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Form **990-PF****Return of Private Foundation**
or Section 4947(a)(1) Trust Treated as Private Foundation

OMB No 1545-0047

2019

Open to Public Inspection

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.

For calendar year 2019 or tax year beginning

, 2019, and ending

, 20

Name of foundation

ROCHKIND-WAGNER FOUNDATION

Number and street (or P O box number if mail is not delivered to street address)

Room/suite

A Employer identification number

20-6767596

B Telephone number (see instructions)

973 538 5597**19 EXETER LANE**

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

MORRISTOWN, NJ 07960

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

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 ☐

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) ▶ \$ **577,511**
 J Accounting method: ☒ Cash ☐ Accrual
☐ Other (specify) _____ (Part I, column (d), must be on cash basis.)

Part I

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

	(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue				
1 Contributions, gifts, grants, etc., received (attach schedule)	5600			
2 Check ☐ if the foundation is not required to attach Sch. B				
3 Interest on savings and temporary cash investments				
4 Dividends and interest from securities	9379	9379		
5a Gross rents				
b Net rental income or (loss)				
6a Net gain or (loss) from sale of assets not on line 10	98940			
b Gross sales price for all assets on line 6a 147686				
7 Capital gain net income (from Part IV, line 2)		98940		
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)	4126	4126		
12 Total. Add lines 1 through 11	118045	112445		
Operating and Administrative Expenses				
13 Compensation of officers, directors, trustees, etc.				
14 Other employee salaries and wages				
15 Pension plans, employee benefits				
16a Legal fees (attach schedule)				
b Accounting fees (attach schedule)				
c Other professional fees (attach schedule)				
17 Interest				
18 Taxes (attach schedule) (see instructions)	635	635		
19 Depreciation (attach schedule) and depletion				
20 Occupancy				
21 Travel, conferences, and meetings	793	459		334
22 Printing and publications				
23 Other expenses (attach schedule)	5653	3148		2505
24 Total operating and administrative expenses. Add lines 13 through 23	7081	4242		2839
25 Contributions, gifts, grants paid	132745			132745
26 Total expenses and disbursements. Add lines 24 and 25	139826	4242		135584
27 Subtract line 26 from line 12:				
a Excess of revenue over expenses and disbursements	-21781			
b Net investment income (if negative, enter -0-)		108203		
c Adjusted net income (if negative, enter -0-)				

For Paperwork Reduction Act Notice, see instructions.

Cat No 11289X

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Part II Balance Sheets Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)		Beginning of year (a) Book Value	End of year (b) Book Value (c) Fair Market Value	
Assets	1 Cash—non-interest-bearing	2661	5508	5508
	2 Savings and temporary cash investments			
	3 Accounts receivable ▶			
	Less: allowance for doubtful accounts ▶			
	4 Pledges receivable ▶			
	Less: allowance for doubtful accounts ▶			
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
	7 Other notes and loans receivable (attach schedule) ▶			
	Less: allowance for doubtful accounts ▶			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10a Investments—U.S. and state government obligations (attach schedule)			
	b Investments—corporate stock (attach schedule)	587222	572003	572003
	c Investments—corporate bonds (attach schedule)	0	0	0
	11 Investments—land, buildings, and equipment: basis ▶			
	Less: accumulated depreciation (attach schedule) ▶			
	12 Investments—mortgage loans			
	13 Investments—other (attach schedule)			
	14 Land, buildings, and equipment: basis ▶			
	Less: accumulated depreciation (attach schedule) ▶			
	15 Other assets (describe ▶)			
	16 Total assets (to be completed by all filers—see the instructions. Also, see page 1, item I)	589883	577511	577511
Liabilities	17 Accounts payable and accrued expenses	55000	0	
	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 ▶ statement 6)	7344	6446	
	23 Total liabilities (add lines 17 through 22)	62344	6446	
Net Assets or Fund Balances	Foundations that follow FASB ASC 958, check here ▶ ☒ and complete lines 24, 25, 29, and 30.			
	24 Net assets without donor restrictions	527539	571065	
	25 Net assets with donor restrictions			
	Foundations that do not follow FASB ASC 958, check here ▶ ☐ and complete lines 26 through 30.			
	26 Capital stock, trust principal, or current funds			
	27 Paid-in or capital surplus, or land, bldg., and equipment fund			
	28 Retained earnings, accumulated income, endowment, or other funds			
	29 Total net assets or fund balances (see instructions)	527539	571065	
	30 Total liabilities and net assets/fund balances (see instructions)	589883	577511	

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	527539
2 Enter amount from Part I, line 27a	2	-21781
3 Other increases not included in line 2 (itemize) ▶ CHANGES IN MARKET VALUE	3	65307
4 Add lines 1, 2, and 3	4	571065
5 Decreases not included in line 2 (itemize) ▶	5	0
6 Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 29	6	571065

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	175 sh Intuitive Surgical	D	2/26/04	various 2019
b	750 sh AT&T	P	8/16/11	various 2019
c	1000 sh Public Service PFD Z	P	12/30/14	6/27/19
d	20 sh Iqvia Holdings	P	12/23/13	11/26/19
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 94917		1046	93871
b 24848		21538	3310
c 25000		25236	-236
d 2921		926	1995
e			

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69

(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	(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
a			93871
b			3310
c			-236
d			1995
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	98,940
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). See instructions. If (loss), enter -0- in Part I, line 8	3	

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

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

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

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period?

☐ Yes ☒ No

If "Yes," the foundation doesn't qualify under section 4940(e). Do not complete this part.

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	126305	607497	0.2079
2017	114904	626483	0.1834
2016	95073	611135	0.1556
2015	87847	601923	0.1459
2014	57553	561493	0.1025

2 Total of line 1, column (d)	2	0.7953
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	0.1591
4 Enter the net value of noncharitable-use assets for 2019 from Part X, line 5	4	589385
5 Multiply line 4 by line 3	5	93771
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	1082
7 Add lines 5 and 6	7	94853
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	135584

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 ☐ 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 ☒ and enter 1% of Part I, line 27b	1	1082
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	1082
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	1082
6	Credits/Payments.		
a	2019 estimated tax payments and 2018 overpayment credited to 2019	6a	619
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	619
8	Enter any penalty for underpayment of estimated tax. Check here ☐ 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	463
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?		☒
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.		
1c Did the foundation file Form 1120-POL for this year?		☒
d 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.		☒
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.		☒
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		☒
b If "Yes," has it filed a tax return on Form 990-T for this year?		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by <i>General Instruction T</i> .		☒
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?	☒	
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	☒	
8a Enter the states to which the foundation reports or with which it is registered. See instructions. ▶		
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 <i>General Instruction G</i> ? If "No," attach explanation	☒	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2019 or the tax year beginning in 2019? See the instructions for Part XIV. If "Yes," complete Part XIV		☒
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses		☒

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		✓
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		✓
13 Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► NONE	✓	
14 The books are in care of ► MARK M ROCHKIND Telephone no. ► 973 538 5597 Located at ► 19 EXETER LANE / MORRISTOWN, NJ ZIP+4 ► 07960-6382		
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 ► 15		
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 ►		

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? ☐ Yes ☒ No		
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☒ No		
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☐ Yes ☒ No		
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☐ Yes ☒ No		
(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? ☐ Yes ☒ No		
(6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.) ☐ Yes ☒ 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 ☐		
1c 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?		✓
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? ☐ Yes ☒ No If "Yes," list the years ► 20____, 20____, 20____, 20____		
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.)		✓
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? ☐ Yes ☒ 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.)		
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?		✓
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?		✓

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 instructionsOrganizations relying on a current notice regarding disaster assistance, check here ☐**c** If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? ☐ 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? ☐ Yes ☒ No**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
MARK M ROCHKIND 19 EXETER LANE / MORRISTOWN, NJ 07960	Trustee, Chair / 10			
PATRICIA W ROCHKIND 19 EXETER LANE / MORRISTOWN, NJ 07960	Trustee / 5			

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 ☐

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

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** The ROCHKIND-WAGNER FOUNDATION aims to encourage and incentivize achievement in pre-college education, and to recognize and reward exceptional performance in academic and vocational studies.
Current programs provide incentives for pre-college students in public high schools to set ambitious goals and
- 2** achieve high performance in math and science; promote non-cognitive learning among young inner city students; recognize and reward role model performance in vocational training ventures; and support pre-college education in Tanzania to create sources of community leadership and a path out from poverty.
- 3** (1) AP ACHIEVEMENT AWARDS IN MATH & SCIENCE / selected public high schools in New Jersey and Maine.
(2) UNIVERSITY / ROCHESTER INNER CITY SCHOOL PARTNERSHIP / U Rochester Memorial Art Gallery (MAG).
(3) ROOTS & WINGS / Scholarship support for vocational education / for children who age out of Foster Care.
- 4** (4) AFRICA PEOPLE AND WILDLIFE FUND / conservation education projects benefiting young Maasai students.
- 5** (5) PRESCHOOL ADVANTAGE / scholarships for preschool children from local families with modest incomes.

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** (1) AP ACHIEVEMENT AWARDS IN MATH & SCIENCE -- To underscore the importance of math and science; to encourage serious study; to increase consciousness about career choice; and to reward strong performance.
- 2** (2) UNIVERSITY / INNER CITY SCHOOL PARTNERSHIP -- Non-cognitive learning and resulting healthful behaviors
provide a base for successful cognitive learning (the traditional school experience). The MAG offers experiential opportunities: public spaces, public art, education infrastructure, and creative workshops.
- (3) VOCATIONAL EDUCATION via Roots & Wings for needy children who age out of the Foster Care program.

All other program-related investments. See instructions

3

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	572221
b	Average of monthly cash balances	1b	26139
c	Fair market value of all other assets (see instructions)	1c	
d	Total (add lines 1a, b, and c)	1d	598360
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	
2	Acquisition indebtedness applicable to line 1 assets	2	
3	Subtract line 2 from line 1d	3	598360
4	Cash deemed held for charitable activities. Enter 1½% of line 3 (for greater amount, see instructions)	4	8975
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	589385
6	Minimum investment return. Enter 5% of line 5	6	29469

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	29469
2a	Tax on investment income for 2019 from Part VI, line 5	2a	1082
b	Income tax for 2019. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	1082
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	28387
4	Recoveries of amounts treated as qualifying distributions	4	
5	Add lines 3 and 4	5	28387
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	28387

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	135584
b	Program-related investments—total from Part IX-B	1b	0
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	0
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	135584
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	1082
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	134502

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 XII, line 7				33987
2 Undistributed income, if any, as of the end of 2019:				
a Enter amount for 2018 only			0	
b Total for prior years: 20____, 20____, 20____		0		
3 Excess distributions carryover, if any, to 2019:				
a From 2014	0			
b From 2015	8355			
c From 2016	45036			
d From 2017	84640			
e From 2018	75672			
f Total of lines 3a through e	213703			
4 Qualifying distributions for 2019 from Part XII, line 4: ► \$ 135584				
a Applied to 2018, but not more than line 2a			0	
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				
e Remaining amount distributed out of corpus	101597			
5 Excess distributions carryover applied to 2019 (If an amount appears in column (d), the same amount must be shown in column (a))	0			0
6 Enter the net total of each column as indicated below:				
a Corpus. Add lines 3f, 4c, and 4e. Subtract line 5	315300			
b Prior years' undistributed income. Subtract line 4b from line 2b		0		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0		
d Subtract line 6c from line 6b. Taxable amount—see instructions		0		
e Undistributed income for 2018. Subtract line 4a from line 2a. Taxable amount—see instructions			0	
f Undistributed income for 2019. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2020				0
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required—see instructions)				
8 Excess distributions carryover from 2014 not applied on line 5 or line 7 (see instructions)	0			
9 Excess distributions carryover to 2020. Subtract lines 7 and 8 from line 6a	315300			
10 Analysis of line 9				
a Excess from 2015	8355			
b Excess from 2016	45036			
c Excess from 2017	84640			
d Excess from 2018	75672			
e Excess from 2019	101597			

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)
- 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 | |
| 85% of line 2a | | | | |
| Qualifying distributions from Part XII, line 4, for each year listed | | | | |
| Amounts included in line 2c not used directly for active conduct of exempt activities | | | | |
| 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 $\frac{2}{3}$ 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).)

PATRICIA W ROCHKIND

- 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 email address of the person to whom applications should be addressed.

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

- c** Any submission deadlines:

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

Part XV Supplementary Information (continued)**3 Grants and Contributions Paid During the Year or Approved for Future Payment**

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
MORRIS SCHOOL DISTRICT 31 Hazel Street Morristown, NJ 07960	PC		To promote educational achievements in math and science at secondary school level	\$10,000
PARSIPPANY-TROY HILLS BD OF EDUC 292 Parsippany Road Parsippany, NJ 07054	PC		To promote educational achievements in math and science at secondary school level.	\$14,000
MORRIS HILLS REG SCHOOL DIST 48 Knoll Drive Rockaway, NJ 07866	PC		To promote educational achievements in math and science at secondary school level.	\$25,000
PRESCHOOL ADVANTAGE 25 Lindsley Drive / Suite 307 Morristown, New Jersey 07960	EOF		To fund tuition scholarships for preschool students from local families with modest incomes who don't qualify for state subsidies.	\$15,000
WAYNE LIBRARY ASSOCIATION Wayne, Maine 04284	PC		To support infrastructure at the Cary Memorial Library and children's reading programs	\$300
ROOTS AND WINGS 75 Bloomfield Avenue / Suite 303 Denville, New Jersey 07834	EOF		To support vocational education for needy young adults who age out of Foster Care via tuition scholarships.	\$20,000
MESSALONSKEE SCHOOL DISTRICT 41 Heath Street Oakland, Maine 04963	PC		To promote educational achievements in math and science at secondary school level	\$2,500
MOUNT OLIVE TWP BD OF EDUCATION 227 US Rt 206, Suite 10 Flanders, NJ 07836	PC		To promote educational achievements in math and science at secondary school level.	\$5,900
MEMORIAL ART GALLERY / U OF ROCHESTER 500 University Avenue Rochester, NY 14607-1484	PC		Partnership between MAG and Rochester inner- city schools to enhance learning outcomes for economically disadvantaged K-6 students	\$25,000
BOONTON BOARD OF EDUCATION 434 Lathrop Avenue Boonton, NJ 07005	PC		To promote educational achievements in math and science at secondary school level.	\$1,000
KINNELON PUBLIC SCHOOLS 109 Kiel Avenue Kinnelon, NJ 07405	PC		To promote educational achievements in math and science at secondary school level	\$4000
AFRICAN PEOPLE AND WILDLIFE FUND PO Box 624 Bernardsville, New Jersey 07924	501(c)(3)		To support secondary education for two Maasai scholars and to continue support of Noloholo Education Center facility	\$6145
ROXBURY HIGH SCHOOL 42 North Hillside Avenue Succasunna, NJ 07876	PC		To promote educational achievements in math and science at secondary school level	1700
RANDOLPH HIGH SCHOOL 25 School House Road Randolph, NJ 07869	PC		To promote educational achievements in math and science at secondary school level	300
GARDINER AREA HIGH SCHOOL 40 W Hill Rd, Gardiner, ME 04345	PC		To promote educational achievements in math and science at secondary school level.	900
BOONTON BOARD OF EDUCATION 434 Lathrop Avenue Boonton, NJ 07005	PC		To promote educational achievements in math and science at secondary school level.	\$1,000
			TOTAL	\$132,745

Total

3b

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated.

	Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See instructions)
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	
1 Program service revenue:					
a _____					
b _____					
c _____					
d _____					
e _____					
f _____					
g Fees and contracts from government agencies					
2 Membership dues and assessments					
3 Interest on savings and temporary cash investments					
4 Dividends and interest from securities					9379
5 Net rental income or (loss) from real estate:					
a Debt-financed property					
b Not debt-financed property					
6 Net rental income or (loss) from personal property					
7 Other investment income					4126
8 Gain or (loss) from sales of assets other than inventory					98940
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue: a _____					
b _____					
c _____					
d _____					
e _____					
12 Subtotal. Add columns (b), (d), and (e)					112445
13 Total. Add line 12, columns (b), (d), and (e)				13	112445

(See worksheet in line 13 instructions to verify calculations.)

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

Line No: ▼	Explain below how each activity for which income is reported in column (e) of Part XVI-A contributed importantly to the accomplishment of the foundation's exempt purposes (other than by providing funds for such purposes). (See instructions)
	Principal Program: AP ACHIEVEMENT AWARDS IN MATH AND SCIENCE
	Since inception in 2007, 2420 awards have been disbursed by public high schools participating in the program. There are currently 14 high schools participating: 10 in New Jersey, 4 in Maine. By achieving a "5" on national AP exams in qualifying subjects (calculus, physics, chemistry, biology, statistics, computer science) students may earn multiple awards in a single school year. The 2420 awards distributed have been earned by 1775 awardees. The most stunning achievement occurred in 2016 when a 12th grade student at a NJ high school earned 5 awards in a single year. That student is now an undergraduate at California Institute of Technology. Since inception of the program, 28 students have earned 4 awards in a single year. Since inception, \$566,800 have been disbursed by participating schools.
	Multi-year studies of per capita GDP growth show that countries with higher math and science analytical skills grow faster than those with lower skilled populations. Technological leadership and profitable innovation depend on these very same analytical skills. In the end, if our country is to maintain and broaden its standard of living and quality of life, we need to produce more math and science graduates with advanced degrees – some of whom we hope will choose to become K-12 teachers. All of this starts by encouraging young people who demonstrate the capacity for high performance in math and science to pursue further studies in these fields.
	Principal Program: UNIVERSITY MEMORIAL ART GALLERY / ROCHESTER INNER CITY SCHOOL PARTNERSHIP
	Using the Memorial Art Gallery as an instructional conduit, 475 students from grades 1-4 from 3 public schools visit the museum for one morning each week for a period of 10 weeks. Students spend time in the galleries, they talk about what they see, and then join creative workshops. The opportunity for self-expression in a non-judgmental environment nurtures self-confidence. Students learn how to behave in public spaces, learn group decorum, and learn to be sensitive to the needs of others. The belief is that non-cognitive learning in this program will prepare students for more conventional cognitive learning in later years.

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

FEDERAL STATEMENTS - 990 PF / 2019

THE ROCHKIND-WAGNER FOUNDATION 20-6767596

Statement 1**Part I - Line 1**

Foundation operated as a Conduit Private Foundation in 2019.
 QCD contributions from Patricia W Rochkind IRA (\$5600).

Statement 2**Part I - Line 11**

Capital Gain Distributions = \$ 4126

India Fund Inc	3943
Mid America AP 8.5% PFD	183

Statement 3**Part I - Line 18**

Total taxes = \$ 635

2018 overpayment credited to 2019	169
2019 Estimated Taxes paid in 2018	450
2019 Foreign Tax Paid	16

Statement 4**Part I - Line 23**

Other Expenses = \$ 5653

Trustee Meetings (10)	946
Supplies / Administration	503
Books / Periodicals	590
Mailing and Communications Svcs	466
Investment Management	3148

CONTINUED NEXT PAGE

Statement 5			
Part II - Line 10b			
Corporate stocks held at YE2019 / end of year market value = \$ 572003			
AT&T	250 sh	9770	
INDIA FUND INC	1700 sh	34221	
INTUITIVE SURGICAL	550 sh	325132	
IQVIA HOLDINGS INC	480 sh	74165	
MID AMERICA APAR 8.5% PFD / I	500 sh	32995	
PIMCO DYNAMIC CREDIT INC FD	1000 sh	25200	
BANK OF AMERICA 5.875.5 PFD	1000 sh	27080	
SIMON PROPERTY GP 8.375% PFD / J	600 sh	43440	
Statement 6			
Part II - Line 22b			
Foundation administrative expenses incurred in 2019, paid in 2020 / \$6446			
TRAVEL (Site Visits) and CONFERENCES	274		
INVESTMENT EXPENSES	3607		
OTHER ADMINISTRATIVE EXPENSES	2565		
Statement 7			
Part XIII - Line 1(d)			
Foundation operated as a Conduit Private Foundation in 2019.			
Line 1(d) : \$33987 consisting of			
Distributable amount for 2019 (Part XI / Line 7)	28387		
QCD contributions	5600		

Schedule B(Form 990, 990-EZ,
or 990-PF)Department of the Treasury
Internal Revenue Service**Schedule of Contributors**▶ Attach to Form 990, Form 990-EZ, or Form 990-PF.
▶ Go to www.irs.gov/Form990 for the latest information.

OMB No 1545-0047

2019

Name of the organization

ROCHKIND-WAGNER FOUNDATION

Employer identification number

20-6767596

Organization type (check one):

Filers of:

Section:

Form 990 or 990-EZ

☒ 501(c)(3) (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 33 $\frac{1}{3}$ % 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, 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).

Name of organization

Employer identification number

ROCHKIND-WAGNER FOUNDATION

20-6767596

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	PATRICIA W ROCHKIND 19 EXETER LANE MORRISTOWN, NJ 07960	\$ 5600	Person ☒ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)

Name of organization

Employer identification number

ROCHKIND-WAGNER FOUNDATION

20-6767596

Part II Noncash Property (see instructions). Use duplicate copies of Part II if additional space is needed.

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions)	(d) Date received
	----- ----- ----- -----	\$-----	-----
	----- ----- ----- -----	\$-----	-----
	----- ----- ----- -----	\$-----	-----
	----- ----- ----- -----	\$-----	-----
	----- ----- ----- -----	\$-----	-----
	----- ----- ----- -----	\$-----	-----
	----- ----- ----- -----	\$-----	-----