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Form **990-PF**

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

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

▶ 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.

OMB No. 1545-0047

2021

Open to Public Inspection

For calendar year 2021, or tax year beginning 10-01-2021 , and ending 09-30-2022

Name of foundation
THE ESTHER A & JOSEPH KLINGENSTEIN FUND INC

% JANET L MULLIGAN

Number and street (or P.O. box number if mail is not delivered to street address) | Room/suite
61 BROADWAY SUITE 1601

City or town, state or province, country, and ZIP or foreign postal code
NEW YORK, NY 10006

A Employer identification number
13-6028788

B Telephone number (see instructions)
(212) 583-1100

C If exemption application is pending, check here ▶ ☐

D 1. Foreign organizations, check here............ ▶ ☐
2. Foreign organizations meeting the 85% test, check here and attach computation ... ▶ ☐

E If private foundation status was terminated under section 507(b)(1)(A), check here .... ▶ ☐

F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here .... ▶ ☐

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

H Check type of organization: ☑ Section 501(c)(3) exempt private foundation
☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation

I Fair market value of all assets at end of year (from Part II, col. (c), *line 16*) ▶$ 101,374,733

J Accounting method: ☑ Cash ☐ Accrual ☐ Other (specify)
(Part I, column (d) must be on cash basis.)

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

			(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1	Contributions, gifts, grants, etc., received (attach schedule)	1,300,000			
	2	Check ▶ ☐ if the foundation is **not** required to attach Sch. B				
	3	Interest on savings and temporary cash investments				
	4	Dividends and interest from securities	1,196,695	1,196,695		
	5a	Gross rents				
	b	Net rental income or (loss)				
	6a	Net gain or (loss) from sale of assets not on line 10	-307,973			
	b	Gross sales price for all assets on line 6a 3,812,064				
	7	Capital gain net income (from Part IV, line 2)		0		
	8	Net short-term capital gain				
	9	Income modifications				
	10a	Gross sales less returns and allowances				
	b	Less: Cost of goods sold				
	c	Gross profit or (loss) (attach schedule)				
	11	Other income (attach schedule)	6,075	6,075		
	12	**Total.** Add lines 1 through 11	2,194,797	1,202,770		
Operating and Administrative Expenses	13	Compensation of officers, directors, trustees, etc.	174,801			174,801
	14	Other employee salaries and wages	138,633			138,633
	15	Pension plans, employee benefits	71,799			71,799
	16a	Legal fees (attach schedule)	5,216	0	0	5,216
	b	Accounting fees (attach schedule)	16,748	8,374	0	8,374
	c	Other professional fees (attach schedule)	239,593	161,930		77,663
	17	Interest				
	18	Taxes (attach schedule) (see instructions)	1,598,311	312		17,999
	19	Depreciation (attach schedule) and depletion	131,899			
	20	Occupancy				
	21	Travel, conferences, and meetings	139,885			139,885
	22	Printing and publications				
	23	Other expenses (attach schedule)	589,455	35,047		589,455
	24	**Total operating and administrative expenses.** Add lines 13 through 23	3,106,340	205,663	0	1,223,825
	25	Contributions, gifts, grants paid	3,139,614			3,139,614
	26	**Total expenses and disbursements.** Add lines 24 and 25	6,245,954	205,663	0	4,363,439
	27	Subtract line 26 from line 12:				
	a	**Excess of revenue over expenses and disbursements**	-4,051,157			
	b	**Net investment income** (if negative, enter -0-)		997,107		
	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 (a) Book Value	End of year (b) Book Value	End of year (c) Fair Market Value
Assets 1	Cash—non-interest-bearing	204,418	291,613	291,613
2	Savings and temporary cash investments	22,774,687	128,031	128,031
3	Accounts receivable ▶			
	Less: allowance for doubtful accounts ▶			
4	Pledges receivable ▶			
	Less: allowance for doubtful accounts ▶			
5	Grants receivable			
6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
7	Other notes and loans receivable (attach schedule) ▶			
	Less: allowance for doubtful accounts ▶			
8	Inventories for sale or use			
9	Prepaid expenses and deferred charges			
10a	Investments—U.S. and state government obligations (attach schedule)			
b	Investments—corporate stock (attach schedule)	106,392,667	124,156,200	97,859,288
c	Investments—corporate bonds (attach schedule)			
11	Investments—land, buildings, and equipment: basis ▶			
	Less: accumulated depreciation (attach schedule) ▶			
12	Investments—mortgage loans			
13	Investments—other (attach schedule)	2,435,142	2,053,639	2,286,618
14	Land, buildings, and equipment: basis ▶ 1,112,123			
	Less: accumulated depreciation (attach schedule) ▶ 428,103	854,721	684,020	684,020
15	Other assets (describe ▶)	128,188	125,163	125,163
16	**Total assets** (to be completed by all filers—see the instructions. Also, see page 1, item I)	132,789,823	127,438,666	101,374,733
Liabilities 17	Accounts payable and accrued expenses			
18	Grants payable			
19	Deferred revenue			
20	Loans from officers, directors, trustees, and other disqualified persons			
21	Mortgages and other notes payable (attach schedule)			
22	Other liabilities (describe ▶)			
23	**Total liabilities**(add lines 17 through 22)	0	0	
Net Assets or Fund Balances	**Foundations that follow FASB ASC 958, check here** ▶ ☐ **and complete lines 24, 25, 29 and 30.**			
24	Net assets without donor restrictions			
25	Net assets with donor restrictions			
	Foundations that do not follow FASB ASC 958, check here ▶ ☑ **and complete lines 26 through 30.**			
26	Capital stock, trust principal, or current funds			
27	Paid-in or capital surplus, or land, bldg., and equipment fund			
28	Retained earnings, accumulated income, endowment, or other funds	132,789,823	127,438,666	
29	**Total net assets or fund balances** (see instructions)	132,789,823	127,438,666	
30	**Total liabilities and net assets/fund balances** (see instructions)	132,789,823	127,438,666	

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	132,789,823
2	Enter amount from Part I, line 27a	2	-4,051,157
3	Other increases not included in line 2 (itemize) ▶	3	
4	Add lines 1, 2, and 3	4	128,738,666
5	Decreases not included in line 2 (itemize) ▶	5	1,300,000
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 29	6	127,438,666

Part IV **Capital Gains and Losses for Tax on Investment Income**

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

	(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				
b				
c				
d				
e				

	Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			**(l)** Gains (Col. (h) gain minus col. (k), but not less than -0-) **or** Losses (from col.(h))
	(i) F.M.V. as of 12/31/69	**(j)** Adjusted basis as of 12/31/69	**(k)** Excess of col. (i) over col. (j), if any	
a				
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**	-307,973
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 Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948—see instructions)

1a	Exempt operating foundations described in section 4940(d)(2), check here ▶ ☐ and enter "N/A" on line 1. Date of ruling or determination letter: ________ **(attach copy of letter if necessary–see instructions)**		
b	All other domestic foundations enter 1.39% (0.0139) of line 27b. Exempt foreign organizations enter 4% (0.04) of Part I, line 12, col. (b)		
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	2	
3	Add lines 1 and 2.	3	13,860
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	4	
5	**Tax based on investment income.** Subtract line 4 from line 3. If zero or less, enter -0-	5	13,860
6	Credits/Payments:		
a	2021 estimated tax payments and 2020 overpayment credited to 2021 — 6a: 320,560		
b	Exempt foreign organizations—tax withheld at source — 6b: 0		
c	Tax paid with application for extension of time to file (Form 8868) — 6c:		
d	Backup withholding erroneously withheld — 6d:		
7	Total credits and payments. Add lines 6a through 6d.	7	320,560
8	Enter any **penalty** for underpayment of estimated tax. Check here ☑ if Form 2220 is attached.	8	0
9	**Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ▶	9	
10	**Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶	10	306,700
11	Enter the amount of line 10 to be: **Credited to 2022 estimated tax** ▶ 25,200 **Refunded** ▶	11	281,500

Part VI-A Statements Regarding Activities

			Yes	No
1a	During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?	1a		No
b	Did it spend more than $100 during the year (either directly or indirectly) for political purposes? See the instructions for the definition.	1b		No
	*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.*			
c	Did the foundation file **Form 1120-POL** for this year?	1c		No
d	Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: **(1)** On the foundation. ▶ $ ________ **(2)** On foundation managers. ▶ $ ________			
e	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ▶ $ ________			
2	Has the foundation engaged in any activities that have not previously been reported to the IRS? *If "Yes," attach a detailed description of the activities.*	2		No
3	Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? *If "Yes," attach a conformed copy of the changes*	3		No
4a	Did the foundation have unrelated business gross income of $1,000 or more during the year?	4a		No
b	If "Yes," has it filed a tax return on **Form 990-T** for this year?	4b		
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year? *If "Yes," attach the statement required by General Instruction T.*	5		No
6	Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	6	Yes	
7	Did the foundation have at least $5,000 in assets at any time during the year? *If "Yes," complete Part II, col. (c), and Part XIV.*	7	Yes	
8a	Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ NY			
b	If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? *If "No," attach explanation*	8b	Yes	
9	Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2021 or the taxable year beginning in 2021? See the instructions for Part XIII. If "Yes," complete Part XIII	9		No
10	Did any persons become substantial contributors during the tax year? *If "Yes," attach a schedule listing their names and addresses.*	10		No

Part VI-A Statements Regarding Activities (continued)

			Yes	No
11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule. See instructions.	11		No
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement. See instructions	12		No
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	Yes	

Website address ▶www.klingenstein.org

14 The books are in care of ▶JANET L MULLIGAN Telephone no. ▶(583) 110-0234

Located at ▶61 BROADWAY SUITE 1601 NEW YORK NY ZIP+4 ▶10006

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

			Yes	No
16	At any time during calendar year 2021, 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		No
	See the instructions for exceptions and filing requirements for FinCEN Form 114. If "Yes", enter the name of the foreign country ▶			

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

	File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.		Yes	No
1a	During the year did the foundation (either directly or indirectly):			
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person?	1a(1)		No
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?	1a(2)		No
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?	1a(3)	Yes	
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?	1a(4)	Yes	
	(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)?	1a(5)		No
	(6) Agree to pay money or property to a government official? (**Exception.** Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.)	1a(6)		No
b	If any answer is "Yes" to 1a(1)–(6), did **any** of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance? See instructions.	1b		No
c	Organizations relying on a current notice regarding disaster assistance check here ▶ ☐			
d	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 2021?	1d		No
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)):			
a	At the end of tax year 2021, did the foundation have any undistributed income (Part XII, lines 6d and 6e) for tax year(s) beginning before 2021?	2a		No
	If "Yes," list the years ▶ 20____ , 20____ , 20____ , 20____			
b	Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to **all** years listed, answer "No" and attach statement—see instructions.)	2b		No
c	If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here. ▶ 20____ , 20____ , 20____ , 20____			
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?	3a		No
b	If "Yes," did it have excess business holdings in 2021 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 2021.)*	3b		
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a		No
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2021?	4b		No

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

			Yes	No
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))?	5a(1)		No
	(2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive?	5a(2)		No
	(3) Provide a grant to an individual for travel, study, or other similar purposes?	5a(3)		No
	(4) Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? See instructions.	5a(4)		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?	5a(5)		No
b	If any answer is "Yes" to 5a(1)–(5), did **any** of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance? See instructions.	5b		
c	Organizations relying on a current notice regarding disaster assistance check ▶ ☐			
d	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?	5d		
	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?	6a		No
b	Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?	6b		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?	7a		No
b	If "Yes", did the foundation receive any proceeds or have any net income attributable to the transaction?	7b		
8	Is the foundation subject to the section 4960 tax on payment(s) of more than $1,000,000 in remuneration or excess parachute payment during the year?	8		No

Part VII 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

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

Part VII 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
COHEN KLINGENSTEIN LLC 1410 BROADWAY STE 1701 NEW YORK, NY 10018	INV ADVISORY FEES	0

Total number of others receiving over $50,000 for professional services. . . . . ▶

Part VIII-A Summary of Direct Charitable Activities

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

Part VIII-B Summary of Program-Related Investments (see instructions)

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2.	Amount
1	
2	
All other program-related investments. See instructions. 3	
Total. Add lines 1 through 3 . . . . ▶	

Part IX 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	122,633,028
b	Average of monthly cash balances	1b	1,761,596
c	Fair market value of all other assets (see instructions)	1c	2,231,235
d	**Total** (add lines 1a, b, and c)	1d	126,625,859
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	0
3	Subtract line 2 from line 1d	3	126,625,859
4	Cash deemed held for charitable activities. Enter 1.5% (0.015) of line 3 (for greater amount, see instructions)	4	1,899,388
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3	5	124,726,471
6	**Minimum investment return.** Enter 5% (0.05) of line 5	6	6,236,324

Part X 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 IX, line 6			1	6,236,324
2a	Tax on investment income for 2021 from Part V, line 5	2a	13,860		
b	Income tax for 2021. (This does not include the tax from Part V.)	2b			
c	Add lines 2a and 2b			2c	13,860
3	Distributable amount before adjustments. Subtract line 2c from line 1			3	6,222,464
4	Recoveries of amounts treated as qualifying distributions			4	
5	Add lines 3 and 4			5	6,222,464
6	Deduction from distributable amount (see instructions)			6	
7	**Distributable amount** as adjusted. Subtract line 6 from line 5. Enter here and on Part XII, line 1			7	6,222,464

Part XI 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	4,363,439
b	Program-related investments—total from Part VIII-B	1b	0
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	3,346
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	0
b	Cash distribution test (attach the required schedule)	3b	0
4	**Qualifying distributions.** Add lines 1a through 3b. Enter here and on Part XII, line 4	4	4,366,785

Part XII **Undistributed Income** (see instructions)

		(a) Corpus	(b) Years prior to 2020	(c) 2020	(d) 2021
1 Distributable amount for 2021 from Part X, line 7					6,222,464
2 Undistributed income, if any, as of the end of 2021:					
a Enter amount for 2020 only.				4,069,874	
b Total for prior years: 2019 , 2018 , 2017					
3 Excess distributions carryover, if any, to 2021:					
a From 2016.					
b From 2017.					
c From 2018.					
d From 2019.					
e From 2020.	0				
f **Total** of lines 3a through e		0			
4 Qualifying distributions for 2021 from Part XI, line 4: ▶ $ 4,366,785					
a Applied to 2020, but not more than line 2a				4,069,874	
b Applied to undistributed income of prior years (Election required—see instructions).					
c Treated as distributions out of corpus (Election required—see instructions).					
d Applied to 2021 distributable amount.					296,911
e Remaining amount distributed out of corpus		0			
5 Excess distributions carryover applied to 2021. *(If an amount appears in column (d), the same amount must be shown in column (a).)*		0			0
6 **Enter the net total of each column as indicated below:**					
a Corpus. Add lines 3f, 4c, and 4e. Subtract line 5		0			
b Prior years' undistributed income. Subtract line 4b from line 2b					
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.					
d Subtract line 6c from line 6b. Taxable amount —see instructions					
e Undistributed income for 2019. Subtract line 4a from line 2a. Taxable amount—see instructions					
f Undistributed income for 2021. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2022					5,925,553
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions)					
8 Excess distributions carryover from 2016 not applied on line 5 or line 7 (see instructions) . . .					
9 **Excess distributions carryover to 2022.** Subtract lines 7 and 8 from line 6a		0			
10 Analysis of line 9:					
a Excess from 2017. . . .					
b Excess from 2018. . . .					
c Excess from 2019. . . .					
d Excess from 2020. . . .					
e Excess from 2021. . . .	0				

Part XIII Private Operating Foundations (see instructions and Part VI-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 2021, 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)

	Tax year	Prior 3 years			(e) Total
	(a) 2021	(b) 2020	(c) 2019	(d) 2018	
2a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part IX for each year listed					
b 85% (0.85) of line 2a					
c Qualifying distributions from Part XI, line 4 for each year listed					
d Amounts included in line 2c not used directly for active conduct of exempt activities					
e Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c					
3 Complete 3a, b, or c for the alternative test relied upon:					
a "Assets" alternative test—enter: **(1)** Value of all assets					
(2) Value of assets qualifying under section 4942(j)(3)(B)(i)					
b "Endowment" alternative test— enter 2/3 of minimum investment return shown in Part IX, line 6 for each year listed					
c "Support" alternative test—enter: **(1)** Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)					
(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii)					
(3) Largest amount of support from an exempt organization					
(4) Gross investment income					

Part XIV 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).)

ANDREW KLINGENSTEIN

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

NONE

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

Check here ▶ ☑ if the foundation only makes contributions to preselected charitable organizations and does not accept unsolicited requests for funds. If the foundation makes gifts, grants, etc. to individuals or organizations under other conditions, complete items 2a, b, c, and d. 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 XIV 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*				
SEE SCHEDULE ATTACHED c/o HOFFMAN MULLIGAN 61 Broadway Suite 1601 NEW YORK, NY 10006	NONE	PC	VARIOUS	3,139,614
Total . . . . ▶ **3a**				3,139,614
b *Approved for future payment*				
Total . . . . ▶ **3b**				

Part XV-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated.	Unrelated business income (a) Business code	Unrelated business income (b) Amount	Excluded by section 512, 513, or 514 (c) Exclusion code	Excluded by section 512, 513, or 514 (d) Amount	(e) Related or exempt function income (See instructions.)
1 Program service revenue:					
a					
b					
c					
d					
e					
f					
g Fees and contracts from government agencies					
2 Membership dues and assessments					
3 Interest on savings and temporary cash investments					
4 Dividends and interest from securities			14	1,196,695	
5 Net rental income or (loss) from real estate:					
a Debt-financed property					
b Not debt-financed property					
6 Net rental income or (loss) from personal property					
7 Other investment income					
8 Gain or (loss) from sales of assets other than inventory			18	-307,973	
9 Net income or (loss) from special events:					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue:					
a GAINS/LOSSES			18		
b INCOME FROM PASS-THROUGH			01	6,075	
c FEDERAL TAX REFUND			01		
d					
e					
12 Subtotal. Add columns (b), (d), and (e)				894,797	

13 **Total.** Add line 12, columns (b), (d), and (e) 13 894,797

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

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

Line No. ▼	Explain below how each activity for which income is reported in column (e) of Part XV-A contributed importantly to the accomplishment of the foundation's exempt purposes (other than by providing funds for such purposes). (See instructions.)

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

		Yes	No
1 Did the organization directly or indirectly engage in any of the following with any other organization described in section 501 (c) (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?			
a Transfers from the reporting foundation to a noncharitable exempt organization of:			
(1) Cash.	**1a(1)**		**No**
(2) Other assets.	**1a(2)**		**No**
b Other transactions:			
(1) Sales of assets to a noncharitable exempt organization.	**1b(1)**		**No**
(2) Purchases of assets from a noncharitable exempt organization.	**1b(2)**		**No**
(3) Rental of facilities, equipment, or other assets.	**1b(3)**		**No**
(4) Reimbursement arrangements.	**1b(4)**		**No**
(5) Loans or loan guarantees.	**1b(5)**		**No**
(6) Performance of services or membership or fundraising solicitations.	**1b(6)**		**No**
c Sharing of facilities, equipment, mailing lists, other assets, or paid employees.	**1c**		**No**

d If the answer to any of the above is "Yes," complete the following schedule. Column **(b)** should always show the fair market value of the goods, other assets, or services given by the reporting foundation. If the foundation received less than fair market value in any transaction or sharing arrangement, show in column **(d)** the value of the goods, other assets, or services received.

(a) Line No.	**(b)** Amount involved	**(c)** Name of noncharitable exempt organization	**(d)** Description of transfers, transactions, and sharing arrangements

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

Sign Here

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

******	2023-08-11	******	May the IRS discuss this return with the preparer shown below? See instructions. ☑ Yes ☐ No
Signature of officer or trustee	Date	Title	

Paid Preparer Use Only

Print/Type preparer's name	Preparer's Signature	Date	Check if self-employed ▶ ☐	PTIN
JANET MULLIGAN CPA				P00850378
Firm's name ▶ HOFFMAN MULLIGAN CPAS LLP				Firm's EIN ▶
Firm's address ▶ 61 BROADWAY - SUITE 1601 NEW YORK, NY 100062756				Phone no. (212) 583-1100

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

(a) Name and address	**(b)** Title, and average hours per week devoted to position	**(c)** Compensation **(If not paid, enter -0-)**	**(d)** Contributions to employee benefit plans and deferred compensation	**(e)** Expense account, other allowances
ANDREW KLINGENSTEIN C/O HOFFMAN MULLIGAN 61 Broadway Suite 1601 NEW YORK, NY 10006	TRUSTEE/CEO 15.0	0	0	0
PATRICIA KLINGENSTEIN C/O HOFFMAN MULLIGAN 61 Broadway Suite 1601 NEW YORK, NY 10006	TRUSTEE 0.5	0	0	0
THOMAS D KLINGENSTEIN C/O HOFFMAN MULLIGAN 61 Broadway Suite 1601 NEW YORK, NY 10006	TRUSTEE 0.5	0	0	0
NANCY K SIMPKINS C/O HOFFMAN MULLIGAN 61 Broadway Suite 1601 NEW YORK, NY 10006	TRUSTEE 0.5	0	0	0
SARAH K MARTELL C/O HOFFMAN MULLIGAN 61 Broadway Suite 1601 NEW YORK, NY 10006	SECRETARY/TRUSTEE 0.25	0	0	0
JULIE KLINGENSTEIN C/O HOFFMAN MULLIGAN 61 Broadway Suite 1601 NEW YORK, NY 10006	TRUSTEE 1.0	0	0	0
ALAN KLINGENSTEIN C/O HOFFMAN MULLIGAN 61 Broadway Suite 1601 NEW YORK, NY 10006	TRUSTEE 0.5	0	0	0
EMMA BROWNSTEIN C/O HOFFMAN MULLIGAN 61 Broadway Suite 1601 NEW YORK, NY 10006	TRUSTEE 0.5	0	0	0
TERESA KLINGENSTEIN C/O HOFFMAN MULLIGAN 61 Broadway Suite 1601 NEW YORK, NY 10006	TRUSTEE 0.5	0	0	0
ELIOT BRENNER C/O HOFFMAN MULLIGAN 61 BROADWAY SUITE 1601 NEW YORK, NY 10006	EXECUTIVE DIRECTOR/TRUSTEE 30.0	174,801	32,708	0

TY 2021 Accounting Fees Schedule

Name: THE ESTHER A & JOSEPH KLINGENSTEIN FUND INC

EIN: 13-6028788

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
ACCOUNTING FEES	16,748	8,374		8,374

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

TY 2021 Depreciation Schedule

Name: THE ESTHER A & JOSEPH KLINGENSTEIN FUND INC

EIN: 13-6028788

Depreciation Schedule

Description of Property	Date Acquired	Cost or Other Basis	Prior Years' Depreciation	Computation Method	Rate / Life (# of years)	Current Year's Depreciation Expense	Net Investment Income	Adjusted Net Income	Cost of Goods Sold Not Included
LEASEHOLD	2018-10-31	2,819	548	SL	15	188			
LEASEHOLD	2019-01-15	12,247	2,244	SL	15	816			
LEASEHOLD	2019-03-12	33,392	5,751	SL	15	2,226			
LEASEHOLD	2019-04-17	19,114	3,079	SL	15	1,274			
LEASEHOLD	2019-05-07	20,513	3,306	SL	15	1,368			
LEASEHOLD	2019-06-10	7,375	1,148	SL	15	492			
LEASEHOLD	2019-07-01	46,058	6,910	SL	15	3,071			
LEASEHOLD	2019-08-22	136,616	18,975	SL	15	9,108			
LEASEHOLD	2019-10-28	16,054	2,051	SL	15	1,070			
LEASEHOLD	2019-11-01	158,163	20,210	SL	15	10,544			
LEASEHOLD	2019-12-31	5,008	584	SL	15	334			
LEASEHOLD	2020-01-15	73,005	8,517	SL	15	4,867			
LEASEHOLD	2020-02-11	22,631	2,515	SL	15	1,509			
LEASEHOLD	2020-03-02	7,457	787	SL	15	497			
LEASEHOLD	2020-04-06	29,583	2,958	SL	15	1,972			
LEASEHOLD	2020-06-09	31,424	2,793	SL	15	2,095			
LEASEHOLD	2020-09-16	536	36	SL	15	36			
LEASEHOLD	2020-05-11	4,409	416	SL	15	294			
LEASEHOLD	2020-03-09	16,867	1,780	SL	15	1,124			
FURNITURE & EQUIP	2020-03-10	74,993	38,997	M5		14,399			

Depreciation Schedule

Description of Property	Date Acquired	Cost or Other Basis	Prior Years' Depreciation	Computation Method	Rate / Life (# of years)	Current Year's Depreciation Expense	Net Investment Income	Adjusted Net Income	Cost of Goods Sold Not Included
FURNITURE & EQUIP	2019-10-21	2,169	1,085	M5	3	723			
FURNITURE & EQUIP	2019-10-24	775	403	M5		149			
FURNITURE & EQUIP	2019-11-07	3,639	1,892	M5		699			
FURNITURE & EQUIP	2019-11-27	14,174	7,371	M5		2,721			
FURNITURE & EQUIP	2019-12-13	81,767	42,518	M5		15,699			
FURNITURE & EQUIP	2020-01-10	4,743	2,467	M5		911			
FURNITURE & EQUIP	2020-03-31	5,175	2,691	M5		994			
FURNITURE & EQUIP	2020-06-01	133,956	69,657	M5		25,720			
FURNITURE & EQUIP	2020-08-27	1,500	780	M5		288			
LEASEHOLD	2021-03-01	47,665	1,587	M15	15	3,179			
WEBSITE & BRANDING	2020-08-01	16,950	5,650	M3		2,510			
WEBSITE & BRANDING	2020-10-01	62,099	20,699	M3	3	20,698			
WEBSITE & BRANDING	2021-09-30	15,900	15,799	M3		101			
LEASEHOLD	2021-11-08	3,346		SLA	15	223			

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TY 2021 Gain/Loss from Sale of Other Assets Schedule

Name: THE ESTHER A & JOSEPH KLINGENSTEIN FUND INC

EIN: 13-6028788

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
PUBLICLY TRADED SECURITIES			2022-09		3,610,131	4,066,706			-456,575	
PUBLICLY TRADED SECURITIES					201,933	240,151			-38,218	

TY 2021 Investments Corporate Stock Schedule

Name: THE ESTHER A & JOSEPH KLINGENSTEIN FUND INC

EIN: 13-6028788

Investments Corporation Stock Schedule

Name of Stock	End of Year Book Value	End of Year Fair Market Value
VANGUARD TREASURY MONEY MARKET	0	0
SPDR S&P ETF	92,755,032	75,875,747
VANGUARD INDEX FUND	3,887,269	2,731,039
SML CAP GROWTH ETF	15,781,579	11,006,698
CLOSED END SBI/CBI ETF	11,732,320	8,245,804

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TY 2021 Investments - Other Schedule

Name: THE ESTHER A & JOSEPH KLINGENSTEIN FUND INC

EIN: 13-6028788

Investments Other Schedule 2

Category/ Item	Listed at Cost or FMV	Book Value	End of Year Fair Market Value
INVESTMENT IN PARTNERSHIPS		2,053,639	2,286,618

TY 2021 Land, Etc. Schedule

Name: THE ESTHER A & JOSEPH KLINGENSTEIN FUND INC

EIN: 13-6028788

Category / Item	Cost / Other Basis	Accumulated Depreciation	Book Value	End of Year Fair Market Value
LEASEHOLD	2,819	736	2,083	
LEASEHOLD	12,247	3,060	9,187	
LEASEHOLD	33,392	7,977	25,415	
LEASEHOLD	19,114	4,353	14,761	
LEASEHOLD	20,513	4,674	15,839	
LEASEHOLD	7,375	1,640	5,735	
LEASEHOLD	46,058	9,981	36,077	
LEASEHOLD	136,616	28,083	108,533	
LEASEHOLD	16,054	3,121	12,933	
LEASEHOLD	158,163	30,754	127,409	
LEASEHOLD	5,008	918	4,090	
LEASEHOLD	73,005	13,384	59,621	
LEASEHOLD	22,631	4,024	18,607	
LEASEHOLD	7,457	1,284	6,173	
LEASEHOLD	29,583	4,930	24,653	
LEASEHOLD	31,424	4,888	26,536	
LEASEHOLD	536	72	464	
LEASEHOLD	4,409	710	3,699	
LEASEHOLD	16,867	2,904	13,963	
FURNITURE & EQUIP	74,993	53,396	21,597	
FURNITURE & EQUIP	2,169	1,808	361	
FURNITURE & EQUIP	775	552	223	
FURNITURE & EQUIP	3,639	2,591	1,048	
FURNITURE & EQUIP	14,174	10,092	4,082	
FURNITURE & EQUIP	81,767	58,217	23,550	
FURNITURE & EQUIP	4,743	3,378	1,365	
FURNITURE & EQUIP	5,175	3,685	1,490	
FURNITURE & EQUIP	133,956	95,377	38,579	
FURNITURE & EQUIP	1,500	1,068	432	
LEASEHOLD	47,665	4,766	42,899	

Category / Item	Cost / Other Basis	Accumulated Depreciation	Book Value	End of Year Fair Market Value
WEBSITE & BRANDING	16,950	8,160	8,790	
WEBSITE & BRANDING	62,099	41,397	20,702	
WEBSITE & BRANDING	15,900	15,900		
LEASEHOLD	3,346	223	3,123	

TY 2021 Legal Fees Schedule

Name: THE ESTHER A & JOSEPH KLINGENSTEIN FUND INC

EIN: 13-6028788

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
MORGAN, LEWIS & BOCKIUS	5,216			5,216

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TY 2021 Other Assets Schedule

Name: THE ESTHER A & JOSEPH KLINGENSTEIN FUND INC

EIN: 13-6028788

Other Assets Schedule

Description	Beginning of Year - Book Value	End of Year - Book Value	End of Year - Fair Market Value
CONFERENCE DEPOSIT	10,000	6,975	6,975
SECURITY DEPOSITY	118,188	118,188	118,188

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TY 2021 Other Decreases Schedule

Name: THE ESTHER A & JOSEPH KLINGENSTEIN FUND INC

EIN: 13-6028788

Description	Amount
SIMONS FOUNDATION	1,300,000

TY 2021 Other Expenses Schedule

Name: THE ESTHER A & JOSEPH KLINGENSTEIN FUND INC

EIN: 13-6028788

Other Expenses Schedule

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
PAYROLL FEES	10,344			10,344
PAYROLL COMPENSATION INSURANCE	5,165			5,165
IT SERVICES	21,010			21,010
RENT - 80 8TH AVENUE, NY, NY	403,369			403,369
RENT - DC	7,797			7,797
OFFICE EXPENSES	75,350			75,350
INSURANCE	3,471			3,471
STATE FEELING FEES	1,500			1,500
PRESIDENT'S DISCRETIONARY FUND	4,738			4,738
OTHER COSTS	1,115			1,115

Other Expenses Schedule

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
THRU PARTNERSHIPS	35,047	35,047		35,047
NEUROSCIENCE EVALUATION	20,549			20,549

TY 2021 Other Income Schedule

Name: THE ESTHER A & JOSEPH KLINGENSTEIN FUND INC

EIN: 13-6028788

Other Income Schedule

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
ORDINARY INCOME/LOSS THRU PARTNERSHIPS	6,075	6,075	

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TY 2021 Other Professional Fees Schedule

Name: THE ESTHER A & JOSEPH KLINGENSTEIN FUND INC

EIN: 13-6028788

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
CONSULTING FEES	15,663			15,663
MONEY MANAGEMENT FEES	161,930	161,930		
NEUROSCIENCE CHAIR	19,500			19,500
NEUROSCIENCE HONORIUM	36,500			36,500
HONORIUM	6,000			6,000

TY 2021 Taxes Schedule

Name: THE ESTHER A & JOSEPH KLINGENSTEIN FUND INC

EIN: 13-6028788

Taxes Schedule

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
PAYROLL TAXES	17,999			17,999
FEDERAL TAX	1,580,000			
FOREIGN TAX	312	312		

Schedule B
(Form 990)
Department of the Treasury
Internal Revenue Service

Schedule of Contributors

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

OMB No. 1545-0047

2021

Name of the organization	Employer identification number
THE ESTHER A & JOSEPH KLINGENSTEIN FUND INC	13-6028788

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 other 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 990PF, Part I, line 2, to certify that it doesn't meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF).

Name of organization	Employer identification number
THE ESTHER A & JOSEPH KLINGENSTEIN FUND INC	13-6028788

Part I Contributors

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	SIMONS FOUNDATION 160 FIFTH AVENUE 7TH FLOOR NEW YORK, NY 10010	$ 1,300,000	☑ Person ☐ Payroll ☐ Noncash (Complete Part II for noncash contributions.)
-		$	☐ Person ☐ Payroll ☐ Noncash (Complete Part II for noncash contributions.)
-		$	☐ Person ☐ Payroll ☐ Noncash (Complete Part II for noncash contributions.)
-		$	☐ Person ☐ Payroll ☐ Noncash (Complete Part II for noncash contributions.)
-		$	☐ Person ☐ Payroll ☐ Noncash (Complete Part II for noncash contributions.)
-		$	☐ Person ☐ Payroll ☐ Noncash (Complete Part II for noncash contributions.)

Name of organization	Employer identification number
THE ESTHER A & JOSEPH KLINGENSTEIN FUND INC	13-6028788

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
-		$	

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

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

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

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

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

Name of organization
THE ESTHER A & JOSEPH KLINGENSTEIN FUND INC

Employer identification number
13-6028788

Part III ***Exclusively*** **religious, charitable, etc., contributions to organizations described in section 501(c)(7), (8), or (10) that total more than $1,000 for the year from any one contributor. Complete columns (a) through (e) and the following line entry. For organizations completing Part III, enter the total of *exclusively* religious, charitable, etc., contributions of $1,000 or less for the year. (Enter this information once. See instructions.) ▶ $**

Use duplicate copies of Part III if additional space is needed.

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held

(e) Transfer of gift

Transferee's name, address, and ZIP 4	Relationship of transferor to transferee

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held

(e) Transfer of gift

Transferee's name, address, and ZIP 4	Relationship of transferor to transferee

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held

(e) Transfer of gift

Transferee's name, address, and ZIP 4	Relationship of transferor to transferee

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held

(e) Transfer of gift

Transferee's name, address, and ZIP 4	Relationship of transferor to transferee

THE ESTHER A. & JOSEPH KLINGENSTEIN FUND, INC GRANTS & RELATED FISCAL YEAR END 09.30.2022

Grants & Related

	Payee	Address	
Neuroscience Awards			
10/05/2021	Gordon Research Conferences	512 Liberty Ln, West Kingston, Rhode Island, 02892	5,000.00
06/14/2022	The Scripps Research Institute	10550 N Torrey Pines Rd, La Jolla, CA 92037	75,000.00
06/15/2022	Trustees of Dartmouth College	6001 Parkhurst Hall, Suite 207, Hanover, NH 03755	75,000.00
06/15/2022	University of California Berkeley	University Avenue and, Oxford St, Berkeley, CA 94720	75,000.00
06/16/2022	UT Southwestern Medical Center	5323 Harry Hines Blvd, Dallas, TX 75390	75,000.00
06/16/2022	Trustees of Boston University	1 Sillber Way, Boston, MA 02215	75,000.00
06/17/2022	Cornell University	616 Thurston Ave. Ithaca, NY 14853	75,000.00
06/17/2022	University of Kansas Medical Center Research Institute, Inc	4330 Shawnee Mission Pkwy, Fairway, KS 66205	75,000.00
06/28/2022	The Research Foundation for SUNY	80 Maiden Ln, New York, NY 10038	75,000.00
06/28/2022	Fred Hutchinson Cancer Research Center	1100 Fairview Ave N, Seattle, WA 98109	75,000.00
06/28/2022	Monell Chemical Senses Center	3500 Market Street, Philadelphia, PA 19104	75,000.00
06/28/2022	The Regents of the University of California San Francisco	111 Franklin Street 12th Floor, Oakland, CA 94607	75,000.00
06/29/2022	Max Planck Florida Corporation	1 Max Planck Way I Jupiter, Florida 33458	75,000.00
06/29/2022	Yale University-Grants and Contracts Fin Admin	New Haven, CT 06529	75,000.00
06/30/2022	University of Massachusetts Med School Depository	55 Lake Avenue North, Worcester, MA 01655	75,000.00
07/01/2022	Regents of the University of California, Santa Barbara	111 Franklin Street 12th Floor, Oakland, CA 94607	75,000.00
07/01/2022	University of Maryland, Baltimore	620 W Lexington St, Baltimore, MD 21201	75,000.00
07/06/2022	Regents of the University of California, San Diego	111 Franklin Street 12th Floor, Oakland, CA 94607	75,000.00
07/06/2022	The J. David Gladstone Institutes	1650 Owens St, San Francisco, CA 94158	75,000.00
07/07/2022	Trustees of the University of Pennsylvania	PA Hospital Womans Bldg, 801 Spruce St, Philadelphia, PA 19107	75,000.00
07/07/2022	University of Pittsburgh	4200 Fifth Ave, Pittsburgh, PA 15260	75,000.00
07/08/2022	Cold Spring Harbor Laboratory	1 Bungtownn Rd, Cold Spring Harbor, NY 11724	75,000.00
07/08/2022	The Johns Hopkins University	Baltimore, MD 21218	75,000.00
07/08/2022	The Regents of the University of California San Francisco	111 Franklin Street 12th Floor, Oakland, CA 94607	75,000.00
07/08/2022	Yale University-Grants and Contracts Fin Admin	New Haven, CT 06529	75,000.00
07/08/2022	University of Utah Grants & Contracts	201 S. Presidents Circle, Room 406, Salt Lake City, UT 84112	75,000.00
07/08/2022	Washington University	1 Brookings Dr, St. Louis, MO 63130	75,000.00
07/08/2022	President & Fellows of Harvard College	1033 Mass Ave, Floor 2. Cambridge, MA 02138	75,000.00
07/08/2022	Trustees of Princeton University	1 Nassai Hall, Princepton, NJ 08544	75,000.00
07/15/2022	Regents of the University of California (UCLA)	111 Franklin Street 12th Floor, Oakland, CA 94607	75,000.00
07/18/2022	Trustees of Columbia University in City of NY	535 W 116th St. New York, NY 10027	75,000.00
07/26/2022	Trustees of Columbia University in City of NY	535 W 116th St. New York, NY 10027	75,000.00

THE ESTHER A. & JOSEPH KLINGENSTEIN FUND, INC GRANTS & RELATED FISCAL YEAR END 09.30.2022

Grants & Related

	Payee	Address	
08/03/2022	Regents of the University of California (UCLA)	111 Franklin Street 12th Floor, Oakland, CA 94607	75,000.00
08/12/2022	Regents of the University of California (UCLA)	111 Franklin Street 12th Floor, Oakland, CA 94607	75,000.00
08/17/2022	The Regents of the University of Michigan- return of unused funds	1109 Geddes Ave, Suite 3300. Ann Arbor, MI 48109-1079	-4,025.02
09/07/2022	New York University	New York, NY 10003	75,000.00
Total for Neuroscience Awards			**$ 2,550,974.98**
EC-Programs			
01/25/2022	Yale University (SPFA)	New Haven, CT 06529	230,000.00
05/26/2022	All Our Kin	153 East St, Floor. New Haven, CT 06511	50,000.00
06/06/2022	Stanford University	450 Jane Stanford Way Stanford, CA 94305–2004	100,000.00
06/23/2022	Icahn School of Mount Sinai	1 Gustave L. Levy Place New York, NY 10029	100,000.00
09/14/2022	Yale University (SPFA)	New Haven, CT 06529	50,000.00
09/27/2022	Family Connects International	3710 University Dr, Suite 310, Durham, NC 27707	50,000.00
Total for EC-Programs			**$ 580,000.00**
EC-Policy/Advocacy			
11/15/2021	Yale Child Study Center	230 S Frontage Rd, New Haven, CT 06519	154,000.00
05/12/2022	The Niskanen Center Inc	820 First Street, NE, Suite 675 Washington, D.C. 20002	100,000.00
06/07/2022	The University of Texas at Austin, Office of Accounting	MAI 132 p.o Box 7159. Austin, TX 78713	4,318.69
06/14/2022	Health Federation of Philadelphia	123 S Broad Street. #650, Philadelphia, PA 19109	100,000.00
08/12/2022	Bipartisan Policy Center	1225 I St NW #1000, Washington, DC 20005	100,000.00
09/07/2022	Vanderbilt University	2201 West End Ave, Nashville, TN 37235	150,000.00
09/19/2022	President and Fellows of Harvard College	1563 Massachusetts Ave Cambridge, MA 02138	100,000.00
Total for EC-Policy/Advocacy			**$ 708,318.69**
EC-Funding Models			
10/28/2021	Zero To Three	2445 M Street NW, Suite 600, Washington, DC 20037	87,500.00
04/07/2022	Zero To Three	2445 M Street NW, Suite 600, Washington, DC 20037	87,500.00
09/13/2022	Zero To Three	2445 M Street NW, Suite 600, Washington, DC 20037	100,000.00
09/26/2022	Health Federation of Philadelphia	123 S Broad Street. #650, Philadelphia, PA 19109	150,000.00
Total for EC-Funding Models			**$ 425,000.00**
EC-Funder Collaboratives			
11/19/2021	United Way of Southern Maine	550 Forest Ave Suite 100, Portland, ME 04101	3,000.00
12/07/2021	TSNE MissionWorks	89 South Street, Suite 700. Boston, MA 02111	7,500.00
02/11/2022	CT Council for Philanthropy	75 Carter Oak, Avenue, Suite 1-205, Hartford, CT 06106	7,500.00
08/23/2022	Health Federation of Philadelphia	123 S Broad Street. #650, Philadelphia, PA 19109	50,000.00
Total for EC-Funder Collaboratives			**$ 68,000.00**

THE ESTHER A. & JOSEPH KLINGENSTEIN FUND, INC GRANTS & RELATED FISCAL YEAR END 09.30.2022

Grants & Related

	Payee	Address	
Independent School Education			
04/27/2022	De La Salle Academy	332 W 43rd St, New York, NY 10036	25,000.00
06/14/2022	National Association of Independent Schools	1129 20th Street NW, Suite 800, Washington, DC 20036-3425	37,500.00
Total for Independent School Education			**$ 62,500.00**
Other			
10/05/2021	Philanthropy Roundtable	1120 20th St NW, Suite 550 South, Washington, DC 20036	1,000.00
10/05/2021	Candid	32 Old Slip, 24th FL, New York, NY 10005	4,000.00
11/02/2021	Exponent Philanthropy	1720 N St NW, Washington, DC 20036	1,820.00
11/17/2021	Philanthropy New York	320 East 43rd St, New York, NY 10017	8,000.00
08/31/2022	Seattle Children’s Hospital Foundation	4800 Sand Point Way NE, Seatle, WA 98105	30,000.00
Total for Other			**$ 44,820.00**
Total for Grants & Related			**$ 4,439,613.67**
Less: Simon's Foundation Contribution			-1,300,000.00
Grant Total			**$ 3,139,613.67**