

Form **990-PF**Department of the Treasury  
Internal Revenue Service**Return of Private Foundation**

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

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OMB No 1545-0047

**2019**

Open to Public Inspection

For calendar year 2019 or tax year beginning

, and ending

Name of foundation <b>DELLORA A. &amp; LESTER J. NORRIS FOUNDATION</b>		A Employer identification number <b>36-3054939</b>
Number and street (or P O box number if mail is not delivered to street address) <b>303 E. Main St., P.O. Box 4325</b>		B Telephone number <b>(630) 624-0489</b>
City or town, state or province, country, and ZIP or foreign postal code <b>St. Charles, IL 60174</b>		C If exemption application is pending, check here <input type="checkbox"/>
G Check all that apply: <input type="checkbox"/> Initial return <input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Final return <input type="checkbox"/> Amended return <input type="checkbox"/> Address change <input type="checkbox"/> Name change		D 1 Foreign organizations, check here <input type="checkbox"/>
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		2. Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/>
I Fair market value of all assets at end of year (from Part II, col (c), line 16) <b>\$ 40,806,629.</b> (Part I, column (d), must be on cash basis)		E If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/>
J Accounting method: <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify)		F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a))		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
1 Contributions, gifts, grants, etc., received				N/A	
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		486,722.	484,315.		Statement 1
5a Gross rents					
b Net rental income or (loss)					
6a Net gain or (loss) from sale of assets not on line 10		1,366,980.			
b Gross sales price for all assets on line 6a		5,208,206.			
7 Capital gain net income (from Part IV, line 2)			1,366,980.		
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)					
11 Other income					
12 Total. Add lines 1 through 11		1,853,702.	1,851,295.		
13 Compensation of officers, directors, trustees, etc		40,000.	20,000.		20,000.
14 Other employee salaries and wages					
15 Pension plans, employee benefits					
16a Legal fees Stmt 2		36,782.	18,391.		18,391.
b Accounting fees Stmt 3		817.	817.		0.
c Other professional fees Stmt 4		174,599.	174,599.		0.
17 Interest					
18 Taxes Stmt 5		39,442.	39,442.		0.
19 Depreciation and depletion					
20 Occupancy					
21 Travel, conferences, and meetings		19,592.			19,592.
22 Printing and publications					
23 Other expenses Stmt 6		1,321.	0.		1,321.
24 Total operating and administrative expenses. Add lines 13 through 23		312,553.	222,249.		59,304.
25 Contributions, gifts, grants paid		2,054,868.			2,054,868.
26 Total expenses and disbursements. Add lines 24 and 25		2,367,421.	222,249.		2,114,172.
27 Subtract line 26 from line 12		<513,719.>			
a Excess of revenue over expenses and disbursements					
b Net investment income (if negative, enter -0-)			1,629,046.		
c Adjusted net income (if negative, enter -0-)				N/A	

**Part II Balance Sheets** Attached schedules and amounts in the description column should be for end-of-year amounts only

		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
<b>Assets</b>	1 Cash - non-interest-bearing			
	2 Savings and temporary cash investments	82,197.	47,632.	47,632.
	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			
	7 Other notes and loans receivable ▶			
	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			
	b Investments - corporate stock Stmt 7	29,755,252.	29,276,098.	40,758,997.
	c Investments - corporate bonds			
	11 Investments - land, buildings, and equipment basis ▶			
Less accumulated depreciation ▶				
12 Investments - mortgage loans				
13 Investments - other				
14 Land, buildings, and equipment basis ▶				
Less accumulated depreciation ▶				
15 Other assets (describe ▶)				
16 Total assets (to be completed by all filers - see the instructions Also, see page 1, item I)	29,837,449.	29,323,730.	40,806,629.	
<b>Liabilities</b>	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			
	22 Other liabilities (describe ▶)			
23 Total liabilities (add lines 17 through 22)	0.	0.		
<b>Net Assets or Fund Balances</b>	Foundations that follow FASB ASC 958, check here ▶ <input type="checkbox"/>			
	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"/>			
	26 Capital stock, trust principal, or current funds	29,505,101.	29,505,101.	
	27 Paid-in or capital surplus, or land, bldg, and equipment fund	0.	0.	
	28 Retained earnings, accumulated income, endowment, or other funds	332,348.	<181,371.>	
	29 Total net assets or fund balances	29,837,449.	29,323,730.	
30 Total liabilities and net assets/fund balances	29,837,449.	29,323,730.		

**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	29,837,449.
2 Enter amount from Part I, line 27a	2	<513,719.>
3 Other increases not included in line 2 (itemize) ▶	3	0.
4 Add lines 1, 2, and 3	4	29,323,730.
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	29,323,730.

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**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)
<b>1a Publicly Traded Securities-Frost</b>	P		
<b>b Publicly Traded Securities-State Street</b>	P		
<b>c Class Action</b>	P		
<b>d Capital Gains Dividends</b>			
<b>e</b>			

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) ((e) plus (f) minus (g))
<b>a</b> 2,134,752.		2,063,579.	71,173.
<b>b</b> 2,524,019.		1,777,647.	746,372.
<b>c</b> 314.			314.
<b>d</b> 549,121.			549,121.
<b>e</b>			

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))
<b>a</b>			71,173.
<b>b</b>			746,372.
<b>c</b>			314.
<b>d</b>			549,121.
<b>e</b>			

<b>2</b> Capital gain net income or (net capital loss)	<div> <div>If gain, also enter in Part I, line 7</div> <div>If (loss), enter -0- in Part I, line 7</div> </div>	<b>2</b>	1,366,980.
<b>3</b> Net short-term capital gain or (loss) as defined in sections 1222(5) and (6)	<div> <div>If gain, also enter in Part I, line 8, column (c)</div> <div>If (loss), enter -0- in Part I, line 8</div> </div>	<b>3</b>	N/A

**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	2,202,209.	38,140,185.	.057740
2017	2,010,953.	37,093,901.	.054212
2016	1,802,169.	34,791,551.	.051799
2015	2,056,056.	36,789,885.	.055886
2014	1,736,988.	37,505,685.	.046313

<b>2</b> Total of line 1, column (d)	<b>2</b>	.265950
<b>3</b> Average distribution ratio for the 5-year base period - divide the total on line 2 by 5 0, or by the number of years the foundation has been in existence if less than 5 years	<b>3</b>	.053190
<b>4</b> Enter the net value of noncharitable-use assets for 2019 from Part X, line 5	<b>4</b>	38,480,623.
<b>5</b> Multiply line 4 by line 3	<b>5</b>	2,046,784.
<b>6</b> Enter 1% of net investment income (1% of Part I, line 27b)	<b>6</b>	16,290.
<b>7</b> Add lines 5 and 6	<b>7</b>	2,063,074.
<b>8</b> Enter qualifying distributions from Part XII, line 4	<b>8</b>	2,114,172.

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)	1	16,290.
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input checked="" type="checkbox"/> and enter 1% of Part I, line 27b		
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	16,290.
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	16,290.
6	Credits/Payments		
a	2019 estimated tax payments and 2018 overpayment credited to 2019	6a	23,295.
b	Exempt foreign organizations - tax withheld at source	6b	0.
c	Tax paid with application for extension of time to file (Form 8868)	6c	0.
d	Backup withholding erroneously withheld	6d	0.
7	Total credits and payments. Add lines 6a through 6d	7	23,295.
8	Enter any penalty for underpayment of estimated tax. Check here <input 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	
10	Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	7,005.
11	Enter the amount of line 10 to be Credited to 2020 estimated tax <input checked="" type="checkbox"/> 7,005. Refunded <input type="checkbox"/>	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?		X
1b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes? See the instructions for the definition. If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities		X
1c Did the foundation file Form 1120-POL for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation <input checked="" type="checkbox"/> \$ 0. (2) On foundation managers <input checked="" type="checkbox"/> \$ 0.		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers <input checked="" type="checkbox"/> \$ 0.		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? If "Yes," attach a detailed description of the activities		X
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes		X
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		X
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 General Instruction T.		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	X	
7 Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col (c), and Part XV	X	
8a Enter the states to which the foundation reports or with which it is registered. See instructions <input checked="" type="checkbox"/> IL		
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation	X	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2019 or the tax year beginning in 2019? See the instructions for Part XIV. If "Yes," complete Part XIV		X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses		X

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**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	11	X
12 Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement See instructions	12	X
13 Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► N/A	13	X
14 The books are in care of ► <u>Thomas Wright, Treasurer</u> Telephone no ► <u>(630) 624-0489</u> Located at ► <u>303 E. Main St., P.O. Box 4325, St. Charles, IL</u> ZIP+4 ► <u>60174</u>		
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	N/A
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	X

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

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.

	Yes	No
1a During the year, did the foundation (either directly or indirectly)		
(1) Engage in the sale or exchange, or leasing of property with a disqualified person?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days )	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
b If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance? See instructions Organizations relying on a current notice regarding disaster assistance, check here	N/A	1b
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 X
2 Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))		
a At the end of tax year 2019, did the foundation have any undistributed income (Part XIII, lines 6d and 6e) for tax year(s) beginning before 2019? If "Yes," list the years ►	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
b Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see instructions )	N/A	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 ►		
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
b If "Yes," did it have excess business holdings in 2019 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969, (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Form 4720, Schedule C, to determine if the foundation had excess business holdings in 2019 )	N/A	3b
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?		4a X
b Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2019?		4b X

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

		Yes	No
<b>5a</b> During the year, did the foundation pay or incur any amount to:			
(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(3) Provide a grant to an individual for travel, study, or other similar purposes?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(4) Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? See instructions	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
<b>b</b> If any answer is "Yes" to 5a(1)-(5), did 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	<input type="checkbox"/>	<b>5b</b>	<b>X</b>
Organizations relying on a current notice regarding disaster assistance, check here			
<b>c</b> If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
If "Yes," attach the statement required by Regulations section 53.4945-5(d)			
<b>6a</b> Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
<b>b</b> Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?		<b>6b</b>	<b>X</b>
If "Yes" to 6b, file Form 8870			
<b>7a</b> At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
<b>b</b> If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction?	N/A	<b>7b</b>	
<b>8</b> Is the foundation subject to the section 4960 tax on payment(s) of more than \$1,000,000 in remuneration or excess parachute payment(s) 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, and foundation managers and their compensation.

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
See Statement 8		40,000.	0.	0.

**2** Compensation of five highest-paid employees (other than those included on line 1). 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

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

(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
Appleton Partners - One Post Office Square, 6th Fl, Boston, MA 02109	Investment Management	87,085.
Frost Bank P.O. Box 16509, Fort Worth, TX 76162-0509	Investment Management	79,864.
Cummings & Lockwood LLC Two Greenwich Plaza, Greenwich, CT 06830	Legal	36,782.
State Street Bank - 1200 Crown Colony Drive, CC1-3, Quincy, MA 02169	Custody Fees	7,465.

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 N/A	
2	
3	
4	

**Part IX-B** Summary of Program-Related Investments

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2	Amount
1 N/A	
2	
All other program-related investments See instructions	
3	
<b>Total.</b> Add lines 1 through 3	0.

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**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	38,255,733.
b	Average of monthly cash balances	1b	810,889.
c	Fair market value of all other assets	1c	
d	Total (add lines 1a, b, and c)	1d	39,066,622.
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	39,066,622.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	585,999.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	38,480,623.
6	Minimum investment return. Enter 5% of line 5	6	1,924,031.

**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	1,924,031.
2a	Tax on investment income for 2019 from Part VI, line 5	2a	16,290.
b	Income tax for 2019 (This does not include the tax from Part VI)	2b	
c	Add lines 2a and 2b	2c	16,290.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	1,907,741.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	1,907,741.
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	1,907,741.

**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	2,114,172.
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	
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	2,114,172.
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	5	16,290.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	2,097,882.

**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.

Form 990-PF (2019)



**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				1,907,741.
2 Undistributed income, if any, as of the end of 2019				
a Enter amount for 2018 only			0.	
b Total for prior years		0.		
3 Excess distributions carryover, if any, to 2019				
a From 2014				
b From 2015	156,682.			
c From 2016	99,361.			
d From 2017	194,264.			
e From 2018	349,186.			
f Total of lines 3a through e	799,493.			
4 Qualifying distributions for 2019 from Part XII, line 4 ▶ \$ 2,114,172.				
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				1,907,741.
e Remaining amount distributed out of corpus	206,431.			
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	1,005,924.			
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 instr			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	0.			
9 Excess distributions carryover to 2020. Subtract lines 7 and 8 from line 6a	1,005,924.			
10 Analysis of line 9				
a Excess from 2015	156,682.			
b Excess from 2016	99,361.			
c Excess from 2017	194,264.			
d Excess from 2018	349,186.			
e Excess from 2019	206,431.			

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

N/A

**1 a** 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)

**2 a** Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed

**b** 85% of line 2a

**c** Qualifying distributions from Part XII, line 4, for each year listed

**d** Amounts included in line 2c not used directly for active conduct of exempt activities

**e** Qualifying distributions made directly for active conduct of exempt activities

Subtract line 2d from line 2c

**3** Complete 3a, b, or c for the alternative test relied upon

**a** "Assets" alternative test - enter

(1) Value of all assets

(2) Value of assets qualifying under section 4942(j)(3)(B)(i)

**b** "Endowment" alternative test - enter 2/3 of minimum investment return shown in Part X, line 6, for each year listed

**c** "Support" alternative test - enter

(1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)

(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii)

(3) Largest amount of support from an exempt organization

(4) Gross investment income

**Part XV Supplementary Information** (Complete this part only if the foundation had \$5,000 or more in assets at any time during the year-see instructions.)**1 Information Regarding Foundation Managers:**

**a** List any managers of the foundation who have contributed more than 2% of the total contributions received by the foundation before the close of any tax year (but only if they have contributed more than \$5,000) (See section 507(d)(2) )

None

**b** List any managers of the foundation who own 10% or more of the stock of a corporation (or an equally large portion of the ownership of a partnership or other entity) of which the foundation has a 10% or greater interest

None

**2 Information Regarding Contribution, Grant, Gift, Loan, Scholarship, etc., Programs:**

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

**a** The name, address, and telephone number or email address of the person to whom applications should be addressed

Thomas Wright

303 E. Main Street, PO Box 4325, St. Charles, IL 60174

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

Letter

**c** Any submission deadlines

None

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

None





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

- |   |  | Yes | No |
|---|--|-----|----|
| 1 | Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?  |     |    |
| a | Transfers from the reporting foundation to a noncharitable exempt organization of  |     |    |
|   | (1) Cash   |     | X  |
|   | (2) Other assets   |     | X  |
| b | Other transactions   |     |    |
|   | (1) Sales of assets to a noncharitable exempt organization   |     | X  |
|   | (2) Purchases of assets from a noncharitable exempt organization   |     | X  |
|   | (3) Rental of facilities, equipment, or other assets   |     | X  |
|   | (4) Reimbursement arrangements   |     | X  |
|   | (5) Loans or loan guarantees   |     | X  |
|   | (6) Performance of services or membership or fundraising solicitations   |     | X  |
| c | Sharing of facilities, equipment, mailing lists, other assets, or paid employees   |     | X  |
| d | If the answer to any of the above is "Yes," complete the following schedule. Column (b) should always show the fair market value of the goods, other assets, or services given by the reporting foundation. If the foundation received less than fair market value in any transaction or sharing arrangement, show in column (d) the value of the goods, other assets, or services received. |     |    |

[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
N/A		

**Sign  
Here**

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief it is true, correct, and complete. Declaration of preparer (other than taxpayer) is based on all information of which preparer has any knowledge.

May the IRS discuss this return with the preparer

☒ Yes ☐ No

Signature of Officer or Trustee

Date \_\_\_\_\_



Print/Type preparer's name

Preparer's signature

Date

Check ☐ if  
self-employed

PTIN

Albert C. Rua

1946

5/20/20

P00465056

Firm's name ► Cummings & Lockwood LLC

Firm's EIN ► 06-0312590

Firm's address ► PO Box 2505  
Greenwich, CT 06836

Phone no 203-869-1200

Form **990-PF** (2019)

Form 990-PF	Dividends and Interest from Securities				Statement 1
Source	Gross Amount	Capital Gains Dividends	(a) Revenue Per Books	(b) Net Investment Income	(c) Adjusted Net Income
Frost Bank	684,112.	197,390.	486,722.	484,315.	
State Street Bank	351,731.	351,731.	0.	0.	
To Part I, line 4	1,035,843.	549,121.	486,722.	484,315.	

Form 990-PF	Legal Fees				Statement 2
Description	(a) Expenses Per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes	
Cummings & Lockwood LLC	36,782.	18,391.		18,391.	
To Form 990-PF, Pg 1, ln 16a	36,782.	18,391.		18,391.	

Form 990-PF	Accounting Fees				Statement 3
Description	(a) Expenses Per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes	
Thomas L. Wright, Expenses	817.	817.		0.	
To Form 990-PF, Pg 1, ln 16b	817.	817.		0.	

Form 990-PF	Other Professional Fees				Statement 4
Description	(a) Expenses Per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes	
State Street/Appleton fees	94,550.	94,550.		0.	
Frost Bank, Investment Management fees	79,864.	79,864.		0.	
BMO Bank Fees	185.	185.		0.	
To Form 990-PF, Pg 1, ln 16c	174,599.	174,599.		0.	

Form 990-PF	Taxes			Statement	5
Description	(a) Expenses Per Books	(b) Net Invest- ment Income	(c) Adjusted Net Income	(d) Charitable Purposes	
Foreign tax withheld-State Street	2,376.	2,376.			0.
Foreign tax withheld-Frost	6,066.	6,066.			0.
U.S. Treasury Excise Tax	31,000.	0.			0.
To Form 990-PF, Pg 1, ln 18	39,442.	8,442.			0.

Form 990-PF	Other Expenses			Statement	6
Description	(a) Expenses Per Books	(b) Net Invest- ment Income	(c) Adjusted Net Income	(d) Charitable Purposes	
Insurance premiums	1,013.	0.			1,013.
Postage, office supplies, Guidestar subscription	308.	0.			308.
To Form 990-PF, Pg 1, ln 23	1,321.	0.			1,321.

Form 990-PF	Corporate Stock		Statement	7
Description	Book Value	Fair Market Value		
State Street/Appleton, Schedule Attached	12,224,431.	20,427,816.		
Frost Bank, Schedule Attached	17,051,667.	20,331,181.		
Total to Form 990-PF, Part II, line 10b	29,276,098.	40,758,997.		

Form 990-PF	Part VIII - List of Officers, Directors Trustees and Foundation Managers	Statement	8
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Name and Address	Title and Avrg Hrs/Wk	Compen- sation	Employee Ben Plan Expense Contrib Account
Robert A. Norris 303 East Main Street, P.O. Box 4325 St Charles, IL 60174	Director & Asst. Secretary  0.00	 0.	 0.      0.
George N. Gaynor 303 East Main Street, P.O. Box 4325 St Charles, IL 60174	Chairman & Director  0.00	 0.	 0.      0.
Phillip N. Collins 303 East Main Street, P.O. Box 4325 St Charles, IL 60174	Director & Vice President  0.00	 0.	 0.      0.
Edward F. Rodenbach Two Greenwich Plaza, P.O. Box 2505 Greenwich, CT 06830	Secretary 2.00	 0.	 0.      0.
Thomas Wright 303 East Main Street, P.O. Box 4325 St Charles, IL 60174	Treasurer  25.00	 40,000.	 0.      0.
Totals included on 990-PF, Page 6, Part VIII		40,000.	0.      0.



**Dellora A. And Lester J. Norris Foundation**  
**2019 Form 990-PF**  
**EIN: 36-3054939**

**Part XV, Line 3a Grants &  
Contributions Paid**

A Precious Child	7051 W 118th Ave Broomfield, CO 80020	5,000 00	501(a)(1)
All Saints' Episcopal School	8200 Tumbleweed Trail Fort Worth, TX 76108	10,000.00	501(a)(1)
American Heart Association	7272 Greenville Ave Dallas, TX 75231-4596	35,000.00	501(a)(1)
<b>*American Quarter Horse Foundation</b>	2601 1-40 East Amarillo, TX 79104	10,000 00	509(a)(3) SO-UNK
Ann & Robert H Lurie Children's Hospital of Chicago	225 E Chicago Avenue Chicago, IL 60611	30,000 00	509(a)(1)
Autistic Treatment Center	10503 Metric Drive Dallas, TX 75243	60,000 00	509(a)(1)
Baker Memorial United Methodist Church	307 Cedar Avenue St Charles, IL 60174	30,000.00	509(a)(1)
Big Brother Big Sisters of SW Colorado	17 Mercado ST Suite 109 Durango, CO 81301	20,000 00	509(a)(1)
Boulder Valley School District	PO Box 9011 Boulder, CO 80301	1,400 00	509(a)(1)
Boys Scouts of America	4510 N Second Street Saint Charles, IL 60174	35,000 00	509(a)(1)
Cal's Angels	2422 W Main St. Suite 38 ST Charles, IL 60175	2,500 00	509(a)(1)
Captain Jason Dahl Scholarship Fund	14142 W Evans Circle Lakewood, CO 80228	2,500.00	509(a)(1)
Careity Foundation	PO Box 126038 Fort Worth, TX 76126	10,000.00	509(a)(1)
Casa of Kane County	100 South Third Street, Suite 460 Geneva, IL 60134	10,000.00	509(a)(1)
Champions For Learning	3606 Enterprise Avenue, Suite 150 Naples, FL 34104	100,000 00	509(a)(1)
Chapel of Our Savior	8 4th Street Colo Springs, CO 80906	3,000.00	509(a)(1)
Colorado Golf Foundation	5990 Greenwood Plz Blvd Ste 130 Greenwood Village, CO 80903	2,500.00	509(a)(1)
Colorado Springs Conservatory	415 Sahwatch St Colorado Springs, CO 80903	7,500.00	509(a)(1)

Colorado Springs Fine Arts Center	30 West Dale Street Colorado Springs, CO 80903	5,000 00	509(a)(1)
Community Foundation of Collier County	1110 Pine Ridge Road, Suite 200 Naples, FL 34108	50,000.00	509(a)(1)
Colorado State University	102 Administration Building Fort Collins, CO 80523	5,000 00	509(a)(1)
Conservancy of Southwest Florida	1450 Merrihue Drive Naples, FL 34102	345,933.33	509(a)(1)
Dallas Charities Horse Shows, Inc.	785 W Jeter Road Argyle, TX 76226	20,000 00	509(a)(1)
David Lawrence Mental HealthCenter	6075 Bathey Ln Naples, FL 34116	50,000 00	509(a)(1)
Elgin Academy	350 Park Street Elgin, IL 60120	2,000 00	509(a)(1)
Family in Christ Church	11355 Sheridan Blvd Westminster, CO 80020	1,600.00	509(a)(1)
Fishtown Preservation	PO Box 721 Leland, MI 49654	20,000 00	509(a)(1)
Fox Valley Food For Health	P.O. Box 532 Geneva, IL 60134	5,000.00	509(a)(1)
Fort Worth Youth Orchestra	4401 Trail Lake Drive Fort Worth, TX 76109	3,500 00	509(a)(1)
Fox Valley Hands of Hope	200 Whitfield Drive Geneva, IL 60134	5,000 00	509(a)(1)
Friends of Delnor-Wiggins Pass State Park	11135 Gulf Shore Dr North Naples, FL 34108	10,000 00	509(a)(1)
Friends of Fakahatchee	P O Box 35 Everglades, FL 34139	10,000.00	509(a)(1)
Friends of Rookery Bay	300 Tower Road Naples, FL 345113	2,500.00	509(a)(1)
Golisano Children's Museum of Naples	15080 Livingston Road Naples, FL 34109	9,100 00	509(a)(1)
Harry Chapin Food Bank	3760 Fowler Street Fort Myers, FL 33901	30,000 00	509(a)(1)
Innovative Education Partnership Corp	425 Alcoa Trl Maryville, TN 37804	50,000.00	509(a)(1)
Jake Clifton T-Cross Ranches Scholarship	400 Totten Road Pueblo, CO 81008	5,000 00	509(a)(1)
Juvenile Diabetes Research Foundation	3710 Sinton Road, Suite 220 Colorado Springs, CO 80907	10,000 00	509(a)(1)
Hurricane Island Outward Bound	P O. Box 800 Camden, ME 04843	35,000.00	509(a)(1)
Joe Beeler Cowboy Artist Foundation	8321 Fm 219 Clifton, TX 76634	40,000 00	509(a)(1)
John V Ropach Honors College-TCU	Tcu Box 297044 Fort Worth, TX 76129	5,000.00	509(a)(1)

K9's For Warriors	260 South Roscoe Blvd Ponte Verde, FL32082	20,000 00	509(a)(1)
Lake Forest Academy	1500 West Kennedy Road Lake Forest, IL 60045	20,000 00	509(a)(1)
LaPlata County Youth Services	2490 Main Avenue Durango, CO 81301	10,000 00	509(a)(1)
Lazarus House	410 Hampshire Street Lawrence, MA 01842	20,000 00	509(a)(1)
Leelanau Conservancy	PO Box 1007 Leland, MI 49654	10,000 00	509(a)(1)
Living Well Cancer Resource Center	300 Randall Road Geneva, IL 60134	10,000 00	509(a)(1)
Lutheran Life Communities Foundation	3150 Salt Creek Ln Arlington Heights, IL 60005	12,500.00	509(a)(1)
MD Anderson Cancer Center	1515 Holcombe Blvd Houston, TX 77030	10,000.00	509(a)(1)
Muscular Dystrophy Association	161 N Clark, Suite 3550 Chicago, IL 60601	15,000.00	509(a)(1)
Mothers Against Drunk Driving of Colorado	511 E John Carpenter Fwy, Ste 700 Irving, TX 75062	2,500.00	509(a)(1)
Naples Backyard History, Inc	P.O. Box 2149 Naples, FL 34106	55,000 00	509(a)(1)
Naples Historical Society	P.O. Box 201 Naples, FL 34106	28,000 00	509(a)(1)
National Cowboy & Western Heritage Museum	1700 Northeast 63rd Street Oklahoma City, OK 73111	10,000 00	509(a)(2)
NCH Healthcare Foundation	PO Box 234 Naples, FL 34106-0234	5,000.00	509(a)(1)
Neighborhood Health Clinic, Inc.	120 Goodlette Road North Naples, FL 34102	55,000 00	509(a)(1)
News Release Basketball	961 Sunflower Street Louisville, CO 80027	2,000.00	509(a)(1)
Norris Fund for the Arts	111 W Downer Pl, Suite 312 Aurora, IL 60506	125,000.00	509(a)(1)
Northwestern Medicine Foundation	10 S Dearborn Chicago, IL 60603	20,000.00	509(a)(1)
Penrose/St Frances Health Care System	961 East Colorado at Center Pt. Colorado springs, CO 80903	10,000 00	509(a)(1)
Pikes Peak or Bust Rodeo Foundation	601 N Nevada Avenue Colorado Springs, CO 80903	100,000.00	509(a)(1)
Pikes Peak Region Peace Officers Memorial	705 S Nevada Avenue Colorado Springs, CO 80903	50,000 00	509(a)(1)
Ron Santo Diabetic Alert Dogs Foundation	5416 E Fellers Drive Scottsdale, AZ 85254	15,000.00	509(a)(1)
River Mist Preschool	2441 County Rd 225 Durango, CO 81301-7232	30,000 00	509(a)(2)
RMQHA	22 S. 4th Ave Suite 101 Brighton, CO 80601	10,000 00	509(a)(1)

Rocky Mountain Bird Observatory	14500 Lark Bunting Lane Brighton, CO 80603	30,000 00	509(a)(1)
Seacrest Country Day School	7100 Davis Blvd Naples, FL 34104	2,000.00	509(a)(1)
Snowboard Outreach Society	5585 Wadsworth Bypass, Unit A Arvada, CO 80003	15,000 00	509(a)(1)
St Charles Heritage Center	215 East Main Street St Charles, IL 60174	5,000.00	509(a)(1)
St Charles History Museum	215 E Main St St Charles, IL 60174	1,000.00	509(a)(1)
St Charles Park District Foundation	101 S 2nd Street St Charles, IL 60174	2,500 00	509(a)(1)
St Elizabeth Seton School	2760 52nd Terrace South West Naples, FL 34116	100,000.00	509(a)(1)
St Jude Children's Research Hospital	262 Danny Thomas Place Memphis, TN 38105	2,500.00	509(a)(1)
Texas Masonic Charities Foundation	P.O Box 446 Waco, TX 76703	7,000.00	509(a)(1)
Texas Cowboy Hall of Fame	128 E Exchange Ave 100 Fort Worth, TX 76164	15,000.00	509(a)(1)
The Cheyenne Mountain Zoo	4250 Cheyenne Mountain Zoo Road Colorado Springs, CO 80906	5,000.00	509(a)(1)
The Leelanau School	PO Box 1007 Leland, MI 49654	10,000 00	509(a)(1)
The Missionaries Church International	PO Box 1761 Columbia SC 29202	2,500 00	509(a)(1)
Tri City Health Partnership, Inc	318 Walnut Street St Charles, IL 60174	5,000.00	509(a)(1)
TriCity Family Services	1120 Randall Ct Geneva, IL 60134	10,000.00	509(a)(1)
Vail Health Services Foundation	P.O Box 40000 Vail, CO 81658	3,335 00	509(a)(1)
Woodlawn Conservancy, Inc	4199 Weber Avenue Bronx, NY 10470	35,000 00	509(a)(1)
Wabash College	P O. Box 352 Crawfordsville, IL 47933	25,000 00	509(a)(1)
YMCA of Collier County	5450 YMCA Road Naples, FL 34109	<u>40,000.00</u>	509(a)(1)
<b>Total 2018 Charitable Grants Paid</b>		<b>2,054,868.33</b>	

\*Expenditure responsibility is being exercised and grant agreements are in place covering the initial grant year and any subsequent grants that might be made