

Form **990-PF**

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

OMB No 1545-0052

**2018**

Department of the Treasury  
Internal Revenue Service

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

Open to Public Inspection

For calendar year 2018 or tax year beginning , and ending

Name of foundation <b>RIP VAN WINKLE FOUNDATION DBA THE LOU GEHRIG SOCIETY</b>		A Employer identification number <b>14-1365186</b>
Number and street (or P O box number if mail is not delivered to street address) <b>P.O. BOX 455</b>	Room/suite	B Telephone number (see instructions) <b>518-325-4443</b>
City or town, state or province, country, and ZIP or foreign postal code <b>HILLSDALE NY 12529</b>		C If exemption application is pending, check here <input type="checkbox"/>
G Check all that apply: <input type="checkbox"/> Initial return <input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Final return <input type="checkbox"/> Amended return <input type="checkbox"/> Address change <input type="checkbox"/> Name change		D 1. Foreign organizations, check here <input type="checkbox"/> 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) ▶ \$ <b>1,015,898</b>	J Accounting method <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify)	F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>
(Part I, 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)	380			
	2 Check <input checked="" type="checkbox"/> if the foundation is not required to attach Sch D				
	3 Interest on savings and temporary cash investments	359	359		
	4 Dividends and interest from securities	28,754	28,754		
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	6,468			
	b Gross sales price for all assets on line 6a	1,376,681			
	7 Capital gain net income (from Part IV, line 2)		6,468		
	8 Net short-term capital gain			0	
	9 Income modifications				
	10a Gross sales less returns and allowances				
h Less Cost of goods sold					
c Gross profit or (loss) (attach schedule)					
11 Other income (attach schedule) <b>STMT 1</b>	64,928	64,928			
12 Total. Add lines 1 through 11	100,889	100,509	0		
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc	23,881	11,941		11,941
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees (attach schedule) <b>SEE STMT 2</b>	8,884	8,884		
	b Accounting fees (attach schedule) <b>STMT 3</b>	2,215	1,108		1,108
	c Other professional fees (attach schedule)				
	17 Interest				
	18 Taxes (attach schedule) (see instructions) <b>STMT 4</b>	5,424	1,377		
	19 Depreciation (attach schedule) and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings	727	364		363
	22 Printing and publications				
	23 Other expenses (all sch) <b>STMT 5 STMT 6</b>	22,900	3,734		1,931
	24 Total operating and administrative expenses. Add lines 13 through 23	64,031	27,407	0	15,343
	25 Contributions, gifts, grants paid	20,000			20,000
26 Total expenses and disbursements. Add lines 24 and 25	84,031	27,407	0	35,343	
27 Subtract line 26 from line 12	16,858				
a Excess of revenue over expenses and disbursements					
b Net investment income (if negative, enter -0-)		73,102			
c Adjusted net income (if negative, enter -0-)			0		

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**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
<b>Assets</b>				
1 Cash – non-interest-bearing				
2 Savings and temporary cash investments	79,617	118,073	118,073	
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 ▶	0			
8 Inventories for sale or use				
9 Prepaid expenses and deferred charges				
10a Investments – U.S. and state government obligations (attach schedule) <b>STMT 7</b>		98,978	98,978	
b Investments – corporate stock (attach schedule) <b>SEE STMT 8</b>	970,121	693,251	693,251	
c Investments – corporate bonds (attach schedule)				
11 Investments in land, buildings, and equipment basis ▶ Less accumulated depreciation (attach sch) ▶ <b>STMT 9</b>	2,072	2,072	2,072	
12 Investments – mortgage loans				
13 Investments – other (attach schedule) <b>SEE STATEMENT 10</b>		47,993	47,993	
14 Land, buildings, and equipment basis ▶ Less accumulated depreciation (attach sch) ▶ <b>STMT 11</b>	258,529 221,615	54,149	36,914	45,531
15 Other assets (describe ▶ <b>SEE STATEMENT 12</b> )	10,000	10,000	10,000	
16 <b>Total assets</b> (to be completed by all filers – see the instructions Also, see page 1, item I)	1,115,959	1,007,281	1,015,898	
<b>Liabilities</b>				
17 Accounts payable and accrued expenses				
18 Grants payable				
19 Deferred revenue				
20 Loans from officers, directors, trustees, and other disqualified persons				
21 Mortgages and other notes payable (attach schedule)				
22 Other liabilities (describe ▶ )				
23 <b>Total liabilities</b> (add lines 17 through 22)	0	0		
<b>Net Assets or Fund Balances</b>				
Foundations that follow SFAS 117, check here and complete lines 24 through 26, and lines 30 and 31. ▶ <input checked="" type="checkbox"/>				
24 Unrestricted	1,115,959	1,007,281		
25 Temporarily restricted				
26 Permanently restricted				
Foundations that do not follow SFAS 117, check here and complete lines 27 through 31. ▶ <input type="checkbox"/>				
27 Capital stock, trust principal, or current funds				
28 Paid-in or capital surplus, or land, bldg, and equipment fund				
29 Retained earnings, accumulated income, endowment, or other funds				
30 <b>Total net assets or fund balances</b> (see instructions)	1,115,959	1,007,281		
31 <b>Total liabilities and net assets/fund balances</b> (see instructions)	1,115,959	1,007,281		

**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 30 (must agree with end-of-year figure reported on prior year's return)	1	1,115,959
2 Enter amount from Part I, line 27a	2	16,858
3 Other increases not included in line 2 (itemize) ▶	3	
4 Add lines 1, 2, and 3	4	1,132,817
5 Decreases not included in line 2 (itemize) ▶ <b>SEE STATEMENT 13</b>	5	125,536
6 Total net assets or fund balances at end of year (line 4 minus line 5) – Part II, column (b), line 30	6	1,007,281

DAA

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

(a) List and describe the kind(s) of property sold (for example, real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co )	(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo , day, yr )	(d) Date sold (mo , day, yr )
<b>1a SEE WORKSHEET</b>			
<b>b</b>			
<b>c</b>			
<b>d</b>			
<b>e</b>			

(a) 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

(i) FMV as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
<b>a</b>			
<b>b</b>			
<b>c</b>			
<b>d</b>			
<b>e</b>			

<b>2</b> 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 ]	<b>2</b>	<b>6,468</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		<b>3</b>	<b>3,084</b>

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

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

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

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period?  Yes  No

If "Yes," the foundation doesn't qualify under section 4940(e) Do not complete this part

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2017	40,963	1,049,504	0.039031
2016	65,693	984,413	0.066733
2015	42,106	973,488	0.043253
2014	60,870	1,115,487	0.054568
2013	15,064	1,033,786	0.014572

<b>2</b> Total of line 1, column (d)	<b>2</b>	<b>0.218157</b>
<b>3</b> Average distribution ratio for the 5-year base period - divide the total on line 2 by 5.0, or by the number of years the foundation has been in existence if less than 5 years	<b>3</b>	<b>0.043631</b>
<b>4</b> Enter the net value of noncharitable-use assets for 2018 from Part X, line 5	<b>4</b>	<b>1,090,352</b>
<b>5</b> Multiply line 4 by line 3	<b>5</b>	<b>47,573</b>
<b>6</b> Enter 1% of net investment income (1% of Part I, line 27b)	<b>6</b>	<b>731</b>
<b>7</b> Add lines 5 and 6	<b>7</b>	<b>48,304</b>
<b>8</b> Enter qualifying distributions from Part XII, line 4 If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate See the Part VI instructions	<b>8</b>	<b>35,343</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>	Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input type="checkbox"/> and enter 1% of Part I, line 27b	1	1,462
<b>c</b>	All other domestic foundations enter 2% 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-)	2	0
<b>3</b>	Add lines 1 and 2	3	1,462
<b>4</b>	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only, others, enter -0-)	4	0
<b>5</b>	Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-	5	1,462
<b>6</b>	Credits/Payments		
<b>a</b>	2018 estimated tax payments and 2017 overpayment credited to 2018	6a	800
<b>b</b>	Exempt foreign organizations - tax withheld at source	6b	
<b>c</b>	Tax paid with application for extension of time to file (Form 8868)	6c	
<b>d</b>	Backup withholding erroneously withheld	6d	
<b>7</b>	Total credits and payments. Add lines 6a through 6d	7	800
<b>8</b>	Enter any penalty for underpayment of estimated tax. Check here <input type="checkbox"/> if Form 2220 is attached	8	
<b>9</b>	Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9	662
<b>10</b>	Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	
<b>11</b>	Enter the amount of line 10 to be Credited to 2019 estimated tax <input type="checkbox"/> Refunded <input type="checkbox"/>	11	

**Part VII-A** Statements Regarding Activities

	Yes	No
<b>1a</b>		X
<b>1b</b>		X
<b>1c</b>		
<b>2</b>		X
<b>3</b>		X
<b>4a</b>		X
<b>4b</b>		
<b>5</b>		X
<b>6</b>		X
<b>7</b>	X	
<b>8a</b>		
<b>8b</b>	X	
<b>9</b>		X
<b>10</b>		X

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

	Yes	No
11 At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule See instructions		<input checked="" type="checkbox"/>
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		<input checked="" type="checkbox"/>
13 Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► <b>THELOUGEHRIGSOCIETY.ORG</b>	<input checked="" type="checkbox"/>	
14 The books are in care of ► <b>JULIA BRANDI</b> Telephone no ► <b>518-325-4443</b> <b>P.O. BOX 455</b>		
Located at ► <b>HILLSDALE</b> NY ZIP+4 ► <b>12529</b>		
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		<input type="checkbox"/>
16 At any time during calendar year 2018, 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 ►	<input type="checkbox"/>	<input checked="" type="checkbox"/>

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

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

	Yes	No
1a During the year, did the foundation (either directly or indirectly)		
(1) Engage in the sale or exchange, or leasing of property with a disqualified person?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.)	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
b If any answer is "Yes" to 1a(1)–(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance? See instructions Organizations relying on a current notice regarding disaster assistance, check here		N/A
c Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2018?		N/A
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 2018, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2018? If "Yes," list the years ► 20 , 20 , 20 , 20	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
b Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement – see instructions )		N/A
c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. ► 20 , 20 , 20 , 20		
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
b If "Yes," did it have excess business holdings in 2018 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 2018 )		N/A
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?		<input checked="" type="checkbox"/>
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 2018?		<input checked="" type="checkbox"/>

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

<b>5a</b> During the year did the foundation pay or incur any amount to:			Yes	No
(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No		
(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No		
(3) Provide a grant to an individual for travel, study, or other similar purposes?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No		
(4) Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? See instructions	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No		
(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No		
<b>b</b> If any answer is "Yes" to 5a(1)–(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance? See instructions Organizations relying on a current notice regarding disaster assistance, check here	N/A		<b>5b</b>	
<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)	N/A			
<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>X</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?	N/A		<b>7b</b>	
<b>8</b> Is the foundation subject to the section 4960 tax on payment(s) of more than \$1,000,000 in remuneration or excess parachute payment(s) during the year?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No		

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

**1** List all officers, directors, trustees, and foundation managers and their compensation. 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
JULIA BRANDI P.O. BOX 455 HILLSDALE NY 12529	EXEC VP/TREA 12.00	23,881	0	0
R. RODNEY HOWELL, MD P.O. BOX 455 HILLSDALE NY 12529	PRESIDENT 1.50	0	0	0
CALDWELL B. ESSELSTYN P.O. BOX 455 HILLSDALE NY 12529	CHAIRMAN/CEO 1.50	0	0	0
JOHN E. HOWELL P.O. BOX 455 HILLSDALE NY 12529	DIRECTOR 1.50	0	0	0

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

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

Total number of other employees paid over \$50,000 0

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

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

(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
NONE		

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

**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 TO EDUCATE AND STIMULATE CONSTRUCTIVE CHANGE AND IMPROVEMENTS TO BENEFIT THE HEALTH OF THE GENERAL PUBLIC.</b>	<b>35,343</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 N/A</b>	
<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.)

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	927,561
b	Average of monthly cash balances	1b	121,791
c	Fair market value of all other assets (see instructions)	1c	57,604
d	Total (add lines 1a, b, and c)	1d	1,106,956
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	0
2	Acquisition indebtedness applicable to line 1 assets	2	0
3	Subtract line 2 from line 1d	3	1,106,956
4	Cash deemed held for charitable activities. Enter 1½% of line 3 (for greater amount, see instructions)	4	16,604
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	1,090,352
6	Minimum investment return. Enter 5% of line 5	6	54,518

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

1	Minimum investment return from Part X, line 6	1	54,518
2a	Tax on investment income for 2018 from Part VI, line 5	2a	1,462
b	Income tax for 2018 (This does not include the tax from Part VI)	2b	
c	Add lines 2a and 2b	2c	1,462
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	53,056
4	Recoveries of amounts treated as qualifying distributions	4	
5	Add lines 3 and 4	5	53,056
6	Deduction from distributable amount (see instructions)	6	
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	53,056

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

1	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes		
a	Expenses, contributions, gifts, etc. – total from Part I, column (d), line 26	1a	35,343
b	Program-related investments – total from Part IX-B	1b	
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	35,343
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b. See instructions	5	0
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	35,343

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 2017	(c) 2017	(d) 2018
<b>1</b> Distributable amount for 2018 from Part XI, line 7				<b>53,056</b>
<b>2</b> Undistributed income, if any, as of the end of 2018				
<b>a</b> Enter amount for 2017 only			<b>19,149</b>	
<b>b</b> Total for prior years: 20____, 20____, 20____				
<b>3</b> Excess distributions carryover, if any, to 2018				
<b>a</b> From 2013				
<b>b</b> From 2014				
<b>c</b> From 2015				
<b>d</b> From 2016				
<b>e</b> From 2017				
<b>f</b> Total of lines 3a through e				
<b>4</b> Qualifying distributions for 2018 from Part XII, line 4 ▶ \$ <b>35,343</b>				
<b>a</b> Applied to 2017, but not more than line 2a			<b>19,149</b>	
<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 2018 distributable amount				<b>16,194</b>
<b>e</b> Remaining amount distributed out of corpus				
<b>5</b> Excess distributions carryover applied to 2018 (If an amount appears in column (d), the same amount must be shown in column (a) )				
<b>6</b> Enter the net total of each column as indicated below:				
<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 2017 Subtract line 4a from line 2a Taxable amount – see instructions				
<b>f</b> Undistributed income for 2018 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2019				<b>36,862</b>
<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 2013 not applied on line 5 or line 7 (see instructions)				
<b>9</b> Excess distributions carryover to 2019. Subtract lines 7 and 8 from line 6a				
<b>10</b> Analysis of line 9				
<b>a</b> Excess from 2014				
<b>b</b> Excess from 2015				
<b>c</b> Excess from 2016				
<b>d</b> Excess from 2017				
<b>e</b> Excess from 2018				

**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 2018, enter the date of the ruling

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

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				(e) Total
	(a) 2018	(b) 2017	Prior 3 years		
			(c) 2016	(d) 2015	
b 85% of line 2a					
c Qualifying distributions from Part XII, line 4 for each year listed					
d Amounts included in line 2c not used directly for active conduct of exempt activities					
e Qualifying distributions made directly for active conduct of exempt activities Subtract line 2d from line 2c					
3 Complete 3a, b, or c for the alternative test relied upon					
a "Assets" alternative test – enter					
(1) Value of all assets					
(2) Value of assets qualifying under section 4942(j)(3)(B)(i)					
b "Endowment" alternative test – enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed					
c "Support" alternative test – enter.					
(1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)					
(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii)					
(3) Largest amount of support from an exempt organization					
(4) Gross investment income					

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

**1 Information Regarding Foundation Managers:**

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

**NONE**

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

**NONE**

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

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

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

**THE RIP VAN WINKLE FOUNDATION 518-325-4443  
P.O. BOX 455 HILLSDALE NY 12529**

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

**SEE STATEMENT 14**

c Any submission deadlines

**LETTER OF INTENT BY APRIL 1, PROPOSAL BY JULY 1.**

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

**SEE STATEMENT 15**

**Part XV** Supplementary Information (continued)

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a Paid during the year <b>THE MENTOR FOUNDATION INC.</b> <b>2900K STREET</b> <b>WASHINGTON DC 20007</b>		NC <b>MENTORING IN SCHOOLS PROGRAM</b>	<b>MENTORING IN SCHOOLS PROGRAM</b>	<b>15,000</b>
<b>SEAN PATRICK FRENCH MEMORIAL RUN</b> <b>P.O. BOX 38195</b> <b>ALBANY NY 12203</b>		NC <b>COMBAT UNDERAGE DRINKING</b>	<b>COMBAT UNDERAGE DRINKING</b>	<b>5,000</b>
<b>Total</b>				<b>20,000</b>
b Approved for future payment <b>N/A</b>				
<b>Total</b>				<b>3b</b>





## Capital Gains and Losses for Tax on Investment Income

Form **990-PF****2018**

For calendar year 2018, or tax year beginning

, and ending

Name

**RIP VAN WINKLE FOUNDATION  
DBA THE LOU GEHRIG SOCIETY**

Employer Identification Number

**14-1365186**

(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.)

(a)	(b)	(c)	(d)
(1) ABB LTD SPONS ADR 2000 SHS	P	03/24/17	01/19/18
(2) ABB LTD SPONS ADR 500 SHS	P	03/07/18	09/18/18
(3) ABB LTD SPONS ADR 2500 SHS	P	03/07/18	10/10/18
(4) BANCO SANTANDER CENT 10000 SHS	P	04/20/17	02/07/18
(5) BANCO SANTANDER CENT 10000 SHS	P	03/07/18	12/27/18
(6) CVS HEALTH CORP 1000 SHS	P	06/28/18	10/04/18
(7) FREEPORT-MCMORAN INC. 2500 SHS	P	05/23/17	01/26/18
(8) GENERAL ELECTRIC CO 2500 SHS	P	11/16/17	07/11/18
(9) GENERAL ELECTRIC CO 2500 SHS	P	12/27/17	08/06/18
(10) GLOBAL X FDS 5000 SHS	P	03/12/18	09/07/18
(11) HESS CORP 1000 SHS	P	09/27/17	05/18/18
(12) PARKER DRILLING CO .6667 SHS	P	07/27/18	07/27/18
(13) SANOFI ADR 2000 SHS	P	01/19/18	06/28/18
(14) TAPESTRY INC. 2000 SHS	P	08/17/17	02/09/18
(15) VIRTU FINANCIAL INC 2500 SHS	P	05/12/17	02/08/18

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
(1) 55,658		47,054	8,604
(2) 11,930		12,090	-160
(3) 53,998		60,448	-6,450
(4) 69,391		61,257	8,134
(5) 43,392		68,407	-25,015
(6) 78,887		66,193	12,694
(7) 48,551		30,006	18,545
(8) 34,903		45,799	-10,896
(9) 32,543		44,020	-11,477
(10) 154,191		179,868	-25,677
(11) 64,298		46,379	17,919
(12) 3			3
(13) 78,679		90,047	-11,368
(14) 95,292		83,577	11,715
(15) 62,854		38,978	23,876

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69

(i) FMV as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	(l) Gains (Col (h) gain minus col (k), but not less than -0-) OR Losses (from col (h))
(1)			8,604
(2)			-160
(3)			-6,450
(4)			8,134
(5)			-25,015
(6)			12,694
(7)			18,545
(8)			-10,896
(9)			-11,477
(10)			-25,677
(11)			17,919
(12)			3
(13)			-11,368
(14)			11,715
(15)			23,876

## Capital Gains and Losses for Tax on Investment Income

Form **990-PF****2018**

For calendar year 2018, or tax year beginning

, and ending

Name

**RIP VAN WINKLE FOUNDATION  
DBA THE LOU GEHRIG SOCIETY**

Employer Identification Number

**14-1365186**

(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.)

(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.)
(1) VIRTU FINANCIAL INC. 2000 SHS	P	08/06/18	11/12/18
(2) VIRTU FINANCIAL INC. 3000 SHS	P	09/07/18	11/12/18
(3) DAIMLER AG 1500 SHS	P	09/18/18	12/27/18
(4) PARKER DRILLING CO 333 SHS	P	10/10/07	12/27/18
(5) ABB LTD SPONS ADR 2000 SHS	P	03/24/17	09/18/18
(6) AT&T INC. 2000 SHS	P	02/11/14	02/28/18
(7) MERCK & CO INC 1000 SHS	P	06/13/12	01/19/18
(8) MICROSOFT CORP 1000 SHS	P	05/18/17	09/21/18
(9) PARKER DRILLING CO 333 SHS	P	05/06/11	12/27/18
(10)			
(11)			
(12)			
(13)			
(14)			
(15)			

(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)

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
(1) 48,123		40,787	7,336
(2) 72,185		65,493	6,692
(3) 77,054		98,445	-21,391
(4) 111		40,507	-40,396
(5) 47,721		47,053	668
(6) 72,777		65,776	7,001
(7) 60,577		38,896	21,681
(8) 113,452		68,244	45,208
(9) 111		30,889	-30,778
(10)			
(11)			
(12)			
(13)			
(14)			
(15)			

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69

(i) FMV as of 12/31/69

(j) Adjusted basis  
as of 12/31/69(k) Excess of col (i)  
over col (j), if any(l) Gains (Col (h) gain minus  
col (k), but not less than -0-) OR  
Losses (from col (h))

(i) FMV as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	(l) Gains (Col (h) gain minus col (k), but not less than -0-) OR Losses (from col (h))
(1)			7,336
(2)			6,692
(3)			-21,391
(4)			-40,396
(5)			668
(6)			7,001
(7)			21,681
(8)			45,208
(9)			-30,778
(10)			
(11)			
(12)			
(13)			
(14)			
(15)			

## Federal Statements

### Statement 1 - Form 990-PF, Part I, Line 11 - Other Income

Description	Revenue per Books	Net Investment Income	Adjusted Net Income
ROYALTY INCOME	\$ 64,928	\$ 64,928	\$
TOTAL	\$ 64,928	\$ 64,928	\$ 0

### Statement 2 - Form 990-PF, Part I, Line 16a - Legal Fees

Description	Total	Net Investment	Adjusted Net	Charitable Purpose
MCLAUGHLIN & STERN	\$ 8,884	\$ 8,884	\$	\$
TOTAL	\$ 8,884	\$ 8,884	\$ 0	\$ 0

### Statement 3 - Form 990-PF, Part I, Line 16b - Accounting Fees

Description	Total	Net Investment	Adjusted Net	Charitable Purpose
CUSACK AND COMPANY CPAS LLC	\$ 2,215	\$ 1,107	\$	\$ 1,108
TOTAL	\$ 2,215	\$ 1,107	\$ 0	\$ 1,108

### Statement 4 - Form 990-PF, Part I, Line 18 - Taxes

Description	Total	Net Investment	Adjusted Net	Charitable Purpose
FEDERAL TAX ON INVESTMENT INCOME	\$ 1,348	\$	\$	\$
FOREIGN TAX	2,699	1,377	\$	\$
PROPERTY TAX	1,377	\$	\$	\$
TOTAL	\$ 5,424	\$ 1,377	\$ 0	\$ 0

## Federal Statements

Statement 5 - Form 990-PF, Part I, Line 23 - Amortization

Description	Date Acquired	Cost Basis	Prior Year Amortization	Life	Current Year Amortization	Net Investment Income	Adjusted Net Income	COGS
GOODWILL - LEGAL	5/30/05	\$ 14,333	\$ 12,037	15	\$ 955	\$		
GOODWILL -RIGHTS TO NAME	2/28/06	225,000	177,616	15	15,000			
GOODWILL - LEGAL	6/12/06	18,921	14,573	15	1,262			
TRADEMARK	6/17/09	275	154	15	19			
TOTAL		\$ 258,529	\$ 204,380		\$ 17,236	\$ 0	\$ 0	

Statement 6 - Form 990-PF, Part I, Line 23 - Other Expenses

Description	Total	Net Investment	Adjusted Net	Charitable Purpose
EXPENSES				
DUES AND SUBSCRIPTIONS	50	25		
FILING FEES	275	138		
INSURANCE	2,736	1,368		
INVESTMENT EXPENSES	802	802		
MEALS AND ENTERTAINMENT	67	34		
POSTAGE	92	46		
SUPPLIES	522	261		
TRADEMARK FEES	1,000	1,000		
WEBSITE	120	60		
TOTAL	\$ 5,664	\$ 3,734	\$ 0	\$ 1,931

## Federal Statements

### Statement 7 - Form 990-PF, Part II, Line 10a - US and State Government Investments

Description	Beginning of Year	End of Year	Basis of Valuation	Fair Market Value
US TREASURY BILL DUE 5/30/19	\$	98,978	MARKET	\$ 98,978
TOTAL	\$ 0	\$ 98,978		\$ 98,978

### Statement 8 - Form 990-PF, Part II, Line 10b - Corporate Stock Investments

Description	Beginning of Year	End of Year	Basis of Valuation	Fair Market Value
AXA INVESTMENTS, 747.815891 SHS	\$ 21,366	15,996	MARKET	\$ 15,996
ABB LTD SPONS ADR, 4000 SHS	107,280		MARKET	
AT&T INC., 2500 SHS	77,760	71,350	MARKET	71,350
BANCO SANTANDER CENT, 10000 SHS	65,400		MARKET	
COHERENT INC. 500 SHS		52,855	MARKET	52,855
CVS HEALTH CORP 1500 SHS	47,400	98,280	MARKET	98,280
FREEMONT-MCMORAN INC., 2500 SHS	87,250	25,775	MARKET	25,775
GENERAL ELECTRIC, 5000 SHS	71,640		MARKET	
GILEAD SCIENCES INC., 1000 SHARES		62,550	MARKET	62,550
GLOBAL X FDS 5000 SHS		58,350	MARKET	58,350
HESS CORPORATION, 1000 SHS	47,470		MARKET	
LAZARD LTD 3000 SHS		110,730	MARKET	110,730
MERCK & CO. INC., 1000 SHS	112,540	76,410	MARKET	76,410
MICROSOFT CORP., 1000 SHS	85,540		MARKET	
NEW YORK COMMUNITY BANCORP 5000 SHS		47,050	MARKET	47,050
PARKER DRILLING CO., 10000 SHS	10,000		MARKET	
SAN JUAN BASIN RTY TR, 5000 SHS	41,200	24,000	MARKET	24,000
SPDR EURO STOXX 50, 1500 SHS	61,065	49,905	MARKET	49,905
TAPESTRY INC. 2000 SHS	88,460		MARKET	
VIRTU FINANCIAL INC., 2500 SHS	45,750		MARKET	
TOTAL	\$ 970,121	\$ 693,251		\$ 693,251

## Federal Statements

### Statement 9 - Form 990-PF, Part II, Line 11 - Land, Building, and Equipment Investments

Description	Beginning Net Book	End Cost / Basis	End Accumulated Depreciation	Net FMV
LAND	\$ 2,072	\$ 2,072	\$	\$ 2,072
<b>TOTAL</b>	<b>\$ 2,072</b>	<b>\$ 2,072</b>	<b>\$ 0</b>	<b>\$ 2,072</b>

### Statement 10 - Form 990-PF, Part II, Line 13 - Other Investments

Description	Beginning of Year	End of Year	Basis of Valuation	Fair Market Value
MUTUAL FUND - RYDEX SER FDS	\$	\$ 47,993	MARKET	\$ 47,993
<b>TOTAL</b>	<b>\$ 0</b>	<b>\$ 47,993</b>		<b>\$ 47,993</b>

### Statement 11 - Form 990-PF, Part II, Line 14 - Land, Building, and Equipment

Description	Beginning Net Book	End Cost / Basis	End Accumulated Depreciation	Net FMV
GOODWILL	\$ 54,028	\$ 258,254	\$ 221,443	\$ 45,419
TRADEMARK	121	275	172	112
<b>TOTAL</b>	<b>\$ 54,149</b>	<b>\$ 258,529</b>	<b>\$ 221,615</b>	<b>\$ 45,531</b>

**Federal Statements**

**Statement 12 - Form 990-PF, Part II, Line 15 - Other Assets**

Description	Beginning of Year	End of Year	Fair Market Value
COLLECTIBLES - STATUE	\$ 10,000	\$ 10,000	\$ 10,000
TOTAL	<u>\$ 10,000</u>	<u>\$ 10,000</u>	<u>\$ 10,000</u>

**Statement 13 - Form 990-PF, Part III, Line 5 - Other Decreases**

Description	Amount
UNREALIZED LOSS ON INVESTMENTS	\$ 125,536
TOTAL	<u>\$ 125,536</u>

**Form 990-PF, Part XV, Line 1a - Managers Who Contributed Over 2% or \$5,000**

Name of Manager	Amount
NONE	\$
TOTAL	<u>\$ 0</u>

**Form 990-PF, Part XV, Line 1b - Managers Who Own 10% or More Stock**

Name of Manager	Amount
NONE	\$
TOTAL	<u>\$ 0</u>

**Statement 14 - Form 990-PF, Part XV, Line 2b - Application Format and Required Contents**

Description

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IN WRITING OR E-MAIL, INCLUDING CONTACT NAME,  
 ORGANIZATION, CONTACT INFORMATION, PURPOSE OF THE GRANT  
 AND PROJECT DESCRIPTION.

**Form 990-PF, Part XV, Line 2c - Submission Deadlines**

Description

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LETTER OF INTENT BY APRIL 1, PROPOSAL BY JULY 1.

## Federal Statements

### Statement 15 - Form 990-PF, Part XV, Line 2d - Award Restrictions or Limitations

#### Description

PRIMARILY FOR START-UP PROJECTS, PROGRAMS THAT ENHANCE THE HEALTH STATUS OF CHILDREN, THOSE WITH CHRONIC ILLNESSES, OR THAT STIMULATE THE THINKING OF LEADERS OF THE HEALTH CARE INDUSTRY. THE FOUNDATION ONLY AWARDS GRANTS TO ORGANIZATIONS AND DOES NOT SUPPORT GENERAL OPERATIONS, ONGOING ACTIVITIES OR EXISTING DEFICITS, ENDOWMENT OR CAPITAL COSTS, CHURCHES OR OTHER RELIGIOUS ORGANIZATIONS, OR WORK FOR ACHIEVEMENTS WHICH CANNOT BE MEASURED.