

Return of Private Foundation

C.F. 121

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

1912

2019

Department of the Treasury Internal Revenue Service

Do not enter social security numbers on this form as it may be made public. Go to www.irs.gov/Form990PF for instructions and the latest information.

Open to Public Inspection

For calendar year 2019 or tax year beginning , 2019, and ending , 20

Name of foundation: DE LA PENA FOUNDATION INC 141002200
Employer identification number: 65-1057681
Telephone number: 212-632-3000
City or town, state or province, country, and ZIP or foreign postal code: NEW YORK, NY 10017
G Check all that apply: Initial return, Final return, Address change, etc.
H Check type of organization: Section 501(c)(3) exempt private foundation
I Fair market value of all assets at end of year: \$ 4,942,448
J Accounting method: Cash

Table with 5 columns: (a) Revenue and expenses per books, (b) Net investment income, (c) Adjusted net income, (d) Disbursements for charitable purposes. Rows include Contributions, Dividends, Gross rents, Net gain, Capital gain, Other income, Total, Operating and administrative expenses, and Net investment income.

49 Received in Batching Ogden Revenue JAN 05 2021

SCANNED MAY 06 2021 Operating and Administrative Expenses

RECEIVED DEC 07 2020 OGDEN, UT IRS-OSC

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	285,331.	497,481.	497,481.
	3	Accounts receivable ▶			
		Less allowance for doubtful accounts ▶			
	4	Pledges receivable ▶			
		Less: allowance for doubtful accounts ▶			
	5	Grants receivable			
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
	7	Other notes and loans receivable (attach schedule) ▶			
		Less allowance for doubtful accounts ▶ NONE			
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges			
	10a	Investments - U.S. and state government obligations (attach schedule)			
	b	Investments - corporate stock (attach schedule) . STMT 7	1,074,985.	1,795,557.	3,343,893.
	c	Investments - corporate bonds (attach schedule) . STMT 11	349,029.	755,455.	763,706.
	11	Investments - land, buildings, and equipment basis ▶			
	Less accumulated depreciation ▶ (attach schedule)				
12	Investments - mortgage loans				
13	Investments - other (attach schedule) STMT 12	85,918.	325,918.	337,368.	
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)	1,795,263.	3,374,411.	4,942,448.	
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)		NONE	
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	1,795,263.	3,374,411.	
	27	Paid-in or capital surplus, or land, bldg, and equipment fund			
	28	Retained earnings, accumulated income, endowment, or other funds			
29	Total net assets or fund balances (see instructions)	1,795,263.	3,374,411.		
30	Total liabilities and net assets/fund balances (see instructions)	1,795,263.	3,374,411.		

Part III Analysis of Changes in Net Assets or Fund Balances		
1	Total net assets or fund balances at beginning of year - Part II, column (a), line 29 (must agree with end-of-year figure reported on prior year's return)	1 1,795,263.
2	Enter amount from Part I, line 27a	2 2,012,736.
3	Other increases not included in line 2 (itemize) ▶	3
4	Add lines 1, 2, and 3	4 3,807,999.
5	Decreases not included in line 2 (itemize) ▶ BOOK VALUE ADJUSTMENT ON CONTRIBUTION	5 433,588.
6	Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 29	6 3,374,411.

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)
1 a PUBLICLY TRADED SECURITIES						
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 1,763,638.		1,663,032.	100,606.			
b						
c						
d						
e						
Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69				(i) Gains (Col. (h) gain minus col. (k), but not less than -0- or Losses (from col. (h))		
(i) FMV as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any				
a			100,606.			
b						
c						
d						
e						
2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 }				2	100,606.	
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6). If gain, also enter in Part I, line 8, column (c). See instructions. If (loss), enter -0- in Part I, line 8				3		

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

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

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

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period? Yes No
If "Yes," the foundation doesn't qualify under section 4940(e). Do not complete this part.

1 Enter the appropriate amount in each column for each year; see the instructions before making any entries.			
(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2018	113,052.	2,527,138.	0.044735
2017	114,543.	2,411,743.	0.047494
2016	124,528.	2,273,570.	0.054772
2015	123,345.	2,412,249.	0.051133
2014	108,202.	2,442,965.	0.044291
2 Total of line 1, column (d)			2 0.242425
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 0.048485
4 Enter the net value of noncharitable-use assets for 2019 from Part X, line 5			4 3,441,828.
5 Multiply line 4 by line 3.			5 166,877.
6 Enter 1% of net investment income (1% of Part I, line 27b)			6 1,287.
7 Add lines 5 and 6			7 168,164.
8 Enter qualifying distributions from Part XII, line 4 If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate. See the Part VI instructions.			8 114,665.

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

Table with 11 rows for excise tax calculations. Includes categories like 'Exempt operating foundations', 'Domestic foundations', and 'Credits/Payments'. Total tax due is 202.

Part VII-A Statements Regarding Activities

Table with 10 rows for activity statements. Includes questions about political campaigns, unrelated business income, and substantial contributors. Includes handwritten 'FL' and 'STMT 13'.

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 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 FIDUCIARY TRUST COMPANY INTL Telephone no (212) 632-3000 Located at 280 PARK AVENUE, NEW YORK, NY ZIP+4 10017
15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - check here and enter the amount of tax-exempt interest received or accrued during the year 15
16 At any time during calendar year 2019, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? 16 X
See the instructions for exceptions and filing requirements for FinCEN Form 114 If "Yes," enter the name of the foreign country

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

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.
1a During the year, did the foundation (either directly or indirectly)
(1) Engage in the sale or exchange, or leasing of property with a disqualified person? Yes No X
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? Yes No X
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? Yes No X
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? Yes No X
(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? Yes No X
(6) Agree to pay money or property to a government official? (Exception Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days) Yes No X
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 1b
Organizations relying on a current notice regarding disaster assistance, check here
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? Yes No X
If "Yes," list the years
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.
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? Yes No X
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.) 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

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

5a During the year, did the foundation pay or incur any amount to:

(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? Yes No

(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive? Yes No

(3) Provide a grant to an individual for travel, study, or other similar purposes? Yes No

(4) Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? See instructions Yes No

(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? Yes No

b If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance? See instructions Yes No

Organizations relying on a current notice regarding disaster assistance, check here

c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? Yes No

If "Yes," attach the statement required by Regulations section 53.4945-5(d).

6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? Yes No

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

If "Yes" to 6b, file Form 8870.

7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? Yes No

b If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction? Yes No

8 Is the foundation subject to the section 4960 tax on payment(s) of more than \$1,000,000 in remuneration or excess parachute payment(s) during the year? Yes No

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

1 List all officers, directors, trustees, and foundation managers and their compensation. See instructions.

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
MARIO T DE LA PENA 1000 SW 184 TERRACE, PEMBROKE PINES, FL 33029	DIRECTOR 2	-0-	-0-	-0-
MIRIAM DE LA PENA 1000 SW 184 TERRACE, PEMBROKE PINES, FL 33029	DIRECTOR 2	-0-	-0-	-0-
MICHAEL T DE LA PENA 24540 TOWN CENTER DRIVE, VALENCIA, CA 91355	DIRECTOR 2	-0-	-0-	-0-

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

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

Total number of other employees paid over \$50,000 Yes No **NONE**

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		NONE
Total number of others receiving over \$50,000 for professional services		NONE

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 NONE	
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 NONE	
2	
All other program-related investments See instructions	
3 NONE	
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	3,101,344.
b	Average of monthly cash balances	1b	392,898.
c	Fair market value of all other assets (see instructions).	1c	NONE
d	Total (add lines 1a, b, and c)	1d	3,494,242.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	
2	Acquisition indebtedness applicable to line 1 assets	2	NONE
3	Subtract line 2 from line 1d.	3	3,494,242.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	52,414.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	3,441,828.
6	Minimum investment return. Enter 5% of line 5	6	172,091.

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	172,091.
2a	Tax on investment income for 2019 from Part VI, line 5	2a	2,574.
b	Income tax for 2019. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b.	2c	2,574.
3	Distributable amount before adjustments. Subtract line 2c from line 1.	3	169,517.
4	Recoveries of amounts treated as qualifying distributions.	4	NONE
5	Add lines 3 and 4	5	169,517.
6	Deduction from distributable amount (see instructions).	6	NONE
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1.	7	169,517.

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	114,665.
b	Program-related investments - total from Part IX-B.	1b	
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes.	2	NONE
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	NONE
b	Cash distribution test (attach the required schedule)	3b	NONE
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	114,665.
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	N/A
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	114,665.

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				169,517.
2 Undistributed income, if any, as of the end of 2019				
a Enter amount for 2018 only.			NONE	
b Total for prior years 20____,20____,20____		NONE		
3 Excess distributions carryover, if any, to 2019				
a From 2014	NONE			
b From 2015	NONE			
c From 2016	691.			
d From 2017	NONE			
e From 2018	NONE			
f Total of lines 3a through e	691.			
4 Qualifying distributions for 2019 from Part XII, line 4 ▶ \$ 114,665.				
a Applied to 2018, but not more than line 2a			NONE	
b Applied to undistributed income of prior years (Election required - see instructions)		NONE		
c Treated as distributions out of corpus (Election required - see instructions)	NONE			
d Applied to 2019 distributable amount				114,665.
e Remaining amount distributed out of corpus	NONE			
5 Excess distributions carryover applied to 2019 (If an amount appears in column (d), the same amount must be shown in column (a))	691.			691.
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e. Subtract line 5	NONE			
b Prior years' undistributed income Subtract line 4b from line 2b.		NONE		
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		NONE		
d Subtract line 6c from line 6b Taxable amount - see instructions		NONE		
e Undistributed income for 2018 Subtract line 4a from line 2a Taxable amount - see instructions			NONE	
f Undistributed income for 2019 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2020				54,161.
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)	NONE			
8 Excess distributions carryover from 2014 not applied on line 5 or line 7 (see instructions)	NONE			
9 Excess distributions carryover to 2020. Subtract lines 7 and 8 from line 6a	NONE			
10 Analysis of line 9				
a Excess from 2015	NONE			
b Excess from 2016	NONE			
c Excess from 2017	NONE			
d Excess from 2018	NONE			
e Excess from 2019	NONE			

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

NOT APPLICABLE

1a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2019, enter the date of the ruling

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

Table with 5 columns: (a) 2019, (b) 2018, (c) 2017, (d) 2016, (e) Total. Rows include 2a (Adjusted net income), 2b (85% of line 2a), 2c (Qualifying distributions), 2d (Amounts included in line 2c), 2e (Qualifying distributions made directly), 3 (Alternative tests: Assets, Endowment, Support).

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

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

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

c Any submission deadlines:

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

Part XV Supplementary Information (continued)

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a Paid during the year				
THE CUBA CORPS 1000 PONCE DE LEON BOULEVARD STE 20 CORAL GA	NONE	PUBLIC	GENERAL PURPOSE	1,000.
THE NAVIGATORS P O BOX 6079 ALBERT LEA MN 56007-6679	NONE	PUBLIC	GENERAL PURPOSES	5,000.
ERMITA DE LA CARIDAD 3609 S MIAMI AVENUE MIAMI FL 33133	NONE	PUBLIC	GENERAL PURPOSES	1,000.
CUBAN STUDIES INSTITUTE 1500 S DIXIE HWY CORAL GABLES FL 33146	NONE	PUBLIC	GENERAL PURPOSES	7,000.
INSTITUTO CUBANO POR LA LIBERTAD DE EXPRESION 66 W 27 ST APT C HIALEAH FL 33010	NONE	PUBLIC	GENERAL PURPOSES	15,000.
DIRECTORIO DEMOCRATICO CUBANO 790 NW 107TH AVENUE STE 117 MIAMI FL 33172	NONE	PUBLIC	GENERAL PURPOSES	66,600.
BELEN JESUIT PREP SCHOOL 500 SW 127TH AVENUE MIAMI FL 33184	NONE	PUBLIC	GENERAL PURPOSES	10,000.
Total ▶ 3a				105,600.
b Approved for future payment				
Total ▶ 3b				

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated

Table with 5 columns: (a) Business code, (b) Amount, (c) Exclusion code, (d) Amount, (e) Related or exempt function income. Rows include Program service revenue, Membership dues, Interest on savings, Dividends, Net rental income, Other investment income, Gain or loss from sales, and Subtotal.

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

Table with 2 columns: Line No, Explain below how each activity for which income is reported in column (e) of Part XVI-A contributed importantly to the accomplishment of the foundation's exempt purposes.

NOT APPLICABLE

Schedule of Contributors

2019

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

Name of the organization DE LA PENA FOUNDATION INC 141002200	Employer identification number 65-1057681
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Organization type (check one):

Filers of:

Section:

Form 990 or 990-EZ

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

Form 990-PF

- 501(c)(3) exempt private foundation
- 4947(a)(1) nonexempt charitable trust treated as a private foundation
- 501(c)(3) taxable private foundation

Check if your organization is covered by the **General Rule** or a **Special Rule**.

Note: Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule. See instructions.

General Rule

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

Special Rules

- For an organization described in section 501(c)(3) filing Form 990 or 990-EZ that met the 33 1/3% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi), that checked Schedule A (Form 990 or 990-EZ), Part II, line 13, 16a, or 16b, and that received from any one contributor, during the year, total contributions of the greater of (1) \$5,000; or (2) 2% of the amount on (i) Form 990, Part VIII, line 1h; or (ii) Form 990-EZ, line 1. Complete Parts I and II.
- For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than \$1,000 *exclusively* for religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals. Complete Parts I, II, and III.
- For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions *exclusively* for religious, charitable, etc., purposes, but no such contributions totaled more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Don't complete any of the parts unless the **General Rule** applies to this organization because it received *nonexclusively* religious, charitable, etc., contributions totaling \$5,000 or more during the year ▶ \$ _____

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

Name of organization **DE LA PENA FOUNDATION INC 141002200** Employer identification number **65-1057681**

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

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	DE LA PENA FBO M TRUST C/O BNY MELLON MIAMI, FL 33131	\$ 61,244.	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
2	DE LA PENA FBO M TRUST C/O BNY MELLON MIAMI, FL 33131	\$ 1,938,756.	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input checked="" type="checkbox"/> (Complete Part II for noncash contributions.)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)

Name of organization

Employer identification number

DE LA PENA FOUNDATION INC 141002200

65-1057681

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

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions)	(d) Date received
2	VARIOUS SECURITIES FROM TRUST AT BNY MELLON	\$ 1,938,756.	07/15/2020

FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES

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DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
EBAY INC SR NT CALL DTD 7/28/2014 2.2% 8	1,100.	1,071.
ECOLAB INC.	184.	184.
FORTIVE CORP	140.	140.
FRANKLIN K2 ALTERNATIVE STGIES FUND CL Z	2,876.	2,876.
GILEAD SCIENCES INC SR NT DTD 9/14/2015	1,275.	1,055.
HALLIBURTON CO	252.	252.
HOME DEPOT INC/THE SR NT CALL DTD 4/5/20	124.	-34.
HONEYWELL INTL INC	924.	924.
INTEL CORP SENIOR NOTE DTD 5/11/2017 2.3	238.	147.
ISHARES CORE S&P MID-CAP ETF	997.	997.
ISHARES TR RUSSELL 2000 INDEX FD	1,341.	1,341.
J P MORGAN CHASE & CO	2,176.	2,176.
JPMORGAN CHASE & CO DTD 3/1/2016 2.55% 3	1,080.	1,080.
JOHNSON & JOHNSON	623.	623.
LAS VEGAS SANDS CORP	1,271.	1,271.
LOWES COS INC	721.	721.
MASTERCARD INC CL A	396.	396.
MCDONALDS CORP	639.	639.
MERCK & CO INC	990.	990.
METLIFE INC	220.	220.
MICROSOFT CORP	1,618.	1,618.
MICROCHIP TECHNOLOGY INC	658.	658.
MORGAN STANLEY DEAN WITTER	394.	394.
NESTLE S A SPONSORED ADR REPSTG REG SH	727.	727.
NEXTERA ENERGY INC	625.	625.
NIKE INC. CL B	264.	264.
NOVARTIS AG SPONSORED ADR	567.	567.
NVIDIA CORP	29.	29.
ORACLE SYS CORP	546.	546.
ORACLE CORP SR NT CALL DTD 5/5/2015 2.5%	1,017.	1,017.
PEPSICO INC	167.	167.
PFIZER INC. R	1,584.	1,584.
RAYTHEON CO NEW	406.	406.

FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES

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DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
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ROCKWELL INTL CORP NEW	371.	371.
ROYAL DUTCH SHELL PLC SPONSORED	376.	376.
SCHWAB CHARLES CORP. NEW	340.	340.
SIMON PROPERTY GROUP LP SR NT CALL DTD 6	390.	280.
STARBUCKS CORP	396.	396.
SUNCOR ENERGY INC	653.	653.
TJX COS INC NEW	456.	456.
TARGET CORP	923.	923.
TEXAS INSTRS INC	225.	225.
THERMO ELECTRON CORP	148.	148.
US BANCORP DEL COM NEW	612.	612.
UNION PAC CORP.	1,018.	1,018.
UNITED TECHNOLOGIES CORP.	588.	588.
VERIZON COMMUNICATIONS	606.	606.
FTCI MONEY MARKET FUND	1,651.	1,651.
ALLERGAN PLC	444.	444.
MEDTRONIC PLC	108.	108.
CHUBB LTD	888.	888.
STIP 3: US TREASURY & AGENCY	5,441.	5,441.
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TOTAL	59,067.	57,776.
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FORM 990PF, PART I - ACCOUNTING FEES
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DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME	ADJUSTED NET INCOME	CHARITABLE PURPOSES
TAX PREPARATION FEE (NON-ALLOC	1,750.			1,750.
TOTALS	1,750.	NONE	NONE	1,750.

FORM 990PF, PART I - OTHER PROFESSIONAL FEES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME	CHARITABLE PURPOSES
INVESTMENT MGT FEES	36,564.	29,251.	7,313.
OTHER EXPENSE (NON-DEDUCTIBLE)	8.	7.	2.
TOTALS	36,572.	29,258.	7,315.

FORM 990PF, PART I - TAXES

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DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
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FOREIGN TAXES	415.	415.
FEDERAL ESTIMATES - PRINCIPAL	2,600.	
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TOTALS	3,015.	415.
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DE LA PENA FOUNDATION INC 141002200

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FORM 990PF, PART II - CORPORATE STOCK

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DESCRIPTION	ENDING BOOK VALUE	ENDING FMV
AMAZON.COM INC	42,482.	153,371.
AMERICAN INTL GROUP		
APPLE INC	17,006.	240,499.
BANK OF AMERICA	40,283.	97,031.
CHEVRON CORP	20,258.	48,204.
COMCAST CORP CL A	33,105.	46,769.
DOWDUPONT INC		
FACEBOOK INC CL A	35,991.	70,401.
GILEAD SCIENCES		
HONEYWELL INTL	19,724.	48,675.
JPMORGAN CHASE	43,448.	132,569.
LOWES COS INC	13,453.	41,916.
MASTERCARD	16,113.	89,577.
MICROCHIP TECH INC	6,739.	47,124.
NESTLE S A	9,943.	32,478.
ORACLE CORP	11,009.	31,788.
SALESFORCE	10,956.	65,056.
SIGNATURE BANK		
THERMO FISHER SCI	6,374.	64,974.
UNION PACIFIC	13,527.	49,717.
UNITED TECHNOLOGIES	10,508.	29,952.
WELLS FARGO & CO		
ISHARES RUSSELL 2000 ETF		
ALLERGAN PLC	31,881.	28,676.
ALPHABET CL A	17,775.	65,630.
ALPHABET CL C	20,918.	86,906.
CVS HEALTH CORP	16,869.	15,527.
DISNEY WALT CO	27,802.	43,389.
ISHARES MSCI EUROZONE ETF		

FORM 990PF, PART II - CORPORATE STOCK

=====

DESCRIPTION	ENDING BOOK VALUE	ENDING FMV
ISHARES RUSSELL 2000 VALUE ETF	84,284.	124,253.
AMERICAN WATER WORKS CO INC	10,880.	18,428.
BRISTOL-MYERS SQUIBB CO	22,932.	25,676.
CABOT OIL & GAS CORP CL A		
CHUBB LTD	21,738.	46,698.
CONSTELLATION BRANDS INC CL A	28,295.	33,206.
ECOLAB INC	10,367.	19,299.
EOG RES INC	12,809.	16,752.
EXXON MOBIL CORP		
FORTIVE CORP	23,978.	38,195.
KINDER MORGAN INC		
KRAFT HEINZ CO		
MICROSOFT CORP	77,639.	188,294.
NEWELL BRANS INC		
NEXTERA ENERGY INC	13,907.	30,270.
NIKE INC CL B	17,902.	30,393.
NOVARTIS AG SPONSORED ADR	13,445.	18,938.
PFIZER INC	33,837.	58,770.
RAYTHEON CO NEW	14,946.	24,171.
US BANCORP DEL COM NEW	19,739.	23,716.
VERIZON COMMUNICATIONS	11,426.	15,350.
ISHARES CORE MSCI EAFE ETF		
ISHARES TR S&P MIDCAP 400 INDE	67,353.	82,328.
ADOBE SYSTEMS INC		
AETNA INC		
AMERICAN TOWER REIT INC		
BLACKROCK INC		
DANAHER CORP		
ELECTRONIC ARTS		

FORM 990PF, PART II - CORPORATE STOCK

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DESCRIPTION	ENDING BOOK VALUE	ENDING FMV
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HALLIBURTON CO	15,101.	17,648.
MERCK & CO INC		
NVIDIA CORP		
RESIDEO TECH INC		
ROCKWELL AUTOMATION INC	24,359.	30,401.
SCHWAB CHARLES CORP NEW	25,460.	23,780.
SUNCOR ENERGY INC	16,783.	16,892.
ADOBE INC	14,415.	46,173.
AMERICAN TOWER CORP	21,679.	34,473.
BASF SE SPON ADR	22,486.	26,201.
BERKSHIRE HATHAWAY INC	22,655.	22,650.
BLACKROCK INC	25,881.	25,135.
CBOE GLOBAL MARKETS INC	22,859.	22,800.
COSTCO WHOLESALE CORP	24,777.	29,392.
CROWN CASTLE INTL CORP	46,042.	47,620.
DANAHER CORP	22,316.	30,696.
DOW INC	7,303.	8,210.
DUPONT DE NEMOURS INC	11,146.	9,630.
ELECTRONIC ARTS	12,679.	10,751.
HALLIBURTON CO	16,189.	8,565.
*IQVIA HOLDERS INC	29,845.	30,902.
JOHNSON & JOHNSON CO	23,417.	47,845.
LAS VEGAS SANDS CORP	43,821.	56,958.
MCDONALDS CORP	24,258.	26,677.
MEDTRONIC PLC	26,828.	28,363.
MERCK & CO INC	64,238.	81,855.
METLIFE INC	22,473.	25,485.
MORGAN STANLEY	44,613.	57,510.
PEPSICO INC	23,058.	23,917.

DE LA PENA FOUNDATION INC 141002200

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FORM 990PF, PART II - CORPORATE STOCK

=====

DESCRIPTION	ENDING BOOK VALUE	ENDING FMV
ROYAL DUTCH PLC ADR	22,129.	23,592.
SERVICENOW INC	32,687.	35,290.
STARBUCKS CORP	26,750.	30,772.
TARGET CORP	24,086.	45,515.
TEXAS INSTRUMENTS INC	30,913.	32,073.
TJX COS INC NEW	24,484.	31,446.
WALMART INC	28,186.	29,710.
TOTALS	1,795,557.	3,343,893.

DE LA PENA FOUNDATION INC 141002200

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FORM 990PF, PART II - CORPORATE BONDS

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DESCRIPTION	ENDING BOOK VALUE	ENDING FMV
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AT&T 2.3% 3/11/19	50,148.	50,220.
BP CAPITAL MKTS 2.237% 5/10/19	49,965.	50,298.
EBAY 2.2% 8/1/19	49,112.	50,366.
GILEAD SCI INC 2.55% 9/1/2020	49,552.	52,082.
APPLE INC 2.25% 2/23/2021	50,646.	50,572.
JP MORGAN CHASE 3/1/16 2.55%	51,533.	51,428.
CVS HEALTH CORP NT 3/9/18 3.7%	49,095.	50,732.
INTEL CORP SR NOTE 2.35% 5/11/ BERKSHIRE HATHAWAY 3% 5/15/22	50,817.	50,809.
ORACLE CORP SR NT 2.5% 5/15/22	50,081.	50,127.
SIMON PROP GP LP SR NT 2.65% 6	50,651.	50,640.
BANK OF NEW YORK MELLON 1.95%	49,731.	50,948.
BANK OF MONTREAL SR NT 2.35% 9	51,320.	51,151.
CATERPILLAR FINL SERV 2.55% 11	51,333.	51,331.
COMCAST CORP SR NT 2.75% 3/1/2	51,544.	51,255.
JOHN DEERE CAP CORP 2.8% 3/6/2	49,927.	51,747.
HOME DEPOT INC SR NT 2.7% 4/1/ TRUIST FINL CORP SR NT 2.85% 1		
TOTALS	755,455.	763,706.
	=====	=====

FORM 990PF, PART II - OTHER INVESTMENTS

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DESCRIPTION	COST/ FMV C OR F	ENDING BOOK VALUE	ENDING FMV
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FRANKLIN K2 ALTERNATIVE STGIES	C	325,918.	337,368.
TOTALS		325,918.	337,368.
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FORM 990PF, PART VII-A - NEW SUBSTANTIAL CONTRIBUTORS

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NAME AND ADDRESS

DE LA PENA FBO M TRUST
C/O BNY MELLON
MIAMI, FL 33131