foundation 501(c)(3) taxable private foundationCheck if your organization is covered by the **General Rule** or a **Special Rule**.**Note:** Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule. See instructions.**General Rule**

-
- For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, contributions totaling \$5,000 or more (in money or property) from any one contributor. Complete Parts I and II. See instructions for determining a contributor's total contributions.

Special Rules

- For an organization described in section 501(c)(3) filing Form 990 or 990-EZ that met the 33¹/₃% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi), that checked Schedule A (Form 990 or 990-EZ), Part II, line 13, 16a, or 16b, and that received from any one contributor, during the year, total contributions of the greater of (1) \$5,000, or (2) 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1. Complete Parts I and II.
- For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than \$1,000 *exclusively* for religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals. Complete Parts I (entering "N/A" in column (b) instead of the contributor name and address), II, and III.
- For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions *exclusively* for religious, charitable, etc., purposes, but no such contributions totaled more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Don't complete any of the parts unless the **General Rule** applies to this organization because it received *nonexclusively* religious, charitable, etc., contributions totaling \$5,000 or more during the year. ▶ \$

Caution: An organization that isn't covered by the General Rule and/or the Special Rules doesn't file Schedule B (Form 990, 990-EZ, or 990-PF), but it **must** answer "No" on Part IV, line 2, of its Form 990, or check the box on line H of its Form 990-EZ or on its Form 990-PF, Part I, line 2, to certify that it doesn't meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF).

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

Schedule B (Form 990, 990-EZ, or 990-PF) (2019)

Name of organization

RIP VAN WINKLE FOUNDATION

Employer identification number

14-1365186

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

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	ESTATE OF JUDITH ANN MARRIOTT JOLIET 900 SOUTH MAIN ST PO BOX 1118 LILLINGTON NC 27546	\$ 126,654	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)

Form 990-PF	Capital Gains and Losses for Tax on Investment Income	2019
For calendar year 2019, or tax year beginning _____, and ending _____		

Name RIP VAN WINKLE FOUNDATION DBA THE LOU GEHRIG SOCIETY	Employer Identification Number 14-1365186
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(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)
(1) 5000 SHS ABB LTD SPONS ADR	P	03/07/19	04/23/19
(2) 1500 SHS CVS HEALTH CORPORATION	P	10/15/18	06/28/19
(3) 500 SHS COHERENT INC	P	11/03/18	04/11/19
(4) 2500 SHS FREEPORT-MCMORAN INC CLASS	P	10/15/18	09/24/19
(5) 5000 SHS NEW YORK COMMUNITY BANCORP	P	07/11/18	03/07/19
(6) 100000 SHS CAMBRIDGE TR CO	P	05/30/19	08/05/19
(7) 1500 SHS AT&T INC	P	06/15/18	11/06/19
(8) US TREASURY BILL DUE 5/30/19	P	11/29/18	05/30/19
(9) US TREASURY BILL DUE 11/29/19	P	08/05/19	11/29/19
(10)			
(11)			
(12)			
(13)			
(14)			
(15)			

(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)
(1) 102,414		95,225	7,189
(2) 81,212		110,974	-29,762
(3) 75,249		62,094	13,155
(4) 25,080		32,546	-7,466
(5) 61,082		58,139	2,943
(6) 100,000		100,000	
(7) 58,373		50,069	8,304
(8) 100,000		98,902	1,098
(9) 100,000		99,437	563
(10)			
(11)			
(12)			
(13)			
(14)			
(15)			

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) OR Losses (from col (h))
(i) FMV as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
(1)			7,189
(2)			-29,762
(3)			13,155
(4)			-7,466
(5)			2,943
(6)			
(7)			8,304
(8)			1,098
(9)			563
(10)			
(11)			
(12)			
(13)			
(14)			
(15)			

0466 Rip Van Winkle Foundation
 14-1365186
 FYE: 12/31/2019

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Statement 1 - Form 990-PF, Part I, Line 6a - Sale of Assets

Whom Sold	Description	Date Acquired	Date Sold	Sale Price	How Received	Cost	Expense	Depreciation	Net Gain / Loss
1000 SHS CVS HEALTH CORPORATION		5/21/19	6/28/19	\$ 54,141	PURCHASE	53,704	\$	\$	437
5000 SHS NEW YORK COMMUNITY BANCORP		5/21/19	9/24/19	62,735	PURCHASE	51,844			10,891
3000 SHS LAZARD LTD		11/13/18	9/19/19	107,993	PURCHASE	117,418			-9,425
1500 SHS LAZARD LTD		10/11/19	11/01/19	55,682	PURCHASE	55,584			98
500 SHS GILEAD SCIENCES INC		12/19/16	7/12/19	33,006	PURCHASE	37,740			-4,734
500 SHS GILEAD SCIENCES INC		10/24/17	7/12/19	33,006	PURCHASE	40,382			-7,376
1500 SHS SPDR EURO STOXX		5/27/15	9/24/19	56,189	PURCHASE	60,217			-4,028
TOTAL				\$ 402,752	\$	416,889	\$	0	\$ -14,137

Statement 2 - Form 990-PF, Part I, Line 11 - Other Income

Description	Revenue per Books	Net Investment Income	Adjusted Net Income
ROYALTY INCOME	\$ 77,468	\$ 77,468	\$
TOTAL	\$ 77,468	\$ 77,468	\$ 0

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Statement 3 - Form 990-PF, Part I, Line 16a - Legal Fees

Description	Total	Net Investment	Adjusted Net	Charitable Purpose
MCLAUGHLIN & STERN	\$ 3,132	\$ 3,132	\$	\$
TOTAL	\$ 3,132	\$ 3,132	\$ 0	\$ 0

Statement 4 - Form 990-PF, Part I, Line 16b - Accounting Fees

Description	Total	Net Investment	Adjusted Net	Charitable Purpose
CUSACK AND COMPANY CPAS LLC	\$ 2,160	\$ 1,080	\$	\$ 1,080
TOTAL	\$ 2,160	\$ 1,080	\$ 0	\$ 1,080

Statement 5 - Form 990-PF, Part I, Line 18 - Taxes

Description	Total	Net Investment	Adjusted Net	Charitable Purpose
FEDERAL TAX ON INVESTMENT INCOME	\$ 2,262	\$	\$	\$
FOREIGN TAX	981			
PROPERTY TAX	1,304	1,304		
TOTAL	\$ 4,547	\$ 1,304	\$ 0	\$ 0

Statement 6 - Form 990-PF, Part I, Line 23 - Amortization

Description	Date Acquired	Cost Basis	Prior Year Amortization	Life	Current Year Amortization	Net Investment Income	Adjusted Net Income	COGS
GOODWILL - LEGAL	5/30/05	\$ 14,333	\$ 12,992	15	\$ 956	\$	\$	
GOODWILL -RIGHTS TO NAME	2/28/06	225,000	192,616	15	15,000			

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Statement 6 - Form 990-PF, Part I, Line 23 - Amortization (continued)

Description	Date Acquired	Cost Basis	Prior Year Amortization	Life	Current Year Amortization	Net Investment Income	Adjusted Net Income	COGS
GOODWILL - LEGAL	6/12/06	\$ 18,921	\$ 15,835	15	\$ 1,261	\$		
TRADEMARK	6/17/09	275	173	15	18			
TOTAL		\$ 258,529	\$ 221,616		\$ 17,235	\$ 0	\$ 0	

Statement 7 - Form 990-PF, Part I, Line 23 - Other Expenses

Description	Total	Net Investment	Adjusted Net	Charitable Purpose
EXPENSES	\$	\$	\$	\$
FILING FEES	275	138		137
INSURANCE	2,474	1,237		1,237
INVESTMENT EXPENSES	2,311	2,311		
POSTAGE	28	14		14
SUPPLIES	674	337		337
WEBSITE	625	312		313
PO BOX RENTAL	80	40		40
TRADEMARK FEES	125	125		
TOTAL	\$ 6,592	\$ 4,514	\$ 0	\$ 2,078

Statement 8 - Form 990-PF, Part II, Line 10a - US and State Government Investments

Description	Beginning of Year	End of Year	Basis of Valuation	Fair Market Value
US TREASURY BILL DUE 2/27/20	\$ 98,978	\$ 99,765	MARKET	\$ 99,765
TOTAL	\$ 98,978	\$ 99,765		\$ 99,765

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Statement 9 - Form 990-PF, Part II, Line 10b - Corporate Stock Investments

Description	Beginning of Year	End of Year	Basis of Valuation	Fair Market Value
AXA INVESTMENTS, 777.64433 SHS	\$ 15,996	21,891	MARKET	\$ 21,891
AT&T INC., 1000 SHS	71,350	39,080	MARKET	39,080
BANCO SANTANDER CENT, 30000 SHS		124,200	MARKET	124,200
COHERENT INC. 500 SHS	52,855		MARKET	
CVS HEALTH CORP 1500 SHS	98,280	32,800	MARKET	32,800
FREEMONT-MCMORAN INC., 2500 SHS	25,775	32,490	MARKET	32,490
GILEAD SCIENCES INC., 500 SHARES	62,550	93,980	MARKET	93,980
GLAXOSMITHKLINE PLC 2,000 SHARES		55,400	MARKET	55,400
GLOBAL X FDS URANIUM 5000 SHS	58,350	34,175	MARKET	34,175
GLOBAL X FDS LITHIUM 1,250 SHS		65,360	MARKET	65,360
KERING S A 1,000 SHS		96,390	MARKET	96,390
KRAFT HEINZ CO 3,000 SHS		59,940	MARKET	59,940
LAZARD LTD 1500 SHS	110,730	90,950	MARKET	90,950
MERCK & CO. INC., 1000 SHS	76,410		MARKET	
NEW YORK COMMUNITY BANCORP 5000 SHS	47,050	103,025	MARKET	103,025
OCCIDENTAL PETE CORP 2,500 SHS		12,700	MARKET	12,700
SAN JUAN BASIN RTY TR, 5000 SHS	24,000	75,300	MARKET	75,300
SANOFI ADR SNY 1,500 SHS			MARKET	
SPDR EURO STOXX 50, 1500 SHS	49,905	53,940	MARKET	53,940
TAPESTRY INC. 2000 SHS		55,965	MARKET	55,965
VIRTU FINANCIAL INC., 3500 SHS			MARKET	
TOTAL	\$ 693,251	\$ 1,047,586		\$ 1,047,586

Statement 10 - Form 990-PF, Part II, Line 11 - Land, Building, and Equipment Investments

Description	Beginning Net Book	End Cost / Basis	End Accumulated Depreciation	Net FMV
LAND	\$ 2,072	\$ 2,072	\$	\$ 2,072
TOTAL	\$ 2,072	\$ 2,072	\$ 0	\$ 2,072

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Statement 11 - Form 990-PF, Part II, Line 13 - Other Investments

Description	Beginning of Year	End of Year	Basis of Valuation	Fair Market Value
MUTUAL FUND - 1658.375 RYDEX SER FDS	\$ 47,993	\$ 41,376	MARKET	\$ 41,376
TOTAL	\$ 47,993	\$ 41,376		\$ 41,376

Statement 12 - Form 990-PF, Part II, Line 14 - Land, Building, and Equipment

Description	Beginning Net Book	End Cost / Basis	End Accumulated Depreciation	Net FMV
GOODWILL	\$ 36,811	\$ 258,254	\$ 238,659	\$ 19,595
TRADEMARK	103	275	191	84
TOTAL	\$ 36,914	\$ 258,529	\$ 238,850	\$ 19,679

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Statement 13 - Form 990-PF, Part II, Line 15 - Other Assets

Description	Beginning of Year	End of Year	Fair Market Value
COLLECTIBLES - STATUE	\$ 10,000	\$ 10,000	\$ 10,000
TOTAL	<u>\$ 10,000</u>	<u>\$ 10,000</u>	<u>\$ 10,000</u>

Statement 14 - Form 990-PF, Part III, Line 3 - Other Increases

Description	Amount
UNREALIZED GAIN ON INVESTMENTS	\$ 102,466
TOTAL	<u>\$ 102,466</u>

Form 990-PF, Part XV, Line 1a - Managers Who Contributed Over 2% or \$5,000

Name of Manager	Amount
NONE	\$
TOTAL	<u>\$ 0</u>

Form 990-PF, Part XV, Line 1b - Managers Who Own 10% or More Stock

Name of Manager	Amount
NONE	\$
TOTAL	<u>\$ 0</u>

Statement 15 - Form 990-PF, Part XV, Line 2b - Application Format and Required Contents

Description

IN WRITING OR E-MAIL, INCLUDING CONTACT NAME,
 ORGANIZATION, CONTACT INFORMATION, PURPOSE OF THE GRANT
 AND PROJECT DESCRIPTION.

Form 990-PF, Part XV, Line 2c - Submission Deadlines

Description

LETTER OF INTENT BY APRIL 1, PROPOSAL BY JULY 1.

Federal Statements

Statement 16 - Form 990-PF, Part XV, Line 2d - Award Restrictions or Limitations

Description

PRIMARILY FOR START-UP PROJECTS, PROGRAMS THAT ENHANCE THE HEALTH STATUS OF CHILDREN, THOSE WITH CHRONIC ILLNESSES, OR THAT STIMULATE THE THINKING OF LEADERS OF THE HEALTH CARE INDUSTRY. THE FOUNDATION ONLY AWARDS GRANTS TO ORGANIZATIONS AND DOES NOT SUPPORT GENERAL OPERATIONS, ONGOING ACTIVITIES OR EXISTING DEFICITS, ENDOWMENT OR CAPITAL COSTS, CHURCHES OR OTHER RELIGIOUS ORGANIZATIONS, OR WORK FOR ACHIEVEMENTS WHICH CANNOT BE MEASURED.