

For calendar year 2020, or tax year beginning 01-01-2020, and ending 12-31-2020

Name of foundation THE ROTHBERT FUND INC		A Employer identification number 13-6162570	
Number and street (or P.O. box number if mail is not delivered to street address) 475 RIVERSIDE DRIVE STE 1622		B Telephone number (see instructions)	
City or town, state or province, country, and ZIP or foreign postal code NEW YORK, NY 10115		C If exemption application is pending, check here <input type="checkbox"/>	
G Check all that apply: <input type="checkbox"/> Initial return <input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Final return <input type="checkbox"/> Amended return <input type="checkbox"/> Address change <input type="checkbox"/> Name change		D 1. Foreign organizations, check here..... <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation ... <input type="checkbox"/>	
H Check type of organization: <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here ..... <input type="checkbox"/>	
I Fair market value of all assets at end of year (from Part II, col. (c), line 16) ▶\$ 6,217,570		F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ..... <input type="checkbox"/>	
J Accounting method: <input type="checkbox"/> Cash <input type="checkbox"/> Accrual <input checked="" type="checkbox"/> Other (specify) <u>MODIFIED CASH</u> (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)	8,670			
	2 Check <input checked="" type="checkbox"/> if the foundation is <b>not</b> required to attach Sch. B . . . . .				
	3 Interest on savings and temporary cash investments				
	4 Dividends and interest from securities . . .	97,683	97,683		
	5a Gross rents . . . . .				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	165,748			
	b Gross sales price for all assets on line 6a 614,000				
	7 Capital gain net income (from Part IV, line 2) . . .				
	8 Net short-term capital gain . . . . .				
	9 Income modifications . . . . .				
	10a Gross sales less returns and allowances				
Operating and Administrative Expenses	b Less: Cost of goods sold . . . . .				
	c Gross profit or (loss) (attach schedule) . . . . .				
	11 Other income (attach schedule) . . . . .	3,500			
	12 Total. Add lines 1 through 11 . . . . .	275,601	97,683		
	13 Compensation of officers, directors, trustees, etc.				
	14 Other employee salaries and wages . . . . .				
	15 Pension plans, employee benefits . . . . .				
	16a Legal fees (attach schedule) . . . . .				
	b Accounting fees (attach schedule) . . . . .	7,500	2,500		5,000
	c Other professional fees (attach schedule) . . . . .	7,891	7,891		
	17 Interest . . . . .				
	18 Taxes (attach schedule) (see instructions) . . . . .	811	811		
	19 Depreciation (attach schedule) and depletion . . . .				
	20 Occupancy . . . . .	11,937			11,937
	21 Travel, conferences, and meetings . . . . .	519			519
	22 Printing and publications . . . . .				
	23 Other expenses (attach schedule) . . . . .	65,194			65,194
	24 Total operating and administrative expenses. Add lines 13 through 23 . . . . .	93,852	11,202		82,650
	25 Contributions, gifts, grants paid . . . . .	191,950			191,950
	26 Total expenses and disbursements. Add lines 24 and 25	285,802	11,202		274,600
	27 Subtract line 26 from line 12:				
	a Excess of revenue over expenses and disbursements	-10,201			
	b Net investment income (if negative, enter -0-)		86,481		
	c Adjusted net income (if negative, enter -0-) . . .				

Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only. (See instructions.)		
		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	<b>1</b> Cash—non-interest-bearing . . . . .			
	<b>2</b> Savings and temporary cash investments . . . . .	332,413	369,973	369,973
	<b>3</b> Accounts receivable ▶ _____ Less: allowance for doubtful accounts ▶ _____			
	<b>4</b> Pledges receivable ▶ _____ Less: allowance for doubtful accounts ▶ _____			
	<b>5</b> Grants receivable . . . . .			
	<b>6</b> Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions) . . . . .			
	<b>7</b> Other notes and loans receivable (attach schedule) ▶ _____ Less: allowance for doubtful accounts ▶ _____			
	<b>8</b> Inventories for sale or use . . . . .			
	<b>9</b> Prepaid expenses and deferred charges . . . . .			
	<b>10a</b> Investments—U.S. and state government obligations (attach schedule)	857,258	602,817	623,690
	<b>b</b> Investments—corporate stock (attach schedule) . . . . .	2,520,694	2,730,927	4,488,426
	<b>c</b> Investments—corporate bonds (attach schedule) . . . . .	675,187	671,654	735,481
	<b>11</b> Investments—land, buildings, and equipment: basis ▶ _____ Less: accumulated depreciation (attach schedule) ▶ _____			
	<b>12</b> Investments—mortgage loans . . . . .			
	<b>13</b> Investments—other (attach schedule) . . . . .			
	<b>14</b> Land, buildings, and equipment: basis ▶ _____ Less: accumulated depreciation (attach schedule) ▶ _____			
<b>15</b> Other assets (describe ▶ _____)				
<b>16</b> <b>Total assets</b> (to be completed by all filers—see the instructions. Also, see page 1, item I)	4,385,552	4,375,371	6,217,570	
Liabilities	<b>17</b> Accounts payable and accrued expenses . . . . .			
	<b>18</b> Grants payable . . . . .			
	<b>19</b> Deferred revenue . . . . .			
	<b>20</b> Loans from officers, directors, trustees, and other disqualified persons			
	<b>21</b> Mortgages and other notes payable (attach schedule) . . . . .			
	<b>22</b> Other liabilities (describe ▶ _____)			
	<b>23</b> <b>Total liabilities</b> (add lines 17 through 22) . . . . .		0	
Net Assets or Fund Balances	<b>Foundations that follow FASB ASC 958, check here</b> ▶ <input checked="" type="checkbox"/> <b>and complete lines 24, 25, 29 and 30.</b>			
	<b>24</b> Net assets without donor restrictions . . . . .	4,366,725	4,363,715	
	<b>25</b> Net assets with donor restrictions . . . . .	18,827	11,656	
	<b>Foundations that do not follow FASB ASC 958, check here</b> ▶ <input type="checkbox"/> <b>and complete lines 26 through 30.</b>			
	<b>26</b> Capital stock, trust principal, or current funds . . . . .			
	<b>27</b> Paid-in or capital surplus, or land, bldg., and equipment fund			
	<b>28</b> Retained earnings, accumulated income, endowment, or other funds			
	<b>29</b> <b>Total net assets or fund balances</b> (see instructions) . . . . .	4,385,552	4,375,371	
<b>30</b> <b>Total liabilities and net assets/fund balances</b> (see instructions) .	4,385,552	4,375,371		

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

<b>1</b> Total net assets or fund balances at beginning of year—Part II, column (a), line 29 (must agree with end-of-year figure reported on prior year's return) . . . . .	<b>1</b>	4,385,552
<b>2</b> Enter amount from Part I, line 27a . . . . .	<b>2</b>	-10,201
<b>3</b> Other increases not included in line 2 (itemize) ▶ _____	<b>3</b>	20
<b>4</b> Add lines 1, 2, and 3 . . . . .	<b>4</b>	4,375,371
<b>5</b> Decreases not included in line 2 (itemize) ▶ _____	<b>5</b>	
<b>6</b> Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 29 .	<b>6</b>	4,375,371

**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.)
<b>1a</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>			
<b>b</b>			
<b>c</b>			
<b>d</b>			
<b>e</b>			

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

<b>2</b> Capital gain net income or (net capital loss) $\left\{ \begin{array}{l} \text{If gain, also enter in Part I, line 7} \\ \text{If (loss), enter -0- in Part I, line 7} \end{array} \right\}$	<b>2</b>	
	<b>3</b>	
<b>3</b> Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c) (see instructions). If (loss), enter -0- in Part I, line 8		

**Part V Qualification Under Section 4940(e) for Reduced Tax on Net Investment Income****SECTION 4940(e) REPEALED ON DECEMBER 20, 2019 - DO NOT COMPLETE**

<b>1</b> Reserved			
(a) Reserved	(b) Reserved	(c) Reserved	(d) Reserved
<b>2</b> Reserved . . . . .			<b>2</b>
<b>3</b> Reserved. . . . .			<b>3</b>
<b>4</b> Reserved . . . . .			<b>4</b>
<b>5</b> Reserved . . . . .			<b>5</b>
<b>6</b> Reserved . . . . .			<b>6</b>
<b>7</b> Reserved . . . . .			<b>7</b>
<b>8</b> Reserved , . . . . .			<b>8</b>

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

<b>1a</b>	Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1. Date of ruling or determination letter: _____ (attach copy of letter if necessary—see instructions)		
<b>b</b>	Reserved.	<b>1</b>	1,202
<b>c</b>	All other domestic foundations enter 1.39% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b)		
<b>2</b>	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	<b>2</b>	
<b>3</b>	Add lines 1 and 2.	<b>3</b>	1,202
<b>4</b>	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	<b>4</b>	
<b>5</b>	<b>Tax based on investment income.</b> Subtract line 4 from line 3. If zero or less, enter -0-.	<b>5</b>	1,202
<b>6</b>	Credits/Payments:		
<b>a</b>	2020 estimated tax payments and 2019 overpayment credited to 2020	<b>6a</b>	1,001
<b>b</b>	Exempt foreign organizations—tax withheld at source	<b>6b</b>	
<b>c</b>	Tax paid with application for extension of time to file (Form 8868)	<b>6c</b>	
<b>d</b>	Backup withholding erroneously withheld	<b>6d</b>	
<b>7</b>	Total credits and payments. Add lines 6a through 6d.	<b>7</b>	1,001
<b>8</b>	Enter any <b>penalty</b> for underpayment of estimated tax. Check here <input checked="" type="checkbox"/> if Form 2220 is attached.	<b>8</b>	4
<b>9</b>	<b>Tax due.</b> If the total of lines 5 and 8 is more than line 7, enter <b>amount owed</b> .	<b>9</b>	205
<b>10</b>	<b>Overpayment.</b> If line 7 is more than the total of lines 5 and 8, enter the <b>amount overpaid</b> .	<b>10</b>	
<b>11</b>	Enter the amount of line 10 to be: <b>Credited to 2021 estimated tax</b> <input type="checkbox"/> <b>Refunded</b> <input type="checkbox"/>	<b>11</b>	

**Part VII-A Statements Regarding Activities**

	Yes	No
<b>1a</b> During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?	<b>1a</b>	No
<b>b</b> Did it spend more than \$100 during the year (either directly or indirectly) for political purposes? (see Instructions for definition). <i>If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.</i>	<b>1b</b>	No
<b>c</b> Did the foundation file <b>Form 1120-POL</b> for this year?	<b>1c</b>	No
<b>d</b> Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: <b>(1)</b> On the foundation. <b>(2)</b> On foundation managers.		
<b>e</b> Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers.		
<b>2</b> Has the foundation engaged in any activities that have not previously been reported to the IRS? <i>If "Yes," attach a detailed description of the activities.</i>	<b>2</b>	No
<b>3</b> Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? <i>If "Yes," attach a conformed copy of the changes</i>	<b>3</b>	No
<b>4a</b> Did the foundation have unrelated business gross income of \$1,000 or more during the year?	<b>4a</b>	No
<b>b</b> If "Yes," has it filed a tax return on <b>Form 990-T</b> for this year?	<b>4b</b>	
<b>5</b> Was there a liquidation, termination, dissolution, or substantial contraction during the year? <i>If "Yes," attach the statement required by General Instruction T.</i>	<b>5</b>	No
<b>6</b> Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	<b>6</b>	Yes
<b>7</b> Did the foundation have at least \$5,000 in assets at any time during the year? <i>If "Yes," complete Part II, col. (c), and Part XV.</i>	<b>7</b>	Yes
<b>8a</b> Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ NY		
<b>b</b> If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? <i>If "No," attach explanation.</i>	<b>8b</b>	Yes
<b>9</b> Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2020 or the taxable year beginning in 2020? See the instructions for Part XIV. <i>If "Yes," complete Part XIV</i>	<b>9</b>	No
<b>10</b> Did any persons become substantial contributors during the tax year? <i>If "Yes," attach a schedule listing their names and addresses.</i>	<b>10</b>	No

**Part VII-A Statements Regarding Activities** (continued)

<b>11</b>	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule. See instructions. . . . .	<b>11</b>		<b>No</b>
<b>12</b>	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement. See instructions . . . . .	<b>12</b>		<b>No</b>
<b>13</b>	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address <b>►</b> ROOTHBERTFUND.ORG	<b>13</b>	<b>Yes</b>	
<b>14</b>	The books are in care of <b>►</b> CORPORATION Telephone no. <b>►</b> (212) 870-3206			

Located at **►**475 RIVERSIDE DRIVE NEW YORK NY ZIP+4 **►**10115

<b>15</b>	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of <b>Form 1041</b> —check here . . . . . <b>►</b> <input type="checkbox"/> and enter the amount of tax-exempt interest received or accrued during the year . . . . . <b>►</b> <b>15</b>			
<b>16</b>	At any time during calendar year 2020, 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 <b>►</b>	<b>16</b>	<b>Yes</b>	<b>No</b>

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

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

<b>1a</b>	During the year did the foundation (either directly or indirectly):		<b>Yes</b>	<b>No</b>
	(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? ( <b>Exception.</b> Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.) . . . . . <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
<b>b</b>	If any answer is "Yes" to 1a(1)–(6), did <b>any</b> of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance? See instructions . . . . . <input type="checkbox"/> Organizations relying on a current notice regarding disaster assistance check here. . . . . <b>►</b> <input type="checkbox"/>	<b>1b</b>		
<b>c</b>	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2020? . . . . .	<b>1c</b>		
<b>2</b>	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)):			
<b>a</b>	At the end of tax year 2020, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2020? . . . . . <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If "Yes," list the years <b>►</b> 20____, 20____, 20____, 20____			
<b>b</b>	Are there any years listed in 2a for which the foundation is <b>not</b> applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to <b>all</b> years listed, answer "No" and attach statement—see instructions.) . . . . .	<b>2b</b>		
<b>c</b>	If the provisions of section 4942(a)(2) are being applied to <b>any</b> of the years listed in 2a, list the years here. <b>►</b> 20____, 20____, 20____, 20____			
<b>3a</b>	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? . . . . . <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
<b>b</b>	If "Yes," did it have excess business holdings in 2020 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 2020.) . . . . .	<b>3b</b>		
<b>4a</b>	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	<b>4a</b>		<b>No</b>
<b>b</b>	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2020?	<b>4b</b>		<b>No</b>

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

		<b>Yes</b>	<b>No</b>
<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 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>b</b>	If any answer is "Yes" to 5a(1)–(5), did <b>any</b> of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance? See instructions.	<b>5b</b>	
	Organizations relying on a current notice regarding disaster assistance check here.	<input type="checkbox"/>	
<b>c</b>	If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? If "Yes," attach the statement required by Regulations section 53.4945–5(d).	<input type="checkbox"/> Yes <input type="checkbox"/> No	
<b>6a</b>	Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
<b>b</b>	Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? If "Yes" to 6b, file Form 8870.	<b>6b</b>	<b>No</b>
<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?	<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 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
See Additional Data Table				

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

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

**Total** number of other employees paid over \$50,000. ▶

**Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors** *(continued)*

**3 Five highest-paid independent contractors for professional services (see instructions). If none, enter "NONE".**

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

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

List the foundation's four largest direct charitable activities during the tax year. Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc.	Expenses
<b>1</b>	
<b>2</b>	
<b>3</b>	
<b>4</b>	

**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
<b>1</b> N/A	
<b>2</b>	
All other program-related investments. See instructions.	
<b>3</b>	
Total. Add lines 1 through 3 . . . . . ▶	

**Part X Minimum Investment Return** (All domestic foundations must complete this part. Foreign foundations, see instructions.)

<b>1</b>	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
<b>a</b>	Average monthly fair market value of securities. . . . .	<b>1a</b>	5,853,712
<b>b</b>	Average of monthly cash balances. . . . .	<b>1b</b>	351,193
<b>c</b>	Fair market value of all other assets (see instructions). . . . .	<b>1c</b>	0
<b>d</b>	<b>Total</b> (add lines 1a, b, and c). . . . .	<b>1d</b>	6,204,905
<b>e</b>	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation). . . . .	<b>1e</b>	
<b>2</b>	Acquisition indebtedness applicable to line 1 assets. . . . .	<b>2</b>	
<b>3</b>	Subtract line 2 from line 1d. . . . .	<b>3</b>	6,204,905
<b>4</b>	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions). . . . .	<b>4</b>	93,074
<b>5</b>	<b>Net value of noncharitable-use assets.</b> Subtract line 4 from line 3. Enter here and on Part V, line 4	<b>5</b>	6,111,831
<b>6</b>	<b>Minimum investment return.</b> Enter 5% of line 5. . . . .	<b>6</b>	305,592

**Part XI Distributable Amount** (see instructions) (Section 4942(j)(3) and (j)(5) private operating foundations and certain foreign organizations check here ☐ and do not complete this part.)

<b>1</b>	Minimum investment return from Part X, line 6. . . . .	<b>1</b>	305,592
<b>2a</b>	Tax on investment income for 2020 from Part VI, line 5. . . . .	<b>2a</b>	1,202
<b>b</b>	Income tax for 2020. (This does not include the tax from Part VI.). . . . .	<b>2b</b>	
<b>c</b>	Add lines 2a and 2b. . . . .	<b>2c</b>	1,202
<b>3</b>	Distributable amount before adjustments. Subtract line 2c from line 1. . . . .	<b>3</b>	304,390
<b>4</b>	Recoveries of amounts treated as qualifying distributions. . . . .	<b>4</b>	
<b>5</b>	Add lines 3 and 4. . . . .	<b>5</b>	304,390
<b>6</b>	Deduction from distributable amount (see instructions). . . . .	<b>6</b>	
<b>7</b>	<b>Distributable amount</b> as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1. . . . .	<b>7</b>	304,390

**Part XII Qualifying Distributions** (see instructions)

<b>1</b>	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes:		
<b>a</b>	Expenses, contributions, gifts, etc.—total from Part I, column (d), line 26. . . . .	<b>1a</b>	274,600
<b>b</b>	Program-related investments—total from Part IX-B. . . . .	<b>1b</b>	
<b>2</b>	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes. . . . .	<b>2</b>	
<b>3</b>	Amounts set aside for specific charitable projects that satisfy the:		
<b>a</b>	Suitability test (prior IRS approval required). . . . .	<b>3a</b>	
<b>b</b>	Cash distribution test (attach the required schedule). . . . .	<b>3b</b>	
<b>4</b>	<b>Qualifying distributions.</b> Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	<b>4</b>	274,600
<b>5</b>	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b. See instructions. . . . .	<b>5</b>	
<b>6</b>	<b>Adjusted qualifying distributions.</b> Subtract line 5 from line 4. . . . .	<b>6</b>	274,600

**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 2019	(c) 2019	(d) 2020
<b>1</b> Distributable amount for 2020 from Part XI, line 7				304,390
<b>2</b> Undistributed income, if any, as of the end of the 2020:				
<b>a</b> Enter amount for 2019 only. . . . .			259,342	
<b>b</b> Total for prior years: 20____, 20____, 20____				
<b>3</b> Excess distributions carryover, if any, to 2020:				
<b>a</b> From 2015. . . . .				
<b>b</b> From 2016. . . . .				
<b>c</b> From 2017. . . . .				
<b>d</b> From 2018. . . . .				
<b>e</b> From 2019. . . . .				
<b>f</b> <b>Total</b> of lines 3a through e. . . . .				
<b>4</b> Qualifying distributions for 2020 from Part XII, line 4: ► \$ 274,600				
<b>a</b> Applied to 2019, but not more than line 2a			259,342	
<b>b</b> Applied to undistributed income of prior years (Election required—see instructions). . . . .				
<b>c</b> Treated as distributions out of corpus (Election required—see instructions). . . . .				
<b>d</b> Applied to 2020 distributable amount. . . . .				15,258
<b>e</b> Remaining amount distributed out of corpus				
<b>5</b> Excess distributions carryover applied to 2020. (If an amount appears in column (d), the same amount must be shown in column (a).)				
<b>6 Enter the net total of each column as indicated below:</b>				
<b>a</b> Corpus. Add lines 3f, 4c, and 4e. Subtract line 5				
<b>b</b> Prior years' undistributed income. Subtract line 4b from line 2b. . . . .				
<b>c</b> Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed. . . . .				
<b>d</b> Subtract line 6c from line 6b. Taxable amount—see instructions. . . . .				
<b>e</b> Undistributed income for 2019. Subtract line 4a from line 2a. Taxable amount—see instructions. . . . .				
<b>f</b> Undistributed income for 2021. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2020. . . . .				289,132
<b>7</b> Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions). . . . .				
<b>8</b> Excess distributions carryover from 2015 not applied on line 5 or line 7 (see instructions). . . . .				
<b>9 Excess distributions carryover to 2021.</b> Subtract lines 7 and 8 from line 6a. . . . .				
<b>10</b> Analysis of line 9:				
<b>a</b> Excess from 2016. . . . .				
<b>b</b> Excess from 2017. . . . .				
<b>c</b> Excess from 2018. . . . .				
<b>d</b> Excess from 2019. . . . .				
<b>e</b> Excess from 2020. . . . .				

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

**1a** If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2020, enter the date of the ruling. . . . . ▶

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

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

Tax year	Prior 3 years			(e) Total
(a) 2020	(b) 2019	(c) 2018	(d) 2017	
<b>b</b> 85% of line 2a . . . . .				
<b>c</b> Qualifying distributions from Part XII, line 4 for each year listed . . . . .				
<b>d</b> Amounts included in line 2c not used directly for active conduct of exempt activities . . . . .				
<b>e</b> Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c . . . . .				
<b>3</b> Complete 3a, b, or c for the alternative test relied upon:				
<b>a</b> "Assets" alternative test—enter:				
<b>(1)</b> Value of all assets . . . . .				
<b>(2)</b> Value of assets qualifying under section 4942(j)(3)(B)(i)				
<b>b</b> "Endowment" alternative test— enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed. . . . .				
<b>c</b> "Support" alternative test—enter:				
<b>(1)</b> Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties) . . . . .				
<b>(2)</b> Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii). . . . .				
<b>(3)</b> Largest amount of support from an exempt organization				
<b>(4)</b> Gross investment income				

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

**1 Information Regarding Foundation Managers:**

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

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

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

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

**a** The name, address, and telephone number or e-mail address of the person to whom applications should be addressed:

THE ROTHBERT FUND  
475 RIVERSIDE DR  
ROOM 252  
NEW YORK, NY 101150252  
(212) 870-3116

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

A FOUR-PAGE SCHOLARSHIP APPLICATION IS AVAILABLE ON-LINE OR FROM THE OFFICE. IT REQUIRES PERSONAL INFORMATION, EDUCATIONAL STATUS, EDUCATIONAL HISTORY, BACKGROUND (EMPLOYMENT) INFORMATION, FINANCIAL INFORMATION ON EDUCATIONAL EXPENSES AND RESOURCES, PRESENT ACTIVITIES, THREE RECOMMENDATION LETTERS AND TWO ESSAYS ON AUTOBIOGRAPHICAL INFORMATION. A SELECTION OF APPLICANTS ARE INTERVIEWED BY BOARD MEMBERS. SUCCESSFUL GRANTEES ARE SELECTED FROM THIS GROUP BY THE SCHOLARSHIP COMMITTEE. PREVIOUS GRANTEES SEEKING CONTINUING SUPPORT FOR THEIR EDUCATION SUBMIT A TWO PAGE SCHOLARSHIP RENEWAL APPLICATION, WHICH UPDATES THEIR INFORMATION, FINANCES, AND PERSONAL DEVELOPMENT OVER THE PREVIOUS YEAR.

**c** Any submission deadlines:

APPLICATIONS MUST BE RECEIVED BY FEBRUARY 1 FOR THE AWARDS THAT ARE GENERALLY FUNDED IN THE JULY - A

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

THE ROTHBERT FUND MAKES TWO TYPES OF GRANTS: 1. SCHOLARSHIP GRANTS FOR GRADUATE AND UNDERGRADUATE STUDY. APPLICANTS FOR THESE GRANTS ARE REQUIRED TO COMPLETE THE APPROPRIATE APPLICATION. 2. FELLOWSHIP GRANTS TO ORGANIZATIONS QUALIFIED UNDER I.R.C. SECTION 501(C)(3) ON BEHALF OF FELLOWS, INDIVIDUALLY OR IN GROUPS, WHO ARE NO LONGER RECEIVING SCHOLARSHIP GRANTS. QUALIFYING FELLOWS MAY APPLY FOR THESE GRANTS AT ANY TIME AND THEIR APPLICATIONS ARE REVIEWED AND ACTED UPON BY A COMMITTEE MADE UP OF MEMBERS OR FORMER MEMBERS OF THE BOARD OF DIRECTORS OF THE FUND.

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> <i>Paid during the year</i> See Additional Data Table				
<b>Total . . . . .</b> ▶ <b>3a</b>				191,950
<b>b</b> <i>Approved for future payment</i>				
<b>Total . . . . .</b> ▶ <b>3b</b>				

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	
<b>Enter gross amounts unless otherwise indicated.</b>				
<b>1</b> Program service revenue:				
a _____				
b _____				
c _____				
d _____				
e _____				
f _____				
g Fees and contracts from government agencies				
<b>2</b> Membership dues and assessments. . . . .				
<b>3</b> Interest on savings and temporary cash investments . . . . .				
<b>4</b> Dividends and interest from securities. . . . .				97,683
<b>5</b> Net rental income or (loss) from real estate:				
a Debt-financed property. . . . .				
b Not debt-financed property. . . . .				
<b>6</b> Net rental income or (loss) from personal property				
<b>7</b> Other investment income. . . . .				
<b>8</b> Gain or (loss) from sales of assets other than inventory . . . . .				165,748
<b>9</b> Net income or (loss) from special events:				
<b>10</b> Gross profit or (loss) from sales of inventory				
<b>11</b> Other revenue:				
a GRANT REFUN _____				3,500
b _____				
c _____				
d _____				
e _____				
<b>12</b> Subtotal. Add columns (b), (d), and (e). . . . .				266,931
<b>13</b> Total. Add line 12, columns (b), (d), and (e). . . . .				266,931

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

[illegible]

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

<b>1</b> 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?			<b>Yes</b>	<b>No</b>
<b>a</b> Transfers from the reporting foundation to a noncharitable exempt organization of:				
<b>(1)</b> Cash. . . . .		<b>1a(1)</b>		<b>No</b>
<b>(2)</b> Other assets. . . . .		<b>1a(2)</b>		<b>No</b>
<b>b</b> Other transactions:				
<b>(1)</b> Sales of assets to a noncharitable exempt organization. . . . .		<b>1b(1)</b>		<b>No</b>
<b>(2)</b> Purchases of assets from a noncharitable exempt organization. . . . .		<b>1b(2)</b>		<b>No</b>
<b>(3)</b> Rental of facilities, equipment, or other assets. . . . .		<b>1b(3)</b>		<b>No</b>
<b>(4)</b> Reimbursement arrangements. . . . .		<b>1b(4)</b>		<b>No</b>
<b>(5)</b> Loans or loan guarantees. . . . .		<b>1b(5)</b>		<b>No</b>
<b>(6)</b> Performance of services or membership or fundraising solicitations. . . . .		<b>1b(6)</b>		<b>No</b>
<b>c</b> Sharing of facilities, equipment, mailing lists, other assets, or paid employees. . . . .		<b>1c</b>		<b>No</b>
<b>d</b> If the answer to any of the above is "Yes," complete the following schedule. Column <b>(b)</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 <b>(d)</b> 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

<b>Sign Here</b>	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.		
	***** _____ Signature of officer or trustee	2021-10-30 _____ Date	***** _____ Title

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

<b>Paid Preparer Use Only</b>	Print/Type preparer's name	Preparer's Signature	Date	Check if self-employed <input checked="checked" type="checkbox"/>	PTIN
	PATRICK F MCINTYRE		2021-11-04		P01372868
	Firm's name ▶ PATRICK F MCINTYRE CPA PC				Firm's EIN ▶ 06-1460870
	Firm's address ▶ 3 STARR RIDGE RD STE 102 BREWSTER, NY 105094503				Phone no. (845) 278-2836

Form 990PF Part VIII Line 1 - List all officers, directors, trustees, foundation managers and their compensation

(a) Name and address	Title, and average hours per week (b) devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	Expense account, (e) other allowances
CHARLES H VAN HORNE	PRES/DIRECTO 10.00	0	0	0
475 RIVERSIDE DRIVE NEW YORK, NY 10115				
VIJAY R VARMA	VICE PRES/DI 10.00	0	0	0
475 RIVERSIDE DRIVE NEW YORK, NY 10115				
JAMES G HEINEGG	VICE PRES/DI 10.00	0	0	0
475 RIVERSIDE DRIVE NEW YORK, NY 10115				
FLORIAN HALILI	TREASURER/DI 10.00	0	0	0
475 RIVERSIDE DRIVE NEW YORK, NY 10015				
JASON T BUHLE	DIRECTOR 5.00	0	0	0
475 RIVERSIDE DRIVE NEW YORK, NY 10115				
JAMES A ROSENGARTEN	DIRECTOR 5.00	0	0	0
475 RIVERSIDE DRIVE NEW YORK, NY 10115				
NADJWA E L NORTON	DIRECTOR 5.00	0	0	0
475 RIVERSIDE DRIVE NEW YORK, NY 10115				
NATHALIS W WAMBA	DIRECTOR 5.00	0	0	0
475 RIVERSIDE DRIVE NEW YORK, NY 10115				
BRIAN G SMIGA	DIRECTOR 5.00	0	0	0
475 RIVERSIDE DRIVE NEW YORK, NY 10115				
LEONISA ARDIZZONE	DIRECTOR 5.00	0	0	0
475 RIVERSIDE DRIVE NEW YORK, NY 10115				
ALEXYEA HOLMES	ASSOCIATE DI 3.00	0	0	0
475 RIVERSIDE DRIVE NEW YORK, NY 10115				
ILUNGA KALALA	ASSOCIATE DI 3.00	0	0	0
475 RIVERSIDE DRIVE NEW YORK, NY 10115				

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> <i>Paid during the year</i>				
SHABNAM AHMED2121 I ST NW WASHINGTON, DC 20052		PAID	SCHOLARSHIP	6,500
SALMA AHSANUDDIN 185 S ORANGE AVE NEWARK, NJ 07103		PAID	SCHOLARSHIP	3,000
YAANIA BELL50 WEST 4TH ST NEW YORK, NY 10012		PAID	SCHOLARSHIP	5,500
<b>Total . . . . . ▶ 3a</b>				191,950

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> <i>Paid during the year</i>				
SARAH O BENEDITH1801 N BROAD ST PHILADELPHIA, PA 19122		PAID	SCHOLARSHIP	3,500
SARAH O BENEDITH1801 N BROAD ST PHILADELPHIA, PA 19122		PAID	SCHOLARSHIP	1,200
KIERSTIN M BLATZHEIM 405 HILGARD AVE BOX95140 LOS ANGELES, CA 900951405		PAID	SCHOLARSHIP	3,500
<b>Total . . . . . ▶ 3a</b>				191,950

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> <i>Paid during the year</i>				
KIERSTIN M BLATZHEIM 405 HILGARD AVE BOX95140 LOS ANGELES, CA 900957089		PAID	SCHOLARSHIP	1,200
DIANA L CABEZAS1 NORMAL AVE MONTCLAIR, NJ 07043		PAID	SCHOLARSHIP	4,000
DIANA L CABEZAS1 NORMAL AVE MONTCLAIR, NJ 07043		PAID	SCHOLARSHIP	700
<b>Total . . . . . ▶ 3a</b>				191,950

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> <i>Paid during the year</i>				
SIANNA CASEY45 FRANCIS AVE CAMBRIDGE, MA 02138		PAID	SCHOLARSHIP	7,000
NYWEL CHEAYNE124 RAYMOND AVE POUGHKEEPSIE, NY 12604		PAID	SCHOLARSHIP	3,500
NYWEL CHEAYNE124 RAYMOND AVE POUGHKEEPSIE, NY 12604		PAID	SCHOLARSHIP	1,200
<b>Total . . . . . ▶ 3a</b>				191,950

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> <i>Paid during the year</i>				
KADIJAH DANSBY2400 6TH NW WASHINGTON, DC 20059		PAID	SCHOLARSHIP	4,000
KADIJAH DANSBY2400 6TH NW WASHINGTON, DC 20059		PAID	SCHOLARSHIP	700
PABLO ESQUIVEL66 W 12TH ST NEW YORK, NY 10011		PAID	SCHOLARSHIP	7,000
<b>Total . . . . . ▶ 3a</b>				191,950

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> <i>Paid during the year</i>				
SARAH B FERRELL 110 SPROUT HALL 5800 BERKELEY, CA 947101960		PAID	SCHOLARSHIP	1,200
SARAH B FERRELL 110 SPROUT HALL 5800 BERKELEY, CA 947201960		PAID	SCHOLARSHIP	3,500
PATRICIA FREUD-KING 1 N UNIVERSITY DR WASHINGTON, DC 20059		PAID	SCHOLARSHIP	6,500
<b>Total . . . . . ▶ 3a</b>				191,950

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> <i>Paid during the year</i>				
JAYENNE D FORREST 125TH AND BROADWAY NEW YORK, NY 10027		PAID	SCHOLARSHIP	4,000
JAYENNE D FORREST 125TH AND BROADWAY NEW YORK, NY 10027		PAID	SCHOLARSHIP	700
BRUNELLA C GODOY-MARTINEZ 185 S ORANGE AVE NEWARK, NJ 07102		PAID	SCHOLARSHIP	3,500
<b>Total . . . . . ▶ 3a</b>				191,950

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> <i>Paid during the year</i>				
BRUNELLA C GODOY-MARTINEZ 185 S ORANGE AVE NEWARK, NJ 07102		PAID	SCHOLARSHIP	1,200
NATALI F GUZMAN 600 MT PLEASANT AVE PROVIDENCE, RI 02908		PAID	SCHOLARSHIP	5,000
ELEANOR HARTLEY45 FRANCIS AVE CAMBRIDGE, MA 02138		PAID	SCHOLARSHIP	500
<b>Total . . . . . ▶ 3a</b>				191,950

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> <i>Paid during the year</i>				
ELVIS R HENRIQUEZ2121 I ST NW WASHINGTON, DC 20059		PAID	SCHOLARSHIP	4,000
ELVIS R HENRIQUEZ2121 I ST NW WASHINGTON, DC 20059		PAID	SCHOLARSHIP	700
CHIMMUANYA IHEANYI-IGWE 500 S STATE ST ANN HARBOUR, MI 481091316		PAID	SCHOLARSHIP	4,000
<b>Total . . . . . ▶ 3a</b>				191,950

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> <i>Paid during the year</i>				
CHIMMUANYA IHEANYI-IGWE 500 S STATE ST ANN HARBOUR, MI 481091316		PAID	SCHOLARSHIP	700
KAITWAN A JACKSON 3551 TROUSDALE PARKWAY LOS ANGELES, CA 900890914		PAID	SCHOLARSHIP	1,750
MONICA E JANIVER50 WEST 4TH ST NEW YORK, NY 10003		PAID	SCHOLARSHIP	3,500
<b>Total . . . . . ▶ 3a</b>				191,950

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> <i>Paid during the year</i>				
MONICA E JANIVER50 WEST 4TH ST NEW YORK, NY 10003		PAID	SCHOLARSHIP	1,200
ERYNE T JENKINS500 LINCOLN DR MADISON, WI 537151383		PAID	SCHOLARSHIP	4,000
ERYNE T JENKINS500 LINCOLN DR MADISON, WI 537151383		PAID	SCHOLARAHIP	700
<b>Total . . . . . ▶ 3a</b>				191,950

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> <i>Paid during the year</i>				
AVIAH S KRUPNICK 7950 BALTIMORE AVE COLLEGE PARK, MD 20742		PAID	SCHOLARSHIP	5,000
IAN LUCAS441 EAST FORDHAM RD BRONX, NY 10458		PAID	SCHOLARSHIP	6,500
APRIL MACMOOD3451 WALNUT ST PHILADELPHIA, PA 19104		PAID	SCHOLARSHIP	7,000
<b>Total . . . . . ▶ 3a</b>				191,950

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> <i>Paid during the year</i>				
MBITA MBAO300 FENWAY BOSTON, MA 02115		PAID	SCHOLARSHIP	4,000
MBITA MBAO300 FENWAY BOSTON, MA 02115		PAID	SCHOLARSHIP	700
AMANDA MUSSER40 DILWORTH RD MILLERSVILLE, PA 17551		PAID	SCHOLARSHIP	4,000
<b>Total . . . . . ▶ 3a</b>				191,950

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> <i>Paid during the year</i>				
AMANDA MUSSER40 DILWORTH RD MILLERSVILLE, PA 17551		PAID	SCHOLARSHIP	700
NEYLAN S NEAL57 US HIGHWAY 1 NEW BRUNSWICK, NJ 08903		PAID	SCHOLARSHIP	4,000
NEYLAN S NEAL57 US HIGHWAY 1 NEW BRUNSWICK, NJ 08903		PAID	SCHOLARSHIP	700
<b>Total . . . . .</b> ► <b>3a</b>				191,950

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> <i>Paid during the year</i>				
IQRA NOOR86 BRATTLE ST CAMBRIDGE, MA 02138		PAID	SCHOLARSHIP	4,000
IQRA NOOR86 BRATTLE ST CAMBRIDGE, MA 02138		PAID	SCHOLARSHIP	700
KRISTEN OSTENDORF440 W 21ST ST NEW YORK, NY 10011		PAID	SCHOLARSHIP	7,500
<b>Total . . . . . ▶ 3a</b>				191,950

**Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment**

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> <i>Paid during the year</i>				
ANDREW A PARAMBATH 3451 WALNUT ST PHILADELPHIA, PA 19104		PAID	SCHOLARSHIP	700
PERSIS A BAAH201 NASSAU ST PRINCETON, NJ 085420591		PAID	SCHOLARSHIP	3,000
SARAH E PLUMMER 925 PRICES FORK RD BLACKSBURG, VA 24061		PAID	SCHOLARSHIP	4,000
<b>Total . . . . . ▶ 3a</b>				191,950

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> <i>Paid during the year</i>				
SARAH E PLUMMER 925 PRICES FORK RD BLACKSBURG, VA 24061		PAID	SCHOLARSHIP	700
JESSICA SAIFEE13001 E 17TH PL AURORA, CO 80045		PAID	SCHOLARSHIP	4,000
JESSICA SAIFEE13001 E 17TH PL AURORA, CO 80045		PAID	SCHOLARSHIP	700
<b>Total . . . . . ▶ 3a</b>				191,950

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> <i>Paid during the year</i>				
MARBETH SALINAS-RAMIREZ 220 E CAMERON AVE GREENSBORO, NC 27412		PAID	SCHOLARSHIP	4,000
MARBETH SALINAS-RAMIREZ 220 E CAMERON AVE GREENSBORO, NC 27412		PAID	SCHOLARSHIP	700
TASIFA I SHAWLIN 500 GRAND CONCOURSE BRONX, NY 10451		PAID	SCHOLARSHIP	992
<b>Total . . . . . ▶ 3a</b>				191,950

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> <i>Paid during the year</i>				
TASIFA I SHAWLIN 250 BEDFORD PARK BLVD BRONX, NY 104681589		PAID	SCHOLARSHIP	1,936
TASIFA I SHAWLIN106 CENTRAL ST WELLESLEY, MA 02481		PAID	SCHOLARSHIP	572
TIONNA J SOLOMON 223 JAMES P BRAWLEY DR SW ATLANTA, GA 30314		PAID	SCHOLARSHIP	4,000
<b>Total . . . . . ▶ 3a</b>				191,950

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> <i>Paid during the year</i>				
TIONNA J SOLOMON 223 JAMES P BRAWLEY DR SW ATLANTA, GA 30314		PAID	SCHOLARSHIP	700
SALMA TAYEL3400 N CHARLES ST BALTIMORE, MD 21205		PAID	SCHOLARSHIP	6,500
SHANEAH TAYLOR 1200 W HARRISON ST CHICAGO, IL 60607		PAID	SCHOLARSHIP	6,500
<b>Total . . . . . ▶ 3a</b>				191,950

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> <i>Paid during the year</i>				
SARA WENGER923 PRICES FORK RD BLACKSBURG, VA 24061		PAID	SCHOLARSHIP	7,000
NAOMI A WILLIAMS4202 E FOWLER AVE ORLANDO, FL 328864571		PAID	SCHOLARSHIP	2,000
<b>Total . . . . . ▶ 3a</b>				191,950

**TY 2020 Accounting Fees Schedule****Name:** THE ROOTHBERT FUND INC**EIN:** 13-6162570

<b>Category</b>	<b>Amount</b>	<b>Net Investment Income</b>	<b>Adjusted Net Income</b>	<b>Disbursements for Charitable Purposes</b>
TAX PREPARATION & AUDITING	7,500	2,500		5,000

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

**TY 2020 Gain/Loss from Sale of Other Assets Schedule**

**Name:** THE ROOTHBERT FUND INC

**EIN:** 13-6162570

**Gain Loss Sale Other Assets Schedule**

Name	Date Acquired	How Acquired	Date Sold	Purchaser Name	Gross Sales Price	Basis	Basis Method	Sales Expenses	Total (net)	Accumulated Depreciation
VANGUAR SMALL CAP INDEX ADMIRAL	2016-06	PURCHASE	2020-01		32,000	22,191			9,809	
VANGUARD 500 INDEX ADMIRAL	2016-06	PURCHASE	2020-01		104,000	65,482			38,518	
VANGUARD SMALL CAP INDEX ADMIRAL	2016-06	PURCHASE	2020-07		142,000	112,710			29,290	
VANGUARD 500 INDEX ADMIRAL	2016-06	PURCHASE	2020-07		134,000	88,389			45,611	
VANGUARD SMALL CAP INDEX ADMIRAL	2016-06	PURCHASE	2020-10		65,000	46,434			18,566	
VANGUARD 500 INDEX ADMIRAL	2016-06	PURCHASE	2020-10		62,000	38,057			23,943	
UNITED STATE TREAS SER AG - 2020	2018-10	PURCHASE	2020-12		75,000	74,989			11	

**TY 2020 Investments Corporate Bonds Schedule****Name:** THE ROTHBERT FUND INC**EIN:** 13-6162570**Investments Corporate Bonds Schedule**

<b>Name of Bond</b>	<b>End of Year Book Value</b>	<b>End of Year Fair Market Value</b>
APPLE INC.	74,517	83,882
TRUIST FINANCIAL CORP	50,001	50,242
CONSOLIDATED EDISON	74,599	82,673
FEDERAL EXPRESS	50,033	51,730
JOHNSON & JOHNSON 2.45%	74,242	81,590
MORGAN STANLEY MTN. 3.125%	73,929	79,153
PEPSICO INC 3%	75,007	84,603
SCHWAB CHARLES CORP. 3.0%	49,448	54,664
VISA INC. 3.15%	99,875	112,185
WELLS FARGO CO 3.3%	50,003	54,759

**TY 2020 Investments Corporate Stock Schedule****Name:** THE ROTHBERT FUND INC**EIN:** 13-6162570**Investments Corporation Stock Schedule**

<b>Name of Stock</b>	<b>End of Year Book Value</b>	<b>End of Year Fair Market Value</b>
VANGUARD SMALL CAP INDES ADMIRAL	811,821	1,327,363
VANGAURD 500 INDEX ADMIRAL	1,622,000	2,861,688
ISHARES CORE US AGGREGATE BOND ETF	73,821	73,869
ISHARES IBOXX INVESTMENT GRADE	74,070	75,972
VANGUARD BD INDEX FDS SHORT TERM BON	74,704	74,609
VANGUARD SCOTTSDALE FDS VANGUARD	74,511	74,925

**TY 2020 Investments Government Obligations Schedule****Name:** THE ROTHBERT FUND INC**EIN:** 13-6162570**US Government Securities - End  
of Year Book Value:**

602,817

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

623,690

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

**TY 2020 Other Expenses Schedule****Name:** THE ROTHBERT FUND INC**EIN:** 13-6162570**Other Expenses Schedule**

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
EXPENSES				
NYS DEPT OF LAW - FILING FEE	250			250
OFFICE SUPPLIES AND EXPENSES	489			489
OFFICE MANAGEMENT/BOOKKEEPING	38,637			38,637
WEBSITE	1,780			1,780
POSTAGE	563			563
TELEPHONE & INTERNET	7,094			7,094
INSURANCE	2,581			2,581
FELLOWSHIP PROGRAM	13,800			13,800

# **TY 2020 Other Income Schedule**

**Name:** THE ROOTHBERT FUND INC

**EIN:** 13-6162570

## **Other Income Schedule**

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
GRANT REFUN	3,500		

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TY 2020 Other Increases Schedule			
Name: THE ROOTHBERT FUND INC			
EIN: 13-6162570			
Other Increases Schedule			
Description			Amount
PRIOR PERIOD ADJUSTMENT			20

**TY 2020 Other Professional Fees Schedule****Name:** THE ROTHBERT FUND INC**EIN:** 13-6162570

<b>Category</b>	<b>Amount</b>	<b>Net Investment Income</b>	<b>Adjusted Net Income</b>	<b>Disbursements for Charitable Purposes</b>
INVESTMENT MANAGEMENT FEES	7,891	7,891		

**TY 2020 Taxes Schedule**

**Name:** THE ROTHBERT FUND INC  
**EIN:** 13-6162570

**Taxes Schedule**

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
EXCISE TAX - 2019	811	811		