

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

Name of foundation DANIEL AND SUSAN PFAU CHARITABLE FOUNDATION		A Employer identification number 31-1411794	
Number and street (or P.O. box number if mail is not delivered to street address) 116 ALLEGHENY CENTER MALL P8YB3502L		Room/suite	
City or town, state or province, country, and ZIP or foreign postal code PITTSBURGH, PA 15212		B Telephone number (see instructions) (412) 762-0861	
G Check all that apply: <div><input type="checkbox"/> Initial return</div> <div><input type="checkbox"/> Initial return of a former public charity</div> <div><input type="checkbox"/> Final return</div> <div><input type="checkbox"/> Amended return</div> <div><input type="checkbox"/> Address change</div> <div><input type="checkbox"/> Name change</div>		D 1. Foreign organizations, check here..... 2. Foreign organizations meeting the 85% test, check here and attach computation ...	
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	
I Fair market value of all assets at end of year (from Part II, col. (c), line 16) ▶\$ 26,442,159		F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here	
J Accounting method: <input type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____ (Part I, column (d) must be on cash basis.)			

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions).)		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc., received (attach schedule)				
	2 Check <input checked="" type="checkbox"/> if the foundation is not required to attach Sch. B				
	3 Interest on savings and temporary cash investments				
	4 Dividends and interest from securities . . .	584,814	584,814		
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	264,515			
	b Gross sales price for all assets on line 6a 4,367,817				
	7 Capital gain net income (from Part IV, line 2) . . .		264,515		
	8 Net short-term capital gain			0	
	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)				
	12 Total. Add lines 1 through 11	849,329	849,329		
	13 Compensation of officers, directors, trustees, etc.	66,638	53,310		13,328
	14 Other employee salaries and wages		0	0	0
	15 Pension plans, employee benefits		0	0	
	16a Legal fees (attach schedule)				0
	b Accounting fees (attach schedule)				
	c Other professional fees (attach schedule)				0
	17 Interest				0
	18 Taxes (attach schedule) (see instructions) . . .	7,375	475		0
	19 Depreciation (attach schedule) and depletion . . .	0	0		
	20 Occupancy				
	21 Travel, conferences, and meetings	592	0	0	592
	22 Printing and publications		0	0	
	23 Other expenses (attach schedule)	63,180	942		62,238
	24 Total operating and administrative expenses. Add lines 13 through 23	137,785	54,727	0	76,158
	25 Contributions, gifts, grants paid	1,318,775			1,318,775
	26 Total expenses and disbursements. Add lines 24 and 25	1,456,560	54,727	0	1,394,933
	27 Subtract line 26 from line 12:				
	a Excess of revenue over expenses and disbursements	-607,231			
	b Net investment income (if negative, enter -0-)		794,602		
c Adjusted net income (if negative, enter -0-) . . .				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	1 Cash—non-interest-bearing			
	2 Savings and temporary cash investments	398,355	456,279	456,279
	3 Accounts receivable ▶ _____ Less: allowance for doubtful accounts ▶ _____		0	0
	4 Pledges receivable ▶ _____ Less: allowance for doubtful accounts ▶ _____			
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
	7 Other notes and loans receivable (attach schedule) ▶ _____ Less: allowance for doubtful accounts ▶ _____ 0			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10a Investments—U.S. and state government obligations (attach schedule)	1,995	1,824	1,914
	b Investments—corporate stock (attach schedule)	5,746,627	5,927,287	8,587,370
	c Investments—corporate bonds (attach schedule)	2,333,716	1,821,331	1,847,376
	11 Investments—land, buildings, and equipment: basis ▶ _____ Less: accumulated depreciation (attach schedule) ▶ _____			
	12 Investments—mortgage loans			
	13 Investments—other (attach schedule)	10,999,447	10,666,225	15,549,220
	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)	19,480,140	18,872,946	26,442,159	
Liabilities	17 Accounts payable and accrued expenses			
	18 Grants payable			
	19 Deferred revenue			
	20 Loans from officers, directors, trustees, and other disqualified persons			
	21 Mortgages and other notes payable (attach schedule)			
	22 Other liabilities (describe ▶ _____)			
	23 Total liabilities (add lines 17 through 22)		0	
Net Assets or Fund Balances	Foundations that follow FASB ASC 958, check here ▶ <input type="checkbox"/> and complete lines 24, 25, 29 and 30.			
	24 Net assets without donor restrictions			
	25 Net assets with donor restrictions			
	Foundations that do not follow FASB ASC 958, check here ▶ <input checked="" type="checkbox"/> and complete lines 26 through 30.			
	26 Capital stock, trust principal, or current funds	19,480,140	18,872,946	
	27 Paid-in or capital surplus, or land, bldg., and equipment fund			
	28 Retained earnings, accumulated income, endowment, or other funds	0		
	29 Total net assets or fund balances (see instructions)	19,480,140	18,872,946	
30 Total liabilities and net assets/fund balances (see instructions) .	19,480,140	18,872,946		

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	19,480,140
2 Enter amount from Part I, line 27a	2	-607,231
3 Other increases not included in line 2 (itemize) ▶ _____	3	37
4 Add lines 1, 2, and 3	4	18,872,946
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	18,872,946

Part IV Capital Gains and Losses for Tax on Investment Income

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

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h))
(i) 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	
a See Additional Data Table			
b			
c			
d			
e			

2 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>	2	264,515
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 does not qualify under section 4940(e). Do not complete this part.

1 Enter the appropriate amount in each column for each year; see instructions before making any entries.

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2018	1,487,646	25,282,216	0.058842
2017	1,502,725	24,628,262	0.061016
2016	1,318,022	23,065,412	0.057143
2015	1,534,658	24,234,741	0.063325
2014	1,220,879	24,345,864	0.050147

2 Total of line 1, column (d)	2	0.290473
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	0.058095
4 Enter the net value of noncharitable-use assets for 2019 from Part X, line 5	4	24,772,889
5 Multiply line 4 by line 3	5	1,439,181
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	7,946
7 Add lines 5 and 6	7	1,447,127
8 Enter qualifying distributions from Part XII, line 4	8	1,394,933

If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate. See the Part VI instructions.

Part VI Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948—see instructions)

1a	Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1. Date of ruling or determination letter: _____ (attach copy of letter if necessary—see instructions)		
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input type="checkbox"/> and enter 1% of Part I, line 27b	1	15,892
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	15,892
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	15,892
6	Credits/Payments:		
a	2019 estimated tax payments and 2018 overpayment credited to 2019	6a	13,718
b	Exempt foreign organizations—tax withheld at source	6b	
c	Tax paid with application for extension of time to file (Form 8868)	6c	0
d	Backup withholding erroneously withheld	6d	
7	Total credits and payments. Add lines 6a through 6d.	7	13,718
8	Enter any penalty for underpayment of estimated tax. Check here <input checked="" type="checkbox"/> if Form 2220 is attached.	8	0
9	Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9	2,174
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 0 Refunded	11	0

Part VII-A Statements Regarding Activities

	Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		No
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>		No
c Did the foundation file Form 1120-POL for this year?		No
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? <i>If "Yes," attach a detailed description of the activities.</i>		No
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? <i>If "Yes," attach a conformed copy of the changes</i>		No
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		No
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? <i>If "Yes," attach the statement required by General Instruction T.</i>		No
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?	Yes	
7 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>	Yes	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) OH _____		
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>		No
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 taxable year beginning in 2019? See the instructions for Part XIV. <i>If "Yes," complete Part XIV</i>		No
10 Did any persons become substantial contributors during the tax year? <i>If "Yes," attach a schedule listing their names and addresses.</i>		No

Part VII-A Statements Regarding Activities (continued)

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.	11		No
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	12		No
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► _____	13	Yes	
14	The books are in care of ► PNC BANK NA Telephone no. ► (412) 762-0861			
Located at ► 116 ALLEGHENY CENTER MALL PITTSBURGH PA ZIP+4 ► 15212				
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 —check here <input type="checkbox"/> 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 ► _____	16	Yes	No

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

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.		Yes	No
1a	During the year did the foundation (either directly or indirectly):		
(1)	Engage in the sale or exchange, or leasing of property with a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(2)	Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(3)	Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(4)	Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
(5)	Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(6)	Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b	If any answer is "Yes" to 1a(1)–(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance? See instructions <input type="checkbox"/> Organizations relying on a current notice regarding disaster assistance check here. <input type="checkbox"/>	1b	No
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2019?	1c	No
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 (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	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.)	2b	
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. ► 20____, 20____, 20____, 20____		
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b	If "Yes," did it have excess business holdings in 2019 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969; (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest; or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2019.)	3b	
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a	No
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?	4b	No

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:		Yes	No
(1)	Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(2)	Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(3)	Provide a grant to an individual for travel, study, or other similar purposes?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(4)	Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? See instructions.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(5)	Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b	If any answer is "Yes" to 5a(1)–(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance? See instructions		5b	
	Organizations relying on a current notice regarding disaster assistance check here.	<input type="checkbox"/>		
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?	<input type="checkbox"/> Yes <input type="checkbox"/> No		
	<i>If "Yes," attach the statement required by Regulations section 53.4945–5(d).</i>			
6a	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	6b	No
b	Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?			
	<i>If "Yes" to 6b, file Form 8870.</i>			
7a	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		7b	
b	If "Yes", did the foundation receive any proceeds or have any net income attributable to the transaction?			
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 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

1 List all officers, directors, trustees, 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
PNC BANK N A 116 ALLEGHENY CENTER MALL PITTSBURGH, PA 15212	TRUSTEE 13	66,638		
2 Compensation of five highest-paid employees (other than those included on line 1—see instructions). If none, enter "NONE."				
(a) Name and address of each employee paid more than \$50,000	(b) Title, and average hours per week devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
NONE				
Total number of other employees paid over \$50,000.				0

Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors (continued)
3 Five highest-paid independent contractors for professional services (see instructions). If none, enter "NONE".

(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
NONE		
Total number of others receiving over \$50,000 for professional services. ►		0

Part IX-A Summary of Direct Charitable Activities

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

	Expenses
1	
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 ►	

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	25,150,141
b	Average of monthly cash balances.	1b	0
c	Fair market value of all other assets (see instructions).	1c	0
d	Total (add lines 1a, b, and c).	1d	25,150,141
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation).	1e	0
2	Acquisition indebtedness applicable to line 1 assets.	2	0
3	Subtract line 2 from line 1d.	3	25,150,141
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	377,252
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	24,772,889
6	Minimum investment return. Enter 5% of line 5.	6	1,238,644

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	1,238,644
2a	Tax on investment income for 2019 from Part VI, line 5.	2a	15,892
b	Income tax for 2019. (This does not include the tax from Part VI.).	2b	
c	Add lines 2a and 2b.	2c	15,892
3	Distributable amount before adjustments. Subtract line 2c from line 1.	3	1,222,752
4	Recoveries of amounts treated as qualifying distributions.	4	0
5	Add lines 3 and 4.	5	1,222,752
6	Deduction from distributable amount (see instructions).	6	0
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1.	7	1,222,752

Part XII Qualifying Distributions (see instructions)

1	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes:		
a	Expenses, contributions, gifts, etc.—total from Part I, column (d), line 26.	1a	1,394,933
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	0
b	Cash distribution test (attach the required schedule).	3b	0
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	1,394,933
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b. See instructions.	5	0
6	Adjusted qualifying distributions. Subtract line 5 from line 4.	6	1,394,933

Note: The amount on line 6 will be used in Part V, column (b), in subsequent years when calculating whether the foundation qualifies for the section 4940(e) reduction of tax in those years.

Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2018	(c) 2018	(d) 2019
1 Distributable amount for 2019 from Part XI, line 7				1,222,752
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.	39,179			
b From 2015.	343,635			
c From 2016.	187,029			
d From 2017.	323,910			
e From 2018.	250,801			
f Total of lines 3a through e.	1,144,554			
4 Qualifying distributions for 2019 from Part XII, line 4: ► \$ 1,394,933				
a Applied to 2018, but not more than line 2a			0	
b Applied to undistributed income of prior years (Election required—see instructions).		0		
c Treated as distributions out of corpus (Election required—see instructions).	0			
d Applied to 2019 distributable amount.				1,222,752
e Remaining amount distributed out of corpus	172,181			
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	1,316,735			
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).	0			
8 Excess distributions carryover from 2014 not applied on line 5 or line 7 (see instructions).	39,179			
9 Excess distributions carryover to 2020. Subtract lines 7 and 8 from line 6a.	1,277,556			
10 Analysis of line 9:				
a Excess from 2015.	343,635			
b Excess from 2016.	187,029			
c Excess from 2017.	323,910			
d Excess from 2018.	250,801			
e Excess from 2019.	172,181			

Part XIV

[illegible]

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:

DANIEL AND SUSAN PFAU FOUNDATION
200 WEST FOURTH STREET
CINCINNATI, OH 45202
(513) 241-2880

b The form in which applications should be submitted and information and materials they should include:
LETTER OF INQUIRY REQUIRED - REFER TO www.gcfdn.org FOR THE ON-LINE FORM (FROM THE MENU TAB, SELECT GRANTS, PRIVATE FOUNDATION GRANTS, AND THEN THE DANIEL AND SUSAN PFAU FOUNDATION)

c Any submission deadlines:
FOLLOW INSTRUCTIONS ABOVE TO FIND SUBMISSION DEADLINES

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

FOLLOW INSTRUCTIONS ABOVE TO FIND RESTRICTIONS OR LIMITATIONS

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a <i>Paid during the year</i> See Additional Data Table				
Total			▶ 3a	1,318,775
b <i>Approved for future payment</i>				
Total			▶ 3b	

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. . . .			14	584,814	
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.					
8 Gain or (loss) from sales of assets other than inventory			18	264,515	
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). . .				849,329	
13 Total. Add line 12, columns (b), (d), and (e). (See worksheet in line 13 instructions to verify calculations.)			13	849,329	849,329

[illegible]

Part XVII

- | | | | |
|--|--|-----|----|
| | | Yes | No |
|--|--|-----|----|

--	--	--

- | | | |
|-------|--|----|
| 1a(1) | | No |
| 1a(2) | | No |

--	--	--

- | | | |
|--------------|--|-----------|
| 1b(1) | | No |
| 1b(2) | | No |
| 1b(3) | | No |
| 1b(4) | | No |
| 1b(5) | | No |
| 1b(6) | | No |

1c		No
----	--	----

value
ue

[illegible]

2a Is the foundation directly or indirectly affiliated with, or related to, one or more tax-exempt organizations

described in section 501(c) (other than section 501(c)(3)) or in section 527? ☐ Yes ☒ No

b If "Yes," complete the following schedule.

(a) Name of organization	(b) Type of organization	(c) Description of relationship

<p>Sign Here</p> <p>*****</p> <p>_____</p> <p>Signature of officer or trustee</p>	<p>2020-05-01</p> <p>_____</p> <p>Date</p>	<p>*****</p> <p>_____</p> <p>Title</p>
--	--	--

May the IRS discuss this return with the preparer shown below (see instr.) ☐ **Yes** ☐ **No**

Paid Preparer Use Only					
	Firm's name ▶				Firm's EIN ▶
	Firm's address ▶				Phone no.

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

List and describe the kind(s) of property sold (e.g., real estate, (a) 2-story brick warehouse; or common stock, 200 shs. MLC Co.)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
5.04 FEDERAL HOME LN MTG CORP GOLD POOL C00676		1998-12-29	2019-01-01
8.97 GOVERNMENT NATL MTG ASSN POOL 489108		1999-07-27	2019-01-01
1. ALPHABET INC/CA-CL A		2014-08-26	2019-01-02
1. AMAZON.COM INC		2018-06-07	2019-01-02
6. APPLE INC		2017-10-09	2019-01-02
1544. APPLIED MATERIALS INC		2016-09-14	2019-01-02
1. AUTOZONE INC		2018-10-15	2019-01-02
3. BIOGEN INC		2016-09-14	2019-01-02
2. BOEING CO		2018-06-07	2019-01-02
4. BURLINGTON STORES INC		2016-09-14	2019-01-02

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
5		5	
9		9	
1,045		589	456
1,477		1,699	-222
935		936	-1
49,979		45,505	4,474
838		778	60
880		830	50
631		745	-114
631		328	303

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h))
(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
			456
			-222
			-1
			4,474
			60
			50
			-114
			303

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

List and describe the kind(s) of property sold (e.g., real estate, (a) 2-story brick warehouse; or common stock, 200 shs. MLC Co.)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1523. DOWDUPONT INC REV SPLIT 06/03/19			2019-01-02
337. FEDEX CORPORATION		2018-06-07	2019-01-02
3240. FIRST DATA CORP- CLASS A MERGED 07/29/19		2018-10-15	2019-01-02
1939. SUNCOR ENERGY INC ISIN CA8672241079 SEDOL B3NB1P2		2018-10-15	2019-01-02
1371. TEXAS INSTRS INC COM		2016-03-03	2019-01-02
792. UNITED TECHNOLOGIES CORP COM		2018-10-15	2019-01-02
696. ROYAL CARRIBEAN CRUISES LTD SEDOL 2754907 ISIN LR0008862868		2017-10-09	2019-01-02
4.57 FEDERAL HOME LN MTG CORP GOLD POOL C00676		1998-12-29	2019-01-15
8.29 GOVERNMENT NATL MTG ASSN POOL 489108		1999-07-27	2019-01-15
100000. WELLS FARGO & COMPANY UNSC		2014-01-16	2019-01-15

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
80,523		81,816	-1,293
53,414		86,858	-33,444
54,660		75,200	-20,540
53,593		71,491	-17,898
128,519		75,306	53,213
83,237		102,833	-19,596
66,756		86,426	-19,670
5		5	
8		8	
100,000		100,000	

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h))
(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
			-1,293
			-33,444
			-20,540
			-17,898
			53,213
			-19,596
			-19,670

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

List and describe the kind(s) of property sold (e.g., real estate, (a) 2-story brick warehouse; or common stock, 200 shs. MLC Co.)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
6.04 FEDERAL HOME LN MTG CORP GOLD POOL C00676		1998-12-29	2019-01-31
8.34 GOVERNMENT NATL MTG ASSN POOL 489108		1999-07-27	2019-01-31
1. FEDERAL HOME LOAN MORTGAGE CORP 313400301		2001-01-01	2019-02-13
6.98 FEDERAL HOME LN MTG CORP GOLD POOL C00676		1998-12-29	2019-02-28
8.4 GOVERNMENT NATL MTG ASSN POOL 489108		1999-07-27	2019-02-28
1. PFIZER INC 717081103		2001-01-01	2019-03-20
8.18 FEDERAL HOME LN MTG CORP GOLD POOL C00676		1998-12-29	2019-03-31
8.45 GOVERNMENT NATL MTG ASSN POOL 489108		1999-07-27	2019-03-31
824. ABBVIE INC		2018-06-07	2019-04-04
1. AMERICAN WATER WORKS CO INC		2016-03-03	2019-04-04

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
6		6	
8		8	
211		25	186
7		7	
8		8	
132		25	107
8		8	
8		8	
67,925		82,690	-14,765
104		68	36

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h))
(i) F.M.V. as of 12/31/69	Adjusted basis (j) as of 12/31/69	Excess of col. (i) (k) over col. (j), if any	
			186
			107
			-14,765
			36

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

List and describe the kind(s) of property sold (e.g., real estate, (a) 2-story brick warehouse; or common stock, 200 shs. MLC Co.)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
2. AMGEN INC		2014-04-08	2019-04-04
938. APPLE INC			2019-04-04
2359. ARCHER DANIELS MIDLAND CO		2018-10-15	2019-04-04
2. AUTOMATIC DATA PROCESSING INC		2018-06-07	2019-04-04
3. BANK NEW YORK MELLON CORP COM		2016-09-14	2019-04-04
2. BAXTER INTERNATIONAL INC		2018-06-07	2019-04-04
360. BIOGEN INC			2019-04-04
4. BRISTOL MYERS SQUIBB CO		2018-10-15	2019-04-04
442. BURLINGTON STORES INC		2016-09-14	2019-04-04
7. CBRE GROUP INC		2018-06-07	2019-04-04

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
384		239	145
183,836		53,027	130,809
101,015		115,332	-14,317
318		271	47
154		122	32
161		151	10
84,229		97,651	-13,422
185		230	-45
68,141		36,219	31,922
357		337	20

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h))
(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
			145
			130,809
			-14,317
			47
			32
			10
			-13,422
			-45
			31,922
			20

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

List and describe the kind(s) of property sold (e.g., real estate, (a) 2-story brick warehouse; or common stock, 200 shs. MLC Co.)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
4. CSX CORP COM		2018-10-15	2019-04-04
3. CENTENE CORP		2018-06-07	2019-04-04
549. CHEVRON CORPORATION		2018-10-15	2019-04-04
1194. CITIGROUP INC		2017-10-09	2019-04-04
7. CITIZENS FINANCIAL GROUP		2017-02-01	2019-04-04
10. COMCAST CORPORATION CL A		2018-10-15	2019-04-04
3. CONOCOPHILLIPS		2018-06-07	2019-04-04
1. DANAHER CORP		2018-10-15	2019-04-04
2. DOLLAR GENERAL CORP		2018-12-28	2019-04-04
2. EASTMAN CHEM CO		2018-06-07	2019-04-04

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
299		280	19
161		179	-18
68,223		64,568	3,655
78,595		89,980	-11,385
243		256	-13
404		346	58
197		206	-9
131		103	28
237		214	23
162		220	-58

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h))
(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
			19
			-18
			3,655
			-11,385
			-13
			58
			-9
			28
			23
			-58

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

List and describe the kind(s) of property sold (e.g., real estate, (a) 2-story brick warehouse; or common stock, 200 shs. MLC Co.)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
2. FACEBOOK INC		2016-03-03	2019-04-04
1. HOME DEPOT INC COM		2012-02-08	2019-04-04
6. J P MORGAN CHASE & CO COM		2006-05-09	2019-04-04
3. KOHLS CORP COM		2018-06-07	2019-04-04
3. LILLY ELI & CO		2018-10-15	2019-04-04
824. MCCORMICK & CO INC COM NON VTG		2018-10-15	2019-04-04
2. MCDONALDS CORP COM		2017-10-09	2019-04-04
2046. MORGAN STANLEY		2017-02-01	2019-04-04
1037. OCCIDENTAL PETE CORP COM		2018-06-07	2019-04-04
7. PFIZER INC COM		2018-06-07	2019-04-04

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
354		219	135
200		45	155
632		278	354
217		231	-14
377		332	45
124,803		109,452	15,351
380		320	60
91,746		87,616	4,130
68,726		90,250	-21,524
298		256	42

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h))
(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
			135
			155
			354
			-14
			45
			15,351
			60
			4,130
			-21,524
			42

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

List and describe the kind(s) of property sold (e.g., real estate, (a) 2-story brick warehouse; or common stock, 200 shs. MLC Co.)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1052. PRICE T ROWE GROUP INC COM		2017-10-09	2019-04-04
1. RAYTHEON COMPANY		2016-03-03	2019-04-04
1. S&P GLOBAL INC		2016-06-01	2019-04-04
5. SUNTRUST BANKS INC COM		2017-02-01	2019-04-04
3. T-MOBILE US INC		2017-10-09	2019-04-04
4. TOTAL FINA S A		2015-08-19	2019-04-04
2. UNITED RENTALS INC COM		2017-10-09	2019-04-04
1. UNITEDHEALTH GROUP INC COM		2017-02-01	2019-04-04
2. VISA INC CLASS A SHARES		2013-01-14	2019-04-04
3. WEC ENERGY GROUP INC		2009-03-31	2019-04-04

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
107,872		97,016	10,856
178		125	53
213		111	102
308		286	22
209		185	24
224		191	33
244		285	-41
248		163	85
314		80	234
230		62	168

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h))
(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
			10,856
			53
			102
			22
			24
			33
			-41
			85
			234
			168

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

List and describe the kind(s) of property sold (e.g., real estate, (a) 2-story brick warehouse; or common stock, 200 shs. MLC Co.)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
3. WASTE MANAGEMENT INC		2018-06-07	2019-04-04
268. WELLCARE HEALTH PLANS, INC. MERGED 1/23/20 @ \$120.00 P/S		2018-10-15	2019-04-04
1370. TE CONNECTIVITY LTD SEDOL B62B7C3 ISIN CH0102993182		2017-10-09	2019-04-04
100000. MEDTRONIC INC COGT		2016-10-12	2019-04-06
100000. JOHN DEERE CAPITAL CORP UNSEC		2014-04-10	2019-04-17
6.21 FEDERAL HOME LN MTG CORP GOLD POOL C00676		1998-12-29	2019-04-30
8.51 GOVERNMENT NATL MTG ASSN POOL 489108		1999-07-27	2019-04-30
3. ALEXION PHARMACEUTICALS INC		2019-04-04	2019-05-15
1. ALPHABET INC/CA-CL A		2019-04-04	2019-05-15
5. AMERICAN WATER WORKS CO INC		2016-03-03	2019-05-15

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
307		251	56
74,512		82,370	-7,858
117,903		118,119	-216
100,000		100,000	
100,000		100,000	
6		6	
9		9	
380		420	-40
1,123		1,219	-96
550		340	210

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h))
(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
			56
			-7,858
			-216
			-40
			-96
			210

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

List and describe the kind(s) of property sold (e.g., real estate, (a) 2-story brick warehouse; or common stock, 200 shs. MLC Co.)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
3. AMGEN INC		2014-04-08	2019-05-15
822. AMPHENOL CORP NEW CL A			2019-05-15
5. APPLE INC		2006-08-28	2019-05-15
4. AUTOMATIC DATA PROCESSING INC		2018-06-07	2019-05-15
1. AUTOZONE INC		2019-04-04	2019-05-15
9. BP PLC SPONSORED ADR		2019-04-04	2019-05-15
34. BANK OF AMERICA CORP		2019-04-04	2019-05-15
1305. BANK NEW YORK MELLON CORP COM		2016-09-14	2019-05-15
6. BAXTER INTERNATIONAL INC		2018-06-07	2019-05-15
379. BOEING CO			2019-05-15

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
502		359	143
75,392		66,093	9,299
931		49	882
631		543	88
987		1,042	-55
371		397	-26
957		992	-35
60,707		53,244	7,463
453		452	1
128,270		142,413	-14,143

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h))
(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
			143
			9,299
			882
			88
			-55
			-26
			-35
			7,463
			1
			-14,143

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

List and describe the kind(s) of property sold (e.g., real estate, (a) 2-story brick warehouse; or common stock, 200 shs. MLC Co.)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
9. BOOZ ALLEN HAMILTON HOLDING		2019-04-04	2019-05-15
7. BRISTOL MYERS SQUIBB CO		2018-10-15	2019-05-15
2. BROADCOM INC		2019-04-04	2019-05-15
2. BURLINGTON STORES INC		2016-09-14	2019-05-15
13. CBRE GROUP INC		2018-06-07	2019-05-15
8. CSX CORP COM		2018-10-15	2019-05-15
6. CELANESE CORP		2018-06-07	2019-05-15
7. CENTENE CORP		2018-06-07	2019-05-15
3. CHEVRON CORPORATION		2018-10-15	2019-05-15
6. CHURCH & DWIGHT INC		2019-04-04	2019-05-15

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
539		523	16
320		403	-83
600		607	-7
317		164	153
616		626	-10
620		561	59
596		710	-114
380		417	-37
364		353	11
435		434	1

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h))
(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
			16
			-83
			-7
			153
			-10
			59
			-114
			-37
			11
			1

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d			
List and describe the kind(s) of property sold (e.g., real estate, (a) 2-story brick warehouse; or common stock, 200 shs. MLC Co.)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
17. CISCO SYS INC COM			2019-05-15
14. CITIZENS FINANCIAL GROUP		2017-02-01	2019-05-15
19. COMCAST CORPORATION CL A		2018-10-15	2019-05-15
6. CONOCOPHILLIPS		2018-06-07	2019-05-15
2. COSTCO WHSL CORP NEW COM		2019-04-04	2019-05-15
4. DANAHER CORP		2018-10-15	2019-05-15
4. DOLLAR GENERAL CORP		2018-12-28	2019-05-15
4. DUKE ENERGY HOLDING CORP			2019-05-15
754. EASTMAN CHEM CO		2018-06-07	2019-05-15
4. FACEBOOK INC		2016-03-03	2019-05-15

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
880		774	106
481		511	-30
812		658	154
372		411	-39
484		488	-4
519		412	107
469		428	41
349		348	1
54,438		82,905	-28,467
720		438	282

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h))
(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
			106
			-30
			154
			-39
			-4
			107
			41
			1
			-28,467
			282

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d			
List and describe the kind(s) of property sold (e.g., real estate, (a) 2-story brick warehouse; or common stock, 200 shs. MLC Co.)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
3. HCA HEALTHCARE INC		2019-04-04	2019-05-15
4. HOME DEPOT INC COM		2012-02-08	2019-05-15
15. INTEL CORP		2018-12-28	2019-05-15
3. INTERNATIONAL FLAVORS & FRAGRANCES INC		2019-04-04	2019-05-15
12. J P MORGAN CHASE & CO COM		2006-05-09	2019-05-15
6. KOHLS CORP COM		2018-06-07	2019-05-15
3. LAUDER ESTEE COS INC CL A		2019-04-04	2019-05-15
4. LILLY ELI & CO		2018-10-15	2019-05-15
4. M&T BK CORP		2019-04-04	2019-05-15
4. MCDONALDS CORP COM		2017-10-09	2019-05-15

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
365		396	-31
763		180	583
672		701	-29
406		396	10
1,308		555	753
391		462	-71
500		489	11
458		442	16
645		651	-6
791		641	150

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h))
(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
			-31
			583
			-29
			10
			753
			-71
			11
			16
			-6
			150

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

List and describe the kind(s) of property sold (e.g., real estate, (a) 2-story brick warehouse; or common stock, 200 shs. MLC Co.)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
16. MICROSOFT CORP			2019-05-15
3. NORFOLK SOUTHN CORP COM			2019-05-15
2. NORTHROP GRUMMAN CORPORATION		2015-08-19	2019-05-15
14. PFIZER INC COM		2018-06-07	2019-05-15
9. PROCTER & GAMBLE CO		2019-04-04	2019-05-15
7. PROGRESSIVE CORP OHIO		2019-04-04	2019-05-15
419. RAYTHEON COMPANY		2016-03-03	2019-05-15
4. S&P GLOBAL INC		2016-06-01	2019-05-15
10. SUNTRUST BANKS INC COM		2017-02-01	2019-05-15
6. T-MOBILE US INC		2017-10-09	2019-05-15

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
1,984		1,764	220
598		488	110
588		352	236
571		511	60
950		927	23
523		509	14
74,325		52,349	21,976
843		443	400
612		572	40
440		369	71

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h))
(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
			220
			110
			236
			60
			23
			14
			21,976
			400
			40
			71

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

List and describe the kind(s) of property sold (e.g., real estate, (a) 2-story brick warehouse; or common stock, 200 shs. MLC Co.)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
9. TOTAL FINA S A		2015-08-19	2019-05-15
3. UNITED RENTALS INC COM		2017-10-09	2019-05-15
3. UNITEDHEALTH GROUP INC COM		2017-02-01	2019-05-15
4. VISA INC CLASS A SHARES		2013-01-14	2019-05-15
9. WEC ENERGY GROUP INC		2009-03-31	2019-05-15
8. WASTE MANAGEMENT INC		2018-06-07	2019-05-15
9.84 FEDERAL HOME LN MTG CORP GOLD POOL C00676		1998-12-29	2019-05-31
8.57 GOVERNMENT NATL MTG ASSN POOL 489108		1999-07-27	2019-05-31
5.5 FEDERAL HOME LN MTG CORP GOLD POOL C00676		1998-12-29	2019-06-30
8.62 GOVERNMENT NATL MTG ASSN POOL 489108		1999-07-27	2019-06-30

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
477		430	47
375		427	-52
705		488	217
637		160	477
717		187	530
850		669	181
10		10	
9		9	
6		6	
9		9	

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h))
(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
			47
			-52
			217
			477
			530
			181

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

List and describe the kind(s) of property sold (e.g., real estate, (a) 2-story brick warehouse; or common stock, 200 shs. MLC Co.)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
3.06 FEDERAL HOME LN MTG CORP GOLD POOL C00676		1998-12-29	2019-07-31
8.68 GOVERNMENT NATL MTG ASSN POOL 489108		1999-07-27	2019-07-31
3.49 FEDERAL HOME LN MTG CORP GOLD POOL C00676		1998-12-29	2019-08-31
8.74 GOVERNMENT NATL MTG ASSN POOL 489108		1999-07-27	2019-08-31
583. ALEXION PHARMACEUTICALS INC		2019-04-04	2019-09-11
64. ALPHABET INC/CA-CL A		2019-04-04	2019-09-11
9. ALPHABET INC/CA-CL A		2014-08-26	2019-09-11
1. AMAZON.COM INC		2018-06-07	2019-09-11
3. AMERICAN WATER WORKS CO INC		2016-03-03	2019-09-11
3. AMGEN INC		2014-04-08	2019-09-11

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
3		3	
9		9	
3		3	
9		9	
63,625		81,587	-17,962
78,069		77,987	82
10,978		5,297	5,681
1,828		1,699	129
361		204	157
589		359	230

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h))
(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
			-17,962
			82
			5,681
			129
			157
			230

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d			
List and describe the kind(s) of property sold (e.g., real estate, (a) 2-story brick warehouse; or common stock, 200 shs. MLC Co.)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
4. APPLE INC		2006-08-28	2019-09-11
4. AUTOMATIC DATA PROCESSING INC		2018-06-07	2019-09-11
1. AUTOZONE INC		2018-10-15	2019-09-11
8. BP PLC SPONSORED ADR		2019-04-04	2019-09-11
902. BANK OF AMERICA CORP		2019-04-04	2019-09-11
5. BAXTER INTERNATIONAL INC		2018-06-07	2019-09-11
1360. BERRY GLOBAL GROUP INC		2019-05-15	2019-09-11
8. BOOZ ALLEN HAMILTON HOLDING		2019-04-04	2019-09-11
6. BRISTOL MYERS SQUIBB CO		2018-10-15	2019-09-11
2. BROADCOM INC		2019-04-04	2019-09-11

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
890		39	851
645		543	102
1,155		778	377
302		353	-51
26,518		26,320	198
435		377	58
52,747		67,130	-14,383
557		465	92
295		345	-50
595		607	-12

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h))
(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
			851
			102
			377
			-51
			198
			58
			-14,383
			92
			-50
			-12

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d			
List and describe the kind(s) of property sold (e.g., real estate, (a) 2-story brick warehouse; or common stock, 200 shs. MLC Co.)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
2. BURLINGTON STORES INC		2016-09-14	2019-09-11
1232. CBRE GROUP INC		2018-06-07	2019-09-11
7. CSX CORP COM		2018-10-15	2019-09-11
5. CELANESE CORP		2018-06-07	2019-09-11
1354. CENTENE CORP		2018-06-07	2019-09-11
3. CHEVRON CORPORATION		2018-10-15	2019-09-11
5. CHURCH & DWIGHT INC		2019-04-04	2019-09-11
14. CISCO SYS INC COM		2018-06-07	2019-09-11
1. CINTAS CORP		2019-05-15	2019-09-11
13. CITIZENS FINANCIAL GROUP		2017-02-01	2019-09-11

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
396		164	232
68,302		59,320	8,982
494		491	3
620		592	28
63,514		80,621	-17,107
362		353	9
359		362	-3
697		620	77
247		218	29
471		475	-4

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h))
(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
			232
			8,982
			3
			28
			-17,107
			9
			-3
			77
			29
			-4

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

List and describe the kind(s) of property sold (e.g., real estate, (a) 2-story brick warehouse; or common stock, 200 shs. MLC Co.)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
18. COMCAST CORPORATION CL A		2018-10-15	2019-09-11
6. CONOCOPHILLIPS		2018-06-07	2019-09-11
3. COSTCO WHSL CORP NEW COM		2019-04-04	2019-09-11
4. DANAHER CORP		2018-10-15	2019-09-11
2. DOLLAR GENERAL CORP		2018-12-28	2019-09-11
873. DUKE ENERGY HOLDING CORP		2018-12-28	2019-09-11
7. E*TRADE FINANCIAL CORP		2019-05-15	2019-09-11
3. FACEBOOK INC		2016-03-03	2019-09-11
3. HCA HEALTHCARE INC		2019-04-04	2019-09-11
183. HOME DEPOT INC COM		2012-02-08	2019-09-11

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
832		624	208
342		411	-69
876		731	145
557		412	145
316		214	102
82,104		75,051	7,053
309		336	-27
565		328	237
392		396	-4
42,687		8,226	34,461

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h))
(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
			208
			-69
			145
			145
			102
			7,053
			-27
			237
			-4
			34,461

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

List and describe the kind(s) of property sold (e.g., real estate, (a) 2-story brick warehouse; or common stock, 200 shs. MLC Co.)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1506. INTEL CORP		2018-12-28	2019-09-11
1649. INTEL CORP			2019-09-11
514. INTERNATIONAL FLAVORS & FRAGRANCES INC		2019-04-04	2019-09-11
10. J P MORGAN CHASE & CO COM		2006-05-09	2019-09-11
1185. KOHLS CORP COM		2018-06-07	2019-09-11
3. LAUDER ESTEE COS INC CL A		2019-04-04	2019-09-11
4. LILLY ELI & CO		2018-10-15	2019-09-11
736. M&T BK CORP		2019-04-04	2019-09-11
182. MCDONALDS CORP COM		2017-10-09	2019-09-11
658. NORFOLK SOUTHN CORP COM		2018-12-28	2019-09-11

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
79,014		70,405	8,609
86,517		7,402	79,115
65,243		67,914	-2,671
1,169		463	706
61,521		91,150	-29,629
595		489	106
444		442	2
113,744		119,858	-6,114
38,099		29,145	8,954
115,991		97,339	18,652

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h))
(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
			8,609
			79,115
			-2,671
			706
			-29,629
			106
			2
			-6,114
			8,954
			18,652

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

List and describe the kind(s) of property sold (e.g., real estate, (a) 2-story brick warehouse; or common stock, 200 shs. MLC Co.)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1. NORTHROP GRUMMAN CORPORATION		2015-08-19	2019-09-11
1156. PFIZER INC COM		2018-06-07	2019-09-11
9. PROCTER & GAMBLE CO		2019-04-04	2019-09-11
7. PROGRESSIVE CORP OHIO		2019-04-04	2019-09-11
4. S&P GLOBAL INC		2016-06-01	2019-09-11
8. SUNTRUST BANKS INC COM		2017-02-01	2019-09-11
5. T-MOBILE US INC		2017-10-09	2019-09-11
8. TOTAL FINA S A		2015-08-19	2019-09-11
4. UNITED RENTALS INC COM		2017-10-09	2019-09-11
2. UNITEDHEALTH GROUP INC COM		2017-02-01	2019-09-11

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
359		176	183
42,975		42,229	746
1,082		927	155
534		509	25
1,005		443	562
537		458	79
396		308	88
411		383	28
504		569	-65
467		325	142

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h))
(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
			183
			746
			155
			25
			562
			79
			88
			28
			-65
			142

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

List and describe the kind(s) of property sold (e.g., real estate, (a) 2-story brick warehouse; or common stock, 200 shs. MLC Co.)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
4. VISA INC CLASS A SHARES		2013-01-14	2019-09-11
7. WEC ENERGY GROUP INC		2009-03-31	2019-09-11
674. WASTE MANAGEMENT INC		2018-06-07	2019-09-11
5. INGERSOLL-RAND PLC EXCHANGE 3/02/2020		2019-05-15	2019-09-11
100000. ASTRAZENECA PLC ISIN US046353AF58 SEDOL B88X1V4		2013-01-14	2019-09-18
6.15 FEDERAL HOME LN MTG CORP GOLD POOL C00676		1998-12-29	2019-09-30
8.8 GOVERNMENT NATL MTG ASSN POOL 489108		1999-07-27	2019-09-30
7053.391 JANUS HENDERSON SMALL CAP VALUE FUND N SHARES FUND 1465			2019-10-23
5473.454 VANGUARD INTL VALUE		2017-03-01	2019-10-24
4.38 FEDERAL HOME LN MTG CORP GOLD POOL C00676		1998-12-29	2019-10-31

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
700		160	540
640		146	494
75,376		56,380	18,996
613		603	10
100,000		100,000	
6		6	
9		9	
155,316		148,932	6,384
200,000		184,291	15,709
4		4	

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h))
(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
			540
			494
			18,996
			10
			6,384
			15,709

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

List and describe the kind(s) of property sold (e.g., real estate, (a) 2-story brick warehouse; or common stock, 200 shs. MLC Co.)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
8.86 GOVERNMENT NATL MTG ASSN POOL 489108		1999-07-27	2019-10-31
3.38 FEDERAL HOME LN MTG CORP GOLD POOL C00676		1998-12-29	2019-11-30
8.92 GOVERNMENT NATL MTG ASSN POOL 489108		1999-07-27	2019-11-30
100000. GEORGIA POWER COMPANY SR UNSEC		2014-01-16	2019-12-01
.495 TRUIST FINANCIAL CORP		2017-02-01	2019-12-19
CAPITAL GAIN DIVIDENDS	P		

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
9		9	
3		3	
9		9	
100,000		100,000	
28		22	6
			69,845

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h))
(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
			6

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)				
a <i>Paid during the year</i>				
CISE100 E EIGHT ST CINCINNATI, OH 45202	NONE	PC	TO SUPPORT THE ANNUAL FUND	25,000
CINCINNATI ASSOCATION FOR THE BLIND 2045 GILBERT AVENUE CINCINNATI, OH 45202	NONE	PC	SUPPORT EARLY CHILDHOOD AND	25,000
CINCINNATI EARLY LEARNING CENTERS 1301 EAST MCMILLAN ST CINCINNATI, OH 45206	NONE	PC	SUPPORT LEARNING PROGRAMS	25,000
Total ▶ 3a				1,318,775

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)				
a <i>Paid during the year</i>				
ECONOMICS CNTR FOR EDU & RES PO BOX 210223 CINCINNATI, OH 45219	NONE	PC	STUDENT ENTERPRISE PROGRAMS	13,775
EPILEPSY ALLIANCE OHIO 895 CENTRAL AVENUE CINCINNATI, OH 45202	NONE	PC	SUPPORT COUNSELING PROGRAM	20,000
FIRST STEP HOME INC 2211 FULTON AVE CINCINNATI, OH 45206	NONE	PC	SUPPORT SCHOENLING HOME FOR	20,000
Total ▶ 3a				1,318,775

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)				
a <i>Paid during the year</i>				
HAMILTON LIVING WATER MINISTRY 510 S EIGHTH ST CINCINNATI, OH 45011	NONE	PC	SUPPORT BUILDING SUCCESS	15,000
MENTAL HEALTH & ADDICTION ADVOCACY COALI 2600 VICTORY PARKWAY CINCINNATI, OH 45206	NONE	PC	BEHAVORIAL HEALTH FOR	20,000
PEOPLE WORKING COOPERATIVELY 4612 PADDOCK RD CINCINNATI, OH 45229	NONE	PC	MODIFICATIONS FOR YOUTH	25,000
Total ▶ 3a				1,318,775

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)				
a <i>Paid during the year</i>				
PER SCHOLAS INC800 BANK ST CINCINNATI, OH 45214	NONE	PC	SUPPORT TECHNICAL TRAINING	20,000
NATIONAL HEMOPHILIA FOUNDATION 635 W SEVENTH ST STE 101 CINCINNATI, OH 45203	NONE	PC	SUPPORT CAMP NJOYITALL	7,500
AMERICAN DIABETES ASSOCIATION 10200 ALLIANCE AVE STE 101 CINCINNATI, OH 45242	NONE	PC	SUPPORT CAMP KORELITZ	25,000
Total ▶ 3a				1,318,775

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)				
a <i>Paid during the year</i>				
BREAKTHROUGH CINCINNATI INC 6905 GIVEN RD CINCINNATI, OH 45243	NONE	PC	SUPPORT COLLEGE BOUND	20,000
BRIGHTON CENTER INCPO BOX 325 NEWPORT, KY 41072	NONE	PC	SUPPORT YOUTH HOUSING	25,000
CHILDREN INCORPORATED 333 MADISON AVE COVINGTON, KY 41011	NONE	PC	SUPPORT LITTLE CHILDREN	40,000
Total ▶ 3a				1,318,775

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)				
a <i>Paid during the year</i>				
MINDPEACE5642 HAMILTON AVE CINCINNATI, OH 45224	NONE	PC	SUPPORT BRAIN HEALTH &	50,000
PUBLIC ALLIES INC 2330 VICTORY PKWY STE 302 CINCINNATI, OH 45206	NONE	PC	SUPPORT LEADERSHIP	10,000
THE PARTNERSHIP FOR MENTAL HEALTH INC 71 CAVALIER BLVD STE 209 CINCINNATI, OH 41042	NONE	PC	SUPPORT COMMUNITY SVCS.	30,000
Total ▶ 3a				1,318,775

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)				
a <i>Paid during the year</i>				
TEACH FOR AMERICA INC1110 MAIN ST CINCINNATI, OH 45202	NONE	PC	SUPPORT EDUCATIONAL	10,000
CAPITAL ROOTS INC594 RIVER ST TROY, NY 12180	NONE	PC	SUPPORT THE PRODUCE PROJECT	15,000
FAMILY NURTURING CENTER 5 SPIRAL DR STE 100 FLORENCE, KY 41042	NONE	PC	SUPPORT THE BLOCK PROGRAM	15,000
Total ▶ 3a				1,318,775

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)				
a <i>Paid during the year</i>				
ADOPT A CLASS FOUNDATION 2153 W 8TH ST CINCINNATI, OH 45204	NONE	PC	SUPPORT MENTORING PROGRAMS	15,000
TAFT MUSEUM OF ART316 PIKE ST CINCINNATI, OH 45202	NONE	PC	SUPPORT LOVE THIS HOUSE	20,000
LIGHTHOUSE YOUTH SERVICES INC 401 E MCMILLAN ST CINCINNATI, OH 45206	NONE	PC	SUPPORT THE SHEAKLEY CENTER	30,000
Total ▶ 3a				1,318,775

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)				
a Paid during the year				
FREESTORE FOODBANK INC 1141 CENTRAL PARKWAY CINCINNATI, OH 45202	NONE	PC	SUPPORT CHILDHOOD HUNGER	40,000
LAW AND LEADERSHIP 1700 LAKE SHORE DR COLUMBUS, OH 43204	NONE	PC	SUPPORT COLLEGE PIPELINE	15,000
VISIONARIES AND VOICES 3841 SPRING GROVE AVE CINCINNATI, OH 45223	NONE	PC	SUPPORT TEACHING ARTIST	25,000
Total ▶ 3a				1,318,775

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)				
a Paid during the year				
BEECH ACRES PARENTING CENTER 6881 BEECHMONT AVE CINCINNATI, OH 45230	NONE	PC	FAMILY PEER SUPPORT	25,000
LEGAL AID SOCIETY OF CINCINNATI 215 E 9TH ST STE 200 CINCINNATI, OH 45202	NONE	PC	SUPPORT EDUCATION ADVOCACY	25,000
CATHOLIC CHARITIES SOUTHWESTERN 7162 READING ROAD SUITE 600 CINCINNATI, OH 45237	NONE	PC	SUPPORT MENTAL HEALTH	30,000
Total ▶ 3a				1,318,775

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)				
a <i>Paid during the year</i>				
CHILDREN'S HOME OF CINCINNATI 5050 MADISON RD CINCINNATI, OH 45227	NONE	PC	SUPPORT CHILDREN & FAMILIES	20,000
CINCINNATI SYMPHONY ORCHESTRA 1241 ELM STREET CINCINNATI, OH 45202	NONE	PC	SUPPORT THE 2019-2020	12,500
CINCINNATI INSTITUTE OF FINE ARTS 20 EAST CENTRAL PARKWAY CINCINNATI, OH 45202	NONE	PC	CATALYZING IMPACT GRANTS	50,000
Total ▶ 3a				1,318,775

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)				
a <i>Paid during the year</i>				
SANTA MARIA COMMUNITY SERVICES 617 STEINER ST CINCINNATI, OH 45204	NONE	PC	SUPPORT YOUTH PROGRAMS	30,000
ZOOLOGICAL SOCIETY OF CINCINNATI 3400 VINE ST CINCINNATI, OH 45220	NONE	PC	SUPPORT ZOO ACCESS FOR ALL	15,000
UNITED WAY OF GREATER CINCINNAT 2400 READING ROAD CINCINNATI, OH 45202	NONE	PC	SUPPORT SCHOOL TRANSITION	15,000
Total ▶ 3a				1,318,775

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)				
a <i>Paid during the year</i>				
ST RITA SCHOOL FOR THE DEAF 1720 GLENDALE MILFORD ROAD CINCINNATI, OH 45215	NONE	PC	SUPPORT WORK STUDY & CAREER	25,000
CLOVERNOOK CENTER FOR THE BLIND AND VISUALLY IMPAIRED 7000 HAMILTON AVE CINCINNATI, OH 45231	NONE	PC	SUPPORT VISION CLINICS	28,000
CINCINNATI PLAYHOUSE IN THE PARK 962 MOUNT ADAMS CIR CINCINNATI, OH 45202	NONE	PC	SUPPORT AUTISM PROGRAMS	25,000
Total ▶ 3a				1,318,775

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)				
a <i>Paid during the year</i>				
GREATER CINCINNATI FDN 720 E PETE ROSE WAY 120 CINCINNATI, OH 45202	NONE	PC	SUPPORT POWER OF PLACE	50,000
CANCER FAMILY CARE INC 4790 RED BANK RD STE 128 CINCINNATI, OH 45227	NONE	PC	SUPPORT THE ANGEL FUND	25,000
UNIVERSITY OF CINCINNATI 51 GOODMAN DR STE 100 CINCINNATI, OH 45219	NONE	PC	SUPPORT EMPLOYMENT SUCCESS	15,000
Total ▶ 3a				1,318,775

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)				
a <i>Paid during the year</i>				
FERN SIDE INC A CENTER 4360 COOPER RD CINCINNATI, OH 45242	NONE	PC	SUPPORT EVENING SCHOOL	15,000
CINCINNATI YOUTH COLLABORATIVE 301 OAK ST CINCINNATI, OH 45219	NONE	PC	SUPPORT MENTORING PROGRAMS	50,000
ENSEMBLE THEATRE CINCINNATI 1127 VINE ST CINICINNATI, OH 45202	NONE	PC	SUPPORT HUNTER HEARTBEAT	10,000
Total ▶ 3a				1,318,775


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)				
a <i>Paid during the year</i>				
PARACHUTE SPECIAL ADVOCATES 284 N FAIR AVE HAMILTON, OH 45011	NONE	PC	SUPPORT CHILD ADVOCATE	5,000
OHIO JUSTICE AND POLICY CENTER 215 E 9TH ST STE 601 CINCINNATI, OH 45202	NONE	PC	SUPPORT LEGAL CLINICS	30,000
STARFIRE COUNCIL OF GREATER 5030 OAKLAWN DR CINCINNATI, OH 45227	NONE	PC	SUPPORT COMMUNITY	50,000
Total ▶ 3a				1,318,775

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)				
a <i>Paid during the year</i>				
CRAYONS TO COMPUTERS INC 1350 TENNESSEE AVENUE CINCINNATI, OH 45229	NONE	PC	SUPPORT CRAYONS FOR KIDS	15,000
CINCINNATI WORKS INC 708 WALNUT STREET FLOOR 2 Cincinnati, OH 45202	NONE	PC	SUPPORT JOB READINESS	30,000
LITERACY NETWORK OF CINCINNATI635 W 7TH ST STE 300 CINCINNATI, OH 45203	NONE	PC	SUPPORT CHILDREN'S READING	12,000
Total ▶ 3a				1,318,775

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)				
a <i>Paid during the year</i>				
CINCINNATI MUSEUM ASSOCIATION 953 EDEN PARK DRIVE CINCINNATI, OH 45202	NONE	PC	SUPPORT LEARNING PROG. AND	32,500
JAMES W MILLER MEMORIAL FUND 100 S COMMONS STE 116 PITTSBURGH, PA 15212	NONE	PC	SUPPORT BUILDING RESILIENCE	20,000
ACTIVITIES BEYOND THE CLASSROOM 635 W 7TH ST CINCINNATI, OH 45203	NONE	PC	SUPPORT MARTIAL ARTS	10,000
Total ▶ 3a				1,318,775

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)				
a <i>Paid during the year</i>				
ADVENTURE CREW 2692 MADISON ROAD NO N1-414 CINCINNATI, OH 45208	NONE	PC	GENERAL OPERATING SUPPORT	20,000
SWEET CHEEKS DIAPER BANK 1615 REPUBLIC ST CINCINNATI, OH 45202	NONE	PC	SUPPORT DIAPER SISTRIBUTION	10,000
SPECIAL OLYMPICS OHIO INC 4790 RED BANK EXPRESSWAY CINCINNATI, OH 45227	NONE	PC	SUPPORT PROGRAM CAPACITY	15,000
Total ▶ 3a				1,318,775

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)				
a <i>Paid during the year</i>				
ST FRANCIS SERAPH MINISTRIES 1615 REPUBLIC ST CINCINNATI, OH 45202	NONE	PC	SUPPORT COOKING FOR	2,500
Total  3a				1,318,775

TY 2019 Explanation of Non-Filing with Attorney General Statement

Name: DANIEL AND SUSAN PFAU CHARITABLE FOUNDATION

EIN: 31-1411794

Statement:

THIS TRUST DOES NOT PROVIDE A COPY OF FORM 990-PF TO THE OHIO ATTORNEY GENERAL BECAUSE, IN LIEU THEREOF, IT IS REQUIRED TO FILE AN ON-LINE ANNUAL REPORT WITH THE OHIO ATTORNEY GENERAL'S OFFICE AT www.ohioattorneygeneral.gov

TY 2019 Investments - Other Schedule**Name:** DANIEL AND SUSAN PFAU CHARITABLE FOUNDATION**EIN:** 31-1411794**Investments Other Schedule 2**

Category/ Item	Listed at Cost or FMV	Book Value	End of Year Fair Market Value
MUTUAL FUNDS - FIXED	AT COST	4,512,127	4,401,360
MUTUAL FUNDS - EQUITY	AT COST	4,485,753	8,756,394
ETF EQUITY	AT COST	1,080,525	1,749,531
MUTUAL FUNDS ALTERNATIVE	AT COST	587,820	641,935

TY 2019 Other Expenses Schedule**Name:** DANIEL AND SUSAN PFAU CHARITABLE FOUNDATION**EIN:** 31-1411794**Other Expenses Schedule**

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
STATE FILING FEES	100	0		100
GRANTMAKING FEES	60,393	0		60,393
OFFICE EXPENSES	1,745	0		1,745
ADR SERVICE FEES	942	942		0

TY 2019 Other Increases Schedule

Name: DANIEL AND SUSAN PFAU CHARITABLE FOUNDATION

EIN: 31-1411794

Description	Amount
ADJ FOR ROUNDING TRANSACTIONS AND SALES	37

TY 2019 Taxes Schedule**Name:** DANIEL AND SUSAN PFAU CHARITABLE FOUNDATION**EIN:** 31-1411794

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FOREIGN TAXES	475	475		0
FEDERAL ESTIMATES - PRINCIPAL	6,900	0		0