

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

Name of foundation GRIGG-LEWIS FOUNDATION INC		A Employer identification number 16-1550858	
Number and street (or P.O. box number if mail is not delivered to street address) 76 WEST AVE		Room/suite	B Telephone number (see instructions) (716) 478-0002
City or town, state or province, country, and ZIP or foreign postal code LOCKPORT, NY 14094		C If exemption application is pending, check here ▶ <input type="checkbox"/>	
G Check all that apply: <input type="checkbox"/> Initial return <input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Final return <input type="checkbox"/> Amended return <input type="checkbox"/> Address change <input type="checkbox"/> Name change		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) ▶ \$ 46,881,019	J Accounting method: <input type="checkbox"/> Cash <input checked="" 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 <small>(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions).)</small>		(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)	1,821			
	2 Check <input checked="" type="checkbox"/> if the foundation is <b>not</b> required to attach Sch. B . . . . .				
	3 Interest on savings and temporary cash investments				
	4 Dividends and interest from securities . . .	1,089,077	1,197,669		
	5a Gross rents . . . . .				
	b Net rental income or (loss) _____				
	6a Net gain or (loss) from sale of assets not on line 10	1,617,535			
	b Gross sales price for all assets on line 6a 9,313,399				
	7 Capital gain net income (from Part IV, line 2) . . .		1,617,535		
	8 Net short-term capital gain . . . . .				
	9 Income modifications . . . . .				
	10a Gross sales less returns and allowances _____				
Operating and Administrative Expenses	b Less: Cost of goods sold . . . . .				
	c Gross profit or (loss) (attach schedule) . . . . .				
	11 Other income (attach schedule) . . . . .	53,815	-364,866		
	12 <b>Total.</b> Add lines 1 through 11 . . . . .	2,762,248	2,450,338		
	13 Compensation of officers, directors, trustees, etc.	174,001	69,601		104,400
	14 Other employee salaries and wages . . . . .	69,294	0		69,294
	15 Pension plans, employee benefits . . . . .	19,685	0		19,685
	16a Legal fees (attach schedule) . . . . .	4,253	0		4,253
	b Accounting fees (attach schedule) . . . . .	16,750	5,863		10,887
	c Other professional fees (attach schedule) . . . . .	175,494	175,494		0
	17 Interest . . . . .				
	18 Taxes (attach schedule) (see instructions) . . . . .	39,379	0		750
	19 Depreciation (attach schedule) and depletion . . . . .				
	20 Occupancy . . . . .	20,850	0		20,850
	21 Travel, conferences, and meetings . . . . .	4,431	0		4,431
	22 Printing and publications . . . . .				
	23 Other expenses (attach schedule) . . . . .	2,218,886	103,732		149,510
	24 <b>Total operating and administrative expenses.</b> Add lines 13 through 23 . . . . .	2,743,023	354,690		384,060
	25 Contributions, gifts, grants paid . . . . .	1,756,724			2,756,724
	26 <b>Total expenses and disbursements.</b> Add lines 24 and 25	4,499,747	354,690		3,140,784
	27 Subtract line 26 from line 12:				
	a <b>Excess of revenue over expenses and disbursements</b>	-1,737,499			
	b <b>Net investment income</b> (if negative, enter -0-)		2,095,648		
c <b>Adjusted net income</b> (if negative, enter -0-)					

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	<b>1</b> Cash—non-interest-bearing . . . . .	12,076	202,390	202,390
	<b>2</b> Savings and temporary cash investments . . . . .	1,874,753	4,970,587	4,970,587
	<b>3</b> Accounts receivable ▶ _____ Less: allowance for doubtful accounts ▶ _____	26,549		
	<b>4</b> Pledges receivable ▶ _____ Less: allowance for doubtful accounts ▶ _____			
	<b>5</b> Grants receivable . . . . .			
	<b>6</b> Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions) . . . . .			
	<b>7</b> Other notes and loans receivable (attach schedule) ▶ <u>8,009,928</u> Less: allowance for doubtful accounts ▶ <u>4,009,928</u>	6,066,328	4,000,000	4,000,000
	<b>8</b> Inventories for sale or use . . . . .			
	<b>9</b> Prepaid expenses and deferred charges . . . . .			
	<b>10a</b> Investments—U.S. and state government obligations (attach schedule)	7,370,221	7,931,405	7,931,405
	<b>b</b> Investments—corporate stock (attach schedule) . . . . .	20,257,766	22,153,692	22,153,692
	<b>c</b> Investments—corporate bonds (attach schedule) . . . . .	8,426,118	6,718,948	6,718,948
	<b>11</b> Investments—land, buildings, and equipment: basis ▶ _____ Less: accumulated depreciation (attach schedule) ▶ _____			
	<b>12</b> Investments—mortgage loans . . . . .			
	<b>13</b> Investments—other (attach schedule) . . . . .	1,430,304	903,997	903,997
	<b>14</b> Land, buildings, and equipment: basis ▶ <u>7,331</u> Less: accumulated depreciation (attach schedule) ▶ <u>7,331</u>			
<b>15</b> Other assets (describe ▶ _____)				
<b>16</b> <b>Total assets</b> (to be completed by all filers—see the instructions. Also, see page 1, item I)	45,464,115	46,881,019	46,881,019	
Liabilities	<b>17</b> Accounts payable and accrued expenses . . . . .	24,836	32,967	
	<b>18</b> Grants payable . . . . .	1,000,000		
	<b>19</b> Deferred revenue . . . . .			
	<b>20</b> Loans from officers, directors, trustees, and other disqualified persons			
	<b>21</b> Mortgages and other notes payable (attach schedule) . . . . .	8,009,928	8,009,928	
	<b>22</b> Other liabilities (describe ▶ _____)			
	<b>23</b> <b>Total liabilities</b> (add lines 17 through 22) . . . . .	9,034,764	8,042,895	
Net Assets or Fund Balances	<b>Foundations that follow FASB ASC 958, check here</b> ▶ <input checked="" type="checkbox"/> <b>and complete lines 24, 25, 29 and 30.</b>			
	<b>24</b> Net assets without donor restrictions . . . . .	36,429,351	38,838,124	
	<b>25</b> Net assets with donor restrictions . . . . .			
	<b>Foundations that do not follow FASB ASC 958, check here</b> ▶ <input type="checkbox"/> <b>and complete lines 26 through 30.</b>			
	<b>26</b> Capital stock, trust principal, or current funds . . . . .			
	<b>27</b> Paid-in or capital surplus, or land, bldg., and equipment fund			
	<b>28</b> Retained earnings, accumulated income, endowment, or other funds			
	<b>29</b> <b>Total net assets or fund balances</b> (see instructions) . . . . .	36,429,351	38,838,124	
<b>30</b> <b>Total liabilities and net assets/fund balances</b> (see instructions) .	45,464,115	46,881,019		

**Part III Analysis of Changes in Net Assets or Fund Balances**

<b>1</b> 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) . . . . .	<b>1</b>	36,429,351
<b>2</b> Enter amount from Part I, line 27a . . . . .	<b>2</b>	-1,737,499
<b>3</b> Other increases not included in line 2 (itemize) ▶ _____	<b>3</b>	4,146,272
<b>4</b> Add lines 1, 2, and 3 . . . . .	<b>4</b>	38,838,124
<b>5</b> Decreases not included in line 2 (itemize) ▶ _____	<b>5</b>	0
<b>6</b> Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 29 .	<b>6</b>	38,838,124

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

<b>(a)</b> 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>(b)</b> How acquired P—Purchase D—Donation	<b>(c)</b> Date acquired (mo., day, yr.)	<b>(d)</b> Date sold (mo., day, yr.)
<b>1 a</b> PUBLICLY TRADED SECURITIES	P		
<b>b</b> CAPITAL GAINS DIVIDENDS	P		
<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> 8,991,212		7,695,864	1,295,348
<b>b</b> 322,187			322,187
<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>			1,295,348
<b>b</b>			322,187
<b>c</b>			
<b>d</b>			
<b>e</b>			

  

<b>2</b> Capital gain net income or (net capital loss) <div style="float: right; border-left: 1px solid black; padding-left: 5px;">           If gain, also enter in Part I, line 7            If (loss), enter -0- in Part I, line 7         </div>	<b>2</b>	1,617,535
<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	2,647,552	42,290,440	0.062604
2017	3,031,073	43,180,463	0.070195
2016	2,029,030	45,196,995	0.044893
2015	2,409,385	45,518,656	0.052932
2014	5,028,941	45,326,076	0.110950

  

<b>2</b> Total of line 1, column (d)	<b>2</b>	0.341574
<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>	0.068315
<b>4</b> Enter the net value of noncharitable-use assets for 2019 from Part X, line 5	<b>4</b>	41,583,372
<b>5</b> Multiply line 4 by line 3	<b>5</b>	2,840,768
<b>6</b> Enter 1% of net investment income (1% of Part I, line 27b)	<b>6</b>	20,956
<b>7</b> Add lines 5 and 6	<b>7</b>	2,861,724
<b>8</b> Enter qualifying distributions from Part XII, line 4	<b>8</b>	3,140,784

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>	20,956
<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>	20,956
<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>	20,956
<b>6</b>	Credits/Payments:		
<b>a</b>	2019 estimated tax payments and 2018 overpayment credited to 2019	<b>6a</b>	19,500
<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>	0
<b>7</b>	Total credits and payments. Add lines 6a through 6d. . . . .	<b>7</b>	19,500
<b>8</b>	Enter any <b>penalty</b> for underpayment of estimated tax. Check here <input checked="" 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>	1,456
<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>	
<b>11</b>	Enter the amount of line 10 to be: <b>Credited to 2020 estimated tax</b> <b>▶</b> <b>Refunded</b> <b>▶</b>	<b>11</b>	

**Part VII-A Statements Regarding Activities**

	Yes	No
<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>1a</b>	No
<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>1b</b>	No
<b>c</b> Did the foundation file <b>Form 1120-POL</b> for this year? . . . . .	<b>1c</b>	No
<b>d</b> Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: <b>(1)</b> On the foundation. <b>▶</b> \$ _____ <b>(2)</b> On foundation managers. <b>▶</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>	No
<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>	No
<b>4a</b> Did the foundation have unrelated business gross income of \$1,000 or more during the year? . . . . .	<b>4a</b>	No
<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>	No
<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>	Yes
<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>	Yes
<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>	Yes
<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>	No
<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>	No

**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 ► <u>WWW.GRIGGLEWIS.ORG</u>	<b>13</b>	<b>Yes</b>	
<b>14</b>	The books are in care of ► <u>CHRIS SMITH</u> Telephone no. ► <u>(716) 478-0002</u>			

Located at ► 76 WEST AVENUE LOCKPORT NY ZIP+4 ► 14094

<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>		
<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? . . . . .	<b>16</b>	<b>Yes</b> <b>No</b>
See the instructions for exceptions and filing requirements for FinCEN Form 114. If "Yes", enter the name of the foreign country ►			

**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.**

		<b>Yes</b>	<b>No</b>
<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 . . . . .	<b>1b</b>	<b>No</b>
	Organizations relying on a current notice regarding disaster assistance check here. . . . . ► <input type="checkbox"/>		
<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)

<b>5a</b>	During the year did the foundation pay or incur any amount to:		<b>Yes</b>	<b>No</b>
(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 checked="" type="checkbox"/> Yes <input 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>No</b>
	Organizations relying on a current notice regarding disaster assistance check here.	<input type="checkbox"/>		
<b>c</b>	If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? If "Yes," attach the statement required by Regulations section 53.4945–5(d).	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
<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>6b</b>	<b>No</b>
<b>b</b>	Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? If "Yes" to 6b, file Form 8870.			
<b>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>7b</b>	
<b>b</b>	If "Yes", did the foundation receive any proceeds or have any net income attributable to the transaction?			
<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
See Additional Data Table				
<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
HARTFORD FINANCIAL MANAGEMENT 40 PRATT STREET HARTFORD, CT 06155	INVESTMENT MANAGEMENT	144,463
Total number of others receiving over \$50,000 for professional services. . . . . ▶		0

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

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

1	Expenses
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	
2	
All other program-related investments. See instructions.	
3	
Total. Add lines 1 through 3 . . . . . ▶	0

**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>	39,351,277
<b>b</b>	Average of monthly cash balances. . . . .	<b>1b</b>	2,075,933
<b>c</b>	Fair market value of all other assets (see instructions). . . . .	<b>1c</b>	789,411
<b>d</b>	<b>Total</b> (add lines 1a, b, and c). . . . .	<b>1d</b>	42,216,621
<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>	42,216,621
<b>4</b>	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions). . . . .	<b>4</b>	633,249
<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>	41,583,372
<b>6</b>	<b>Minimum investment return.</b> Enter 5% of line 5. . . . .	<b>6</b>	2,079,169

**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>	2,079,169
<b>2a</b>	Tax on investment income for 2019 from Part VI, line 5. . . . .	<b>2a</b>	20,956
<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>	20,956
<b>3</b>	Distributable amount before adjustments. Subtract line 2c from line 1. . . . .	<b>3</b>	2,058,213
<b>4</b>	Recoveries of amounts treated as qualifying distributions. . . . .	<b>4</b>	53,815
<b>5</b>	Add lines 3 and 4. . . . .	<b>5</b>	2,112,028
<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>	2,112,028

**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>	3,140,784
<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>	
<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>	
<b>b</b>	Cash distribution test (attach the required schedule). . . . .	<b>3b</b>	
<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>	3,140,784
<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>	20,956
<b>6</b>	<b>Adjusted qualifying distributions.</b> Subtract line 5 from line 4. . . . .	<b>6</b>	3,119,828

**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				2,112,028
<b>2</b> Undistributed income, if any, as of the end of 2019:				
<b>a</b> Enter amount for 2018 only. . . . .			0	
<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. . . . .	1,853,279			
<b>b</b> From 2015. . . . .	113,466			
<b>c</b> From 2016. . . . .				
<b>d</b> From 2017. . . . .	831,963			
<b>e</b> From 2018. . . . .	533,416			
<b>f</b> <b>Total</b> of lines 3a through e. . . . .	3,332,124			
<b>4</b> Qualifying distributions for 2019 from Part XII, line 4: ► \$ 3,140,784				
<b>a</b> Applied to 2018, but not more than line 2a			0	
<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. . . . .				2,112,028
<b>e</b> Remaining amount distributed out of corpus	1,028,756			
<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>				
<b>a</b> Corpus. Add lines 3f, 4c, and 4e. Subtract line 5	4,360,880			
<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. . . . .				0
<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). . . . .	1,853,279			
<b>9</b> <b>Excess distributions carryover to 2020.</b> Subtract lines 7 and 8 from line 6a. . . . .	2,507,601			
<b>10</b> Analysis of line 9:				
<b>a</b> Excess from 2015. . . . .	113,466			
<b>b</b> Excess from 2016. . . . .				
<b>c</b> Excess from 2017. . . . .	831,963			
<b>d</b> Excess from 2018. . . . .	533,416			
<b>e</b> Excess from 2019. . . . .	1,028,756			

## Part XIV

**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 organization is a private operating foundation described in section ☐ 4942(j)(3) or ☐ 4942(j)(5)

2a	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 . . . . .				
----------	---	--	--	--	--

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:					

[illegible]

(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. . .					
---	--	--	--	--	--

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(i)(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).)

**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.

**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 e-mail address of the person to whom applications should be addressed:

CHRIS SMITH  
76 WEST STREET  
LOCKPORT, NY 14094  
(716) 478-0002

**b** The form in which applications should be submitted and information and materials they should include:  
APPLICATION AVAILABLE ONLINE. APPLICATION CAN BE SUBMITTED ELECTRONICALLY OR BY MAIL.

c. Any submission deadlines:

LETTERS OF INQUIRY: 1/11, 4/12, 7/12, 10/4 APPLICATIONS DUE: 2/8, 5/3, 8/2, 11/1

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

FUNDING PRIORITY IS TO ORGANIZATIONS LOCATED IN THE NIAGARA COUNTY AREA.

**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)				
<b>a</b> <i>Paid during the year</i> See Additional Data Table				
<b>Total</b> . . . . .			<b>▶ 3a</b>	2,756,724
<b>b</b> <i>Approved for future payment</i> See Additional Data Table				
<b>Total</b> . . . . .			<b>▶ 3b</b>	1,014,740

Enter gross amounts unless otherwise indicated.

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

[illegible]

## Information Regarding Transfers To and Transactions and Relationships With Noncharitable Exempt Organizations

	Yes	No
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--	--	--

<b>1a(1)</b>		<b>No</b>
--------------	--	-----------

<b>1a(2)</b>		<b>No</b>
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--	--	--

<b>1b(1)</b>	<b>No</b>
--------------	-----------

<b>1b(2)</b>		<b>No</b>
--------------	--	-----------

<b>1b(3)</b>		<b>No</b>
--------------	--	-----------

<b>1b(4)</b>		<b>No</b>
--------------	--	-----------

<b>1b(5)</b>		<b>No</b>
--------------	--	-----------

<b>1b(6)</b>		<b>No</b>
--------------	--	-----------

<b>1c</b>		<b>No</b>
-----------	--	-----------

value  
ue

[illegible]

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**

\* \* \* \* \*

2020-06-03

\*\*\*\*\*

Signature of officer or trustee

Date \_\_\_\_\_

Title

May the IRS discuss this  
return  
with the preparer shown  
below

(see instr.) ☒ Yes ☐ No

**Paid  
Preparer  
Use Only**

Print/Type preparer's name  JOHN P SCHIAVONE	Preparer's Signature	Date  2020-06-03	Check if self-employed <input type="checkbox"/>	PTIN  P00040031
Firm's name ▶ LUMSDEN & MCCORMICK LLP				Firm's EIN ▶ 16-0765486
Firm's address ▶ 369 FRANKLIN STREET  BUFFALO, NY 14202				Phone no. (716) 856-3300

Form 990FP Part VIII Line 1 - List all officers, directors, trustees, foundation managers and their compensation				
(a) Name and address	Title, and average hours per week (b) devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	Expense account, (e) other allowances
CHRISTA CALDWELL	PRESIDENT 2.00	12,000	0	0
76 WEST AVENUE LOCKPORT, NY 14094				
R THOMAS WEEKS	VICE PRESIDENT 2.00	10,115	0	0
76 WEST AVENUE LOCKPORT, NY 14094				
DAN L WILSON	TREASURER 2.00	10,000	0	0
76 WEST AVENUE LOCKPORT, NY 14094				
BRIAN F COSTELLO	SECRETARY 2.00	10,000	0	0
76 WEST AVENUE LOCKPORT, NY 14094				
ERIC W CONNOR	DIRECTOR 2.00	10,000	0	0
76 WEST AVENUE LOCKPORT, NY 14094				
CHRIS SMITH	EXECUTIVE DIRECTOR 40.00	82,802	9,199	0
76 WEST AVENUE LOCKPORT, NY 14094				
PAUL REID	DIRECTOR 2.00	10,000	0	0
76 WEST AVENUE LOCKPORT, NY 14094				
JOAN AUL	DIRECTOR 2.00	10,000	0	0
76 WEST AVENUE LOCKPORT, NY 14094				
MARY F MURPHY	DIRECTOR 2.00	10,125	0	0
76 WEST AVENUE LOCKPORT, NY 14094				

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 RED CROSS786 DELAWARE BUFFALO, NY 14209		501C3	HUMAN SERVICE	12,000
ASSOCIATION OF SMALL FOUNDATIONS DBA EXPONENT PHILANTHROPY 1720 N STREET NW WASHINGTON, DC 20036		501C3	EDUCATION	750
BUFFALO HEARING & SPEECH CENTER INC 50 E NORTH STREET BUFFALO, NY 142031002		501C3	EDUCATION	5,000
<b>Total . . . . .</b> ► <b>3a</b>				2,756,724

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>				
BUFFALO INNER CITY BALLET CO INC 2495 MAIN ST SUITE 351 BUFFALO, NY 14214		501C3	ARTS & CULTURE	2,000
BUFFALO PHILHARMONIC ORCHESTRA SOCIETY INC 786 DELAWARE AVE BUFFALO, NY 14209		501C3	ARTS & CULTURE	27,500
CHALLENGER LEARNING CENTER OF ORLEANS NIAGARA AND ERIE COUNTIES 160 WASHBURN ST LOCKPORT, NY 14094		501C3	EDUCATION	6,390
<b>Total</b> . . . . . ► <b>3a</b>				2,756,724



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>				
CITY OF LOCKPORTONE LOCKS PLAZA LOCKPORT, NY 14094		GOVT	EDUCATION	400
CITY OF LOCKPORT HOUSING AUTHORITY 301 MICHIGAN STREET LOCKPORT, NY 14094		GOVT	HUMAN SERVICE	17,500
CITY OF LOCKPORT POLICE DEPT ONE LOCKS PLAZA LOCKPORT, NY 14094		GOVT	YOUTH	4,500
<b>Total . . . . .</b> ► <b>3a</b>				2,756,724

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>				
COLD SPRINGS CEMETERY ASSOCIATION 4849 COLD SPRINGS RD LOCKPORT, NY 14094		501C3	COMMUNITY	6,000
COMMUNITY MISSIONS OF NIAGARA FRONTIER INC 1570 BUFFALO AVE NIAGARA FALLS, NY 14303		501C3	HUMAN SERVICE	25,760
CORNELL UNIVERSITY - COOPERATIVE EXTENSION OF NIAGARA COUNTY 4487 LAKE RD LOCKPORT, NY 14094		501C3	EDUCATION & HUMAN SERVICE	40,283
<b>Total . . . . . ▶ 3a</b>				2,756,724

**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>				
CRADLE BEACH CAMP INC 8038 OLD LAKESHORE ROAD ANGOLA, NY 14006		501C3	HUMAN SERVICE	12,000
THE DALE ASSOCIATION INC 33 ONTARIO ST LOCKPORT, NY 14094		501C3	ELDERLY	28,400
DANCEABILITY INC 2365 GEORGE URBAN BOULEVARD DEPEW, NY 14043		501C3	HUMAN SERVICE	500
<b>Total . . . . . ▶ 3a</b>				2,756,724

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>				
DESALES CATHOLIC SCHOOL 6914 CHESTNUT RIDGE RD LOCKPORT, NY 14094		501C3	EDUCATION	3,600
DESTINATION IMAGINATION INC 1111 SOUTH UNION AVE CHERRY HILL, NJ 08002		501C3	YOUTH	500
EASTERN NIAGARA HOSPITAL INC 521 EAST AVENUE LOCKPORT, NY 14094		501C3	COMMUNITY	336,000
<b>Total . . . . . ▶ 3a</b>				2,756,724

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>				
EMMANUEL UNITED METHODIST CHURCH 75 EAST AVENUE LOCKPORT, NY 140943885		501C3	HUMAN SERVICE	300
EPIC1000 MAIN ST BUFFALO, NY 14202		501C3	HUMAN SERVICE	22,000
ERIE CANAL DISCOVERY-NIAGARA COUNTY 215 NIAGARA STREET LOCKPORT, NY 14094		501C3	HISTORY	6,000
<b>Total . . . . . ▶ 3a</b>				2,756,724

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				
FIRST PRESBYTERIAN CHURCH 21 CHURCH STREET LOCKPORT, NY 14094		501C3	COMMUNITY	14,974
FOOD BANK OF WESTERN NEW YORK INC 91 HOLT STREET BUFFALO, NY 14206		501C3	HUMAN SERVICE	5,000
GIGI'S PLAYHOUSE BUFFALO 611 PARADISE RD AMHERST, NY 14051		501C3	COMMUNITY	50,000
<b>Total . . . . . ▶ 3a</b>				2,756,724

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>				
GIRL SCOUTS OF WESTERN NEW YORK INC 3332 WALDEN AVE SUITE 106 DEPEW, NY 14043		501C3	YOUTH	12,000
GLENWOOD CEMETERY ASSOCIATION 325 GLENWOOD AVENUE LOCKPORT, NY 14094		501C3	COMMUNITY	36,000
HART INTERFAITH INC 505 CAYUGA STREET LEWISTON, NY 14092		501C3	ELDERLY	3,800
<b>Total . . . . . ▶ 3a</b>				2,756,724

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>				
HISTORIC PALACE INC2 EAST AVENUE LOCKPORT, NY 14094		501C3	COMMUNITY	428,600
HISTORICAL SOCIETY OF NORTH GERMAN SETTLEMENTS IN WESTERN NEW YORK 2549 NIAGARA RD NIAGARA FALLS, NY 14304		501C3	COMMUNITY	2,000
IMAGINE COMMUNITY GARDENS INC 7071 TRANSIT RD EAST AMHERST, NY 14051		501C3	COMMUNITY	2,000
<b>Total . . . . . ▶ 3a</b>				2,756,724



**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>				
IROQUOIS TRAIL COUNCIL INC - BOY SCOUTS OF AMERICA 201 E MAIN ST BATAVIA, NY 14020		501C3	YOUTH	12,000
JUNIOR ACHIEVEMENT OF WESTERN NEW YORK INC 6255 SHERIDAN DRIVE SUITE 210 WILLIAMSVILLE, NY 14221		501C3	EDUCATION	12,000
KENAN CENTER INC 433 LOCUST STREET LOCKPORT, NY 14094		501C3	ARTS & CULTURE	19,807
<b>Total . . . . . ▶ 3a</b>				2,756,724

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>				
LOCK CITY GLEE CLUB INC 7145 FIELDCREST DR LOCKPORT, NY 14094		501C3	ARTS & CULTURE	5,000
LOCKPORT BUSINESS ASSOCIATION 5668 SOUTH TRANSIT STREET LOCKPORT, NY 14094		501C4	HUMAN SERVICE	2,000
LOCKPORT CARENET PREGANCY CENTER 229 EAST AVE LOCKPORT, NY 14094		501C3	HUMAN SERVICE	1,000
<b>Total . . . . .</b> ► <b>3a</b>				2,756,724

**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>				
LOCKPORT CARES INC192 GENESEE ST LOCKPORT, NY 14094		501C3	HUMAN SERVICE	12,000
LOCKPORT CITY SCHOOL DISTRICT 130 BEATTIE LOCKPORT, NY 14094		GOVT	EDUCATION	5,000
LOCKPORT COLLEGE WOMEN'S CLUB 102 CONTINENTAL DR LOCKPORT, NY 14094		501C3	EDUCATION	1,000
<b>Total . . . . . ▶ 3a</b>				2,756,724

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>				
LOCKPORT HIGH SCHOOL FOUNDATION 250 LINCOLN AVENUE LOCKPORT, NY 14094		501C3	EDUCATION	5,000
LOCKPORT ICE ARENA & SPORTS CENTER INC 1 GRIGG LEWIS WAY LOCKPORT, NY 14094		501C3	HUMAN SERVICE	7,200
LOCKPORT LOCKS HERITAGE DISTRICT CORPORATION 1 LOCKS PLAZA LOCKPORT, NY 14094		501C3	COMMUNITY	70,000
<b>Total . . . . .</b> ► <b>3a</b>				2,756,724

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Name and address (home or business)				
<b>a</b> <i>Paid during the year</i>				
LOCKPORT MAIN STREET INC 1 EAST MAIN STREET LOCKPORT, NY 14094		501C3	COMMUNITY	38,600
LOCKPORT NEW BEGINNINGS 271 ELMWOOD AVENUE LOCKPORT, NY 14094		501C3	YOUTH	2,500
LOCKPORT PUBLIC LIBRARYPO BOX 475 LOCKPORT, NY 14094		GOVT	EDUCATION	8,400
<b>Total . . . . . ▶ 3a</b>				2,756,724

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Name and address (home or business)				
<b>a</b> <i>Paid during the year</i>				
LOCKSIDE ART CENTER INC 19 BERKLEY DR LOCKPORT, NY 14094		501C3	COMMUNITY	10,000
MENTAL HEALTH ASSOCIATION IN NIAGARA COUNTY INC 36 PINE STREET LOCKPORT, NY 14094		501C3	HEALTH & WELLNESS	16,200
NCCC FOUNDATION INC 3111 SAUNDERS SETTLEMENT RD SANBORN, NY 14132		501C3	ARTS & CULTURUE	2,000
<b>Total . . . . .</b> ► <b>3a</b>				2,756,724

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>				
NEW DIRECTIONS YOUTH & FAMILY SERVICES INC 6395 OLD NIAGARA RD LOCKPORT, NY 14094		501C3	HUMAN SERVICE	13,000
NIAGARA AQUARIUM FOUNDATION INC 701 WHIRLPOOL STREET NIAGARA FALLS, NY 14301		501C3	EDUCATION	10,000
NIAGARA CELTIC HERITAGE SOCIETY INC 6447 PHILLIPS RD BURT, NY 14208		501C3	HISTORY & TOURISM	1,500
<b>Total . . . . . ▶ 3a</b>				2,756,724

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Name and address (home or business)				
<b>a</b> <i>Paid during the year</i>				
NIAGARA COUNTY HISTORICAL SOCIETY INC 215 NIAGARA STREET LOCKPORT, NY 14094		501C3	HISTORY & TOURISM	20,400
NIAGARA FALLS MEMORIAL MEDICAL CENTER 621 TENTH STREET NIAGARA FALLS, NY 14302		501C3	COMMUNITY	17,500
NIAGARA HOSPICE INC 4675 SUNSET DR LOCKPORT, NY 14094		501C3	HEALTH & WELLNESS	15,600
<b>Total . . . . . ▶ 3a</b>				2,756,724



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Name and address (home or business)				
<b>a</b> <i>Paid during the year</i>				
NIOGA LIBRARY SYSTEM 6575 WHEELER RD LOCKPORT, NY 14094		501C3	EDUCATION	21,900
OLCOTT BEACH CAROUSEL PARK ASSOCIATION INC PO BOX 308 OLCOTT, NY 14126		501C3	HISTORY & TOURISM	10,000
OLD FORT NIAGARA ASSOCIATION INC PO BOX 169 102 MORROW PLAZA YOUNGSTOWN, NY 141740169		501C3	HISTORY & TOURISM	26,000
<b>Total . . . . . ▶ 3a</b>				2,756,724

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Name and address (home or business)				
<b>a</b> <i>Paid during the year</i>				
OPERATION WARM INC 6 DICKENSON DR SUITE 314 CHADDS FORD, PA 19317		501C3	YOUTH	2,000
OPPORTUNITIES UNLIMITED OF NIAGARA FOUNDATION INC 107 HEATH STREET LOCKPORT, NY 14094		501C3	HUMAN SERVICE	7,200
PET'S ALIVE WNY7007 CAMPBELL BLVD PENDLETON, NY 14120		501C3	COMMUNITY	500
<b>Total . . . . . ▶ 3a</b>				2,756,724

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Name and address (home or business)				
<b>a</b> <i>Paid during the year</i>				
PINNACLE COMMUNITY SERVICES 57 CANAL STREET LOCKPORT, NY 14094		501C3	HUMAN SERVICE	15,600
PRESBYTERIAN SENIOR CARE OF WESTERN NEW YORK INC 4455 TRANSIT RD WILLIAMSVILLE, NY 14221		501C3	ELDERLY	16,200
SABAH FOUNDATION INC 2607 NIAGARA STREET BUFFALO, NY 14207		501C3	HUMAN SERVICE	6,000
<b>Total . . . . . ▶ 3a</b>				2,756,724

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Name and address (home or business)				
<b>a</b> Paid during the year				
THE SALVATION ARMY 50 COTTAGE STREET LOCKPORT, NY 14094		501C3	YOUTH & HUMAN SERVICE	31,100
SANBORN AREA HISTORICAL SOCIETY PO BOX 172 SANBORN, NY 14132		501C3	COMMUNITY	9,500
SOUTH LOCKPORT FIRE COMPANY INC PO BOX 616 LOCKPORT, NY 14094		501C3	HUMAN SERVICE	500
<b>Total . . . . . ▶ 3a</b>				2,756,724

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Name and address (home or business)				
<b>a</b> <i>Paid during the year</i>				
ST JOHN THE BAPTIST OUTREACH 160 CHESTNUT STREET LOCKPORT, NY 14094		501C3	HUMAN SERVICE	23,000
TOWN OF NIAGARA 7105 LOCKPORT ROAD NIAGARA FALLS, NY 14305		501C3	HISTORY	300
UNITED WAY OF GREATER NIAGARA INC 6420 INDUCON DRIVE W SUITE B2 SANBORN, NY 14132		501C3	HUMAN SERVICE	29,200
<b>Total . . . . . ▶ 3a</b>				2,756,724

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Name and address (home or business)				
<b>a</b> <i>Paid during the year</i>				
VFW POST 2535 112 CALEDONIA STREET LOCKPORT, NY 14094		501C3	COMMUNITY	7,800
YMCA BUFFALO NIAGARA 5833 SNYDER DRIVE LOCKPORT, NY 14094		501C3	YOUTH	7,460
YMCA BUFFALO NIAGARA 5833 SNYDER DRIVE LOCKPORT, NY 14094		501C3	YOUTH	20,000
<b>Total . . . . . ▶ 3a</b>				2,756,724

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Name and address (home or business)				
<b>a</b> <i>Paid during the year</i>				
YOUTH MENTORING SERVICES OF NIAGARA COUNTY INC 86 PARK AVENUE LOCKPORT, NY 14094		501C3	YOUTH	31,300
YWCA OF THE NIAGARA FRONTIER INC 32 COTTAGE STREET LOCKPORT, NY 14094		501C3	HUMAN SERVICE	71,700
YMCA BUFFALO NIAGARA 5833 SNYDER DRIVE LOCKPORT, NY 14094		501C3	CAPITAL	1,000,000
<b>Total . . . . . ▶ 3a</b>				2,756,724

**TY 2019 Accounting Fees Schedule****Name:** GRIGG-LEWIS FOUNDATION INC**EIN:** 16-1550858

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
ACCOUNTING FEES	16,750	5,863		10,887



**Note:** To capture the full content of this document, please select landscape mode (11" x 8.5") when printing.

## **TY 2019 Expenditure Responsibility Statement**

**Name:** GRIGG-LEWIS FOUNDATION INC

**EIN:** 16-1550858

Grantee's Name	Grantee's Address	Grant Date	Grant Amount	Grant Purpose	Amount Expended By Grantee	Any Diversion By Grantee?	Dates of Reports By Grantee	Date of Verification	Results of Verification
LOCKPORT BUSINESS ASSOCIATION	5668 SOUTH TRANSIT ROAD LOCKPORT, NY 14094	2019-10-16	2,000	COMMUNITY DEVELOPMENT	2,000		FOLLOW UP REPORT AND VISUAL AIDS FROM EVENT DATED 11/2019		

## TY 2019 Investments Corporate Bonds Schedule

**Name:** GRIGG-LEWIS FOUNDATION INC

**EIN:** 16-1550858

### Investments Corporate Bonds Schedule

Name of Bond	End of Year Book Value	End of Year Fair Market Value
JPMORGAN CHASE	78,611	78,611
GENERAL ELECTRIC	300,142	300,142
UBS	255,234	255,234
CHEVRON CORPORATION	200,964	200,964
TD AMERITRADE HOL	156,654	156,654
SHELL INTERNTNL	110,781	110,781
DUKE ENERGY PROG	106,011	106,011
MICROSOFT CORPORATION	252,235	252,235
INTERNTNL BUSINESS	254,613	254,613
UNITED HEALTH GROUP	255,836	255,836
QUALCOMM INC	102,423	102,423
JPMORGAN CHASE	155,025	155,025
INTEL CORPORATION	128,038	128,038
AIR PRODUCTS & CHEMICAL	76,630	76,630
CUMMINS INC.	211,502	211,502
AMERIPRISE FINANCIAL	213,550	213,550
BANC AMER	199,904	199,904
GOLDMAN SACHS STRATEGIC	1,085,692	1,085,692
JAMES ALPHA HEDGED HIGH	715,625	715,625
INVESCO OPPENHEIMER SENI	19,234	19,234

**Investments Corporate Bonds Schedule**

<b>Name of Bond</b>	<b>End of Year Book Value</b>	<b>End of Year Fair Market Value</b>
JP MORGAN STRATEGIC INCM	1,947	1,947
JP MORGAN STRATEGIC INCM	1,103,949	1,103,949
PIMCO INCM INST CL	734,348	734,348

TY 2019 Investments Corporate Stock Schedule

Name: GRIGG-LEWIS FOUNDATION INC  
 EIN: 16-1550858

Investments Corporation Stock Schedule

Name of Stock	End of Year Book Value	End of Year Fair Market Value
AT&T	315,297	315,297
ABBOTT LABORATORIES	413,193	413,193
ALPHABET INC. CL A	80,363	80,363
ALPHABET INC. CL C	93,591	93,591
AMAZON COM INC	238,371	238,371
APPLE INC.	293,650	293,650
ASHLAND GLOBAL HOLDI	39,796	39,796
AUTO DATA PROCESSING	480,469	480,469
BANK OF AMERICA CORP	302,857	302,857
BAXTER INTERNATIONAL	365,921	365,921
BLACKROCK INC	75,405	75,405
BRISTOL-MYERS SQUIBB CO	589,200	589,200
CHEVRON CORPORATION	482,040	482,040
COMCAST CORPORATION	193,371	193,371
COSTCO WHOLESALE CO	881,760	881,760
DANAHER CORP	582,457	582,457
DIAGEO PLC	65,554	65,554
DOMINION	415,094	415,094
ELECTRONIC ARTS INC.	72,032	72,032
ENBRIDGE INC	151,126	151,126
EXXON MOBIL CORP	314,010	314,010
FACEBOOK INC	276,061	276,061
FORTIVE CORPORATION	458,340	458,340
HOME DEPOT INC	955,413	955,413
JP MORGAN CHASE	1,115,200	1,115,200
JOHNSON AND JOHNSON	413,833	413,833
KEYCORP INC	477,826	477,826
MASTERCARD INC.	265,745	265,745
MICROSOFT CORP	236,550	236,550
NIKE INC	279,312	279,312

## Investments Corporation Stock Schedule

Name of Stock	End of Year Book Value	End of Year Fair Market Value
PAYPAL HOLDINGS INCORPORATED	138,458	138,458
PEPSICO INC.	410,010	410,010
SALESFORCE COM	99,210	99,210
TJX COMPANIES INC	199,056	199,056
UNILEVER PLC	83,468	83,468
UNITED TECHNOLOGIES	1,003,392	1,003,392
VALVOLINE INC	30,552	30,552
VISA INC.	507,330	507,330
WALT DISNEY CO	433,890	433,890
WELLS FARGO BK NA	422,024	422,024
WILLIAMS COMPANIES	538,000	538,000
ARK INDUSTRIAL	595,298	595,298
FIRST TRUST NYSE ARCA	784,795	784,795
SPDR BLMBRG BRCLY INV GR	203,986	203,986
T ROWE PRICE GLOBAL	2,131,233	2,131,233
WEYERHAEUSER CO	87,278	87,278
SPDR BLMBRG BRCLY INV GR	514,683	514,683
AMERICAN FD EUROPACIFIC	2,425,788	2,425,788
ISHARES	592,405	592,405
CIGNA CORP	28,220	28,220
DXC TECHNOLOGY COMPANY	37	37
HEWLETT PACKARD CO	317	317
HP INC.	411	411
MICRO FOCUS INTERNATIONAL PLC	14	14

**TY 2019 Investments Government Obligations Schedule****Name:** GRIGG-LEWIS FOUNDATION INC**EIN:** 16-1550858**US Government Securities - End  
of Year Book Value:**

7,931,405

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

7,931,405

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

0

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

0

## TY 2019 Investments - Other Schedule

**Name:** GRIGG-LEWIS FOUNDATION INC

**EIN:** 16-1550858

### Investments Other Schedule 2

Category/ Item	Listed at Cost or FMV	Book Value	End of Year Fair Market Value
REAL ESTATE LLCS	FMV	903,997	903,997

**TY 2019 Legal Fees Schedule****Name:** GRIGG-LEWIS FOUNDATION INC**EIN:** 16-1550858

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
LEGAL FEES	4,253	0		4,253



**TY 2019 Other Expenses Schedule****Name:** GRIGG-LEWIS FOUNDATION INC**EIN:** 16-1550858**Other Expenses Schedule**

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
OFFICE EXPENSE	13,690	0		13,690
INSURANCE	5,038	0		5,038
DIRECT PAYMENTS FOR THE BENEFIT OF GRANTEES	119,441	0		119,441
TELEPHONE	2,400	0		2,400
DUES AND SUBSCRIPTIONS	6,095	3,048		3,047
POSTAGE AND DELIVERY	219	0		219
SPONSORSHIPS	5,675	0		5,675
PROVISION FOR LOAN LOSS	2,066,328	0		0
PASSED THROUGH FROM K-1S	0	100,684		0

**TY 2019 Other Income Schedule****Name:** GRIGG-LEWIS FOUNDATION INC**EIN:** 16-1550858**Other Income Schedule**

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
PASSED THROUGH K-1S	0	-364,866	0
RETURNED GRANT FUNDS	53,815		53,815

**TY 2019 Other Increases Schedule**

**Name:** GRIGG-LEWIS FOUNDATION INC  
**EIN:** 16-1550858

Description	Amount
UNREALIZED GAIN/LOSS ON INVESTMENTS	4,146,272

**TY 2019 Other Professional Fees Schedule****Name:** GRIGG-LEWIS FOUNDATION INC**EIN:** 16-1550858

<b>Category</b>	<b>Amount</b>	<b>Net Investment Income</b>	<b>Adjusted Net Income</b>	<b>Disbursements for Charitable Purposes</b>
INVESTMENT FEES	175,494	175,494		0

**TY 2019 Taxes Schedule****Name:** GRIGG-LEWIS FOUNDATION INC**EIN:** 16-1550858

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
NYS FILING FEE	750	0		750
FEDERAL EXCISE TAX	38,629	0		0