

For calendar year 2018, or tax year beginning 03-01-2018, and ending 02-28-2019

Name of foundation THE CARROLL & PERCY KLINGENSTEIN FOUNDATION INC C/O LIPSKY GOODKIN & CO		A Employer identification number 13-2850138	
Number and street (or P.O. box number if mail is not delivered to street address) 120 WEST 45TH STREET NO 7TH FL		Room/suite	
City or town, state or province, country, and ZIP or foreign postal code NEW YORK, NY 10036		B Telephone number (see instructions) (212) 840-6444	
G Check all that apply <div><input type="checkbox"/> Initial return<input type="checkbox"/> Initial return of a former public charity</div> <div><input type="checkbox"/> Final return<input type="checkbox"/> Amended return</div> <div><input type="checkbox"/> Address change<input type="checkbox"/> Name change</div>		D 1. Foreign organizations, check here 2. Foreign organizations meeting the 85% test, check here and attach computation	
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	
I Fair market value of all assets at end of year (from Part II, col (c), line 16) ▶\$ 3,097,467	J Accounting method <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____ (Part I, column (d) must be on cash basis )	F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here	

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)				
	2 Check <input checked="" type="checkbox"/> if the foundation is <b>not</b> required to attach Sch B . . . . .				
	3 Interest on savings and temporary cash investments . . . . .				
	4 Dividends and interest from securities . . . . .	62,953	62,953		
	5a Gross rents . . . . .				
	b Net rental income or (loss) _____				
	6a Net gain or (loss) from sale of assets not on line 10	64,120			
	b Gross sales price for all assets on line 6a 271,104				
	7 Capital gain net income (from Part IV, line 2) . . . . .		64,120		
	8 Net short-term capital gain . . . . .				
	9 Income modifications . . . . .				
	10a Gross sales less returns and allowances _____				
Operating and Administrative Expenses	b Less Cost of goods sold . . . . .				
	c Gross profit or (loss) (attach schedule) . . . . .				
	11 Other income (attach schedule) . . . . .				
	12 Total. Add lines 1 through 11 . . . . .	127,073	127,073		
	13 Compensation of officers, directors, trustees, etc	0	0		0
	14 Other employee salaries and wages . . . . .				
	15 Pension plans, employee benefits . . . . .				
	16a Legal fees (attach schedule) . . . . .				
	b Accounting fees (attach schedule) . . . . .				
	c Other professional fees (attach schedule) . . . . .	29,793	29,793		0
	17 Interest . . . . .				
	18 Taxes (attach schedule) (see instructions) . . . . .	5,172	1,022		250
	19 Depreciation (attach schedule) and depletion . . . . .				
	20 Occupancy . . . . .				
	21 Travel, conferences, and meetings . . . . .				
	22 Printing and publications . . . . .	160	0		160
	23 Other expenses (attach schedule) . . . . .	59	25		34
	24 Total operating and administrative expenses. Add lines 13 through 23 . . . . .	35,184	30,840		444
	25 Contributions, gifts, grants paid . . . . .	116,300			116,300
	26 Total expenses and disbursements. Add lines 24 and 25	151,484	30,840		116,744
	27 Subtract line 26 from line 12				
	a Excess of revenue over expenses and disbursements	-24,411			
	b Net investment income (if negative, enter -0-)		96,233		
	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 (c) Fair Market Value		
Assets	1	Cash—non-interest-bearing . . . . .	170,003	243,184	243,184
	2	Savings and temporary cash investments . . . . .			
	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)	99,910	0	0
	b	Investments—corporate stock (attach schedule) . . . . .	994,377	996,695	2,854,283
	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) . . . . .			
	14	Land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
15	Other assets (describe ▶ _____)				
16	<b>Total assets</b> (to be completed by all filers—see the instructions Also, see page 1, item I)	1,264,290	1,239,879	3,097,467	
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	<b>Total liabilities</b> (add lines 17 through 22) . . . . .	0	0	
Net Assets or Fund Balances	<b>Foundations that follow SFAS 117, check here ▶ <input type="checkbox"/></b> <b>and complete lines 24 through 26 and lines 30 and 31.</b>				
	24	Unrestricted . . . . .			
	25	Temporarily restricted . . . . .			
	26	Permanently restricted . . . . .			
	<b>Foundations that do not follow SFAS 117, check here ▶ <input checked="" type="checkbox"/></b> <b>and complete lines 27 through 31.</b>				
	27	Capital stock, trust principal, or current funds . . . . .	0	0	
	28	Paid-in or capital surplus, or land, bldg, and equipment fund	1,238,991	1,264,290	
	29	Retained earnings, accumulated income, endowment, or other funds	25,299	-24,411	
30	<b>Total net assets or fund balances</b> (see instructions) . . . . .	1,264,290	1,239,879		
31	<b>Total liabilities and net assets/fund balances</b> (see instructions) .	1,264,290	1,239,879		

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	1,264,290
2	Enter amount from Part I, line 27a . . . . .	2	-24,411
3	Other increases not included in line 2 (itemize) ▶ _____	3	0
4	Add lines 1, 2, and 3 . . . . .	4	1,239,879
5	Decreases not included in line 2 (itemize) ▶ _____	5	0
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30 .	6	1,239,879


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

<b>11</b>	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule. See instructions. . . . .	<b>11</b>		<b>No</b>
<b>12</b>	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement. See instructions. . . . .	<b>12</b>		<b>No</b>
<b>13</b>	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address <b>▶</b> N/A	<b>13</b>	<b>Yes</b>	
<b>14</b>	The books are in care of <b>▶</b> LIPSKY GOODKIN & CO Telephone no <b>▶</b> (212) 840-6444			
	Located at <b>▶</b> 120 WEST 45TH STREET - 7TH FL NEW YORK NY ZIP+4 <b>▶</b> 10036			
<b>15</b>	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of <b>Form 1041</b> —check here . . . . . <input type="checkbox"/> and enter the amount of tax-exempt interest received or accrued during the year . . . . . <b>▶</b> 15			
<b>16</b>	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 <b>▶</b>	<b>16</b>	<b>Yes</b>	<b>No</b>

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

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.		Yes	No
<b>1a</b>	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? ( <b>Exception.</b> Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days). . . . . <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
<b>b</b>	If any answer is "Yes" to 1a(1)–(6), did <b>any</b> of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance? See instructions. . . . . <input type="checkbox"/> Organizations relying on a current notice regarding disaster assistance check here. <b>▶</b> <input type="checkbox"/>	<b>1b</b>	
<b>c</b>	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2018? . . . . .	<b>1c</b>	<b>No</b>
<b>2</b>	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))		
<b>a</b>	At the end of tax year 2018, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2018? . . . . . <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If "Yes," list the years <b>▶</b> 20____, 20____, 20____, 20____		
<b>b</b>	Are there any years listed in 2a for which the foundation is <b>not</b> applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to <b>all</b> years listed, answer "No" and attach statement—see instructions). . . . .	<b>2b</b>	
<b>c</b>	If the provisions of section 4942(a)(2) are being applied to <b>any</b> of the years listed in 2a, list the years here <b>▶</b> 20____, 20____, 20____, 20____		
<b>3a</b>	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? . . . . . <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
<b>b</b>	If "Yes," did it have excess business holdings in 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). . . . .	<b>3b</b>	
<b>4a</b>	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	<b>4a</b>	<b>No</b>
<b>b</b>	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2018?	<b>4b</b>	<b>No</b>

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


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

**Part VIII** Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors**1** List all officers, directors, trustees, foundation managers and their compensation. See instructions

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
WILLIAM P KLINGENSTEIN 6 ORCHARD DRIVE PURCHASE, NY 10577	PRESIDENT/DIRECTOR 1 00	0	0	0
JEAN KLINGENSTEIN 400 WEST ONTARIO STREET 1703 CHICAGO, IL 60610	SECRETARY/TREASURER/DIRECT 0 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 XIV Private Operating Foundations** (see instructions and Part VII-A, question 9)

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

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

<b>1 Information Regarding Foundation Managers:</b>	
<b>a</b> List any managers of the foundation who have contributed more than 2% of the total contributions received by the foundation before the close of any tax year (but only if they have contributed more than \$5,000) (See section 507(d)(2) )	
<b>b</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	
<b>2 Information Regarding Contribution, Grant, Gift, Loan, Scholarship, etc., Programs:</b>	
Check here <input checked="" type="checkbox"/> 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.	
<b>a</b> The name, address, and telephone number or e-mail address of the person to whom applications should be addressed GLENN ZIMMERMAN 120 WEST 45TH STREET NEW YORK, NY 10036 (212) 840-6444	
<b>b</b> The form in which applications should be submitted and information and materials they should include NO FORMAL APPLICATION NECESSARY, ONLY A GENERAL LETTER OF REQUEST	
<b>c</b> Any submission deadlines NONE	
<b>d</b> Any restrictions or limitations on awards, such as by geographical areas, charitable fields, kinds of institutions, or other factors MUST BE A PUBLIC CHARITY AS DESCRIBED ON IRC SECTION 509 (A) (1) (2) OR (3)	

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

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

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d**

List and describe the kind(s) of property sold (e g , real estate, (a) 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 100M US T-NOTE 1 125% DUE 6/15/18	P	2017-09-14	2018-06-15
1 500 SHS TIME WARNER (MERGER)	P	2016-02-22	2018-06-18
0 5 SH AT&T INC	P	2016-02-22	2018-06-18
180 SHS GARRETT MOTION	P	2003-10-27	2018-10-01
200 SHS IBM	P	2017-09-20	2018-10-17
300 SHS RESIDEO TECHNOLOGIES	P	2003-10-27	2018-10-30
300 SHS APPLE INC	P	2015-01-28	2018-11-02
100 SHS WALT DISNEY CO	P	1996-05-22	2019-02-06
800 SHS METLIFE INC	P	2010-11-03	2019-02-08
BARRICK SECURITIES LITIGATION SETTLEMENT	P		2018-07-09

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h**

(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)
100,000		99,910	90
26,875		9,364	17,511
16		16	0
3,230		560	2,670
27,008		29,130	-2,122
6,601		1,500	5,101
62,187		35,060	27,127
11,232		2,060	9,172
33,873		29,384	4,489
82			82

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l**

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	
			90
			17,511
			0
			2,670
			-2,122
			5,101
			27,127
			9,172
			4,489
			82

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> <i>Paid during the year</i>				
ALZHEIMERS DISEASE RESEARCH 3152 LITTLE ROAD SUITE 146 TRINITY, FL 34655	NONE	EXEMPT	GENERAL CHARITABLE PURPOSE	150
AMERICAN KIDNEY FUND 11921 ROCKVILLE PIKE 300 ROCKVILLE, MD 20852	NONE	EXEMPT	GENERAL CHARITABLE PURPOSE	2,500
BERKSHIRE SCHOOL 245 NORTH UNDERMOUNTAIN ROAD SHEFFIELD, MA 01257	NONE	EXEMPT	GENERAL CHARITABLE PURPOSE	6,000
<b>Total . . . . . ▶ 3a</b>				116,300



Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> <i>Paid during the year</i>				
BIG BROTHERS BIG SISTERS OF FSW ONE GATEWAY PLAZA 4TH FL PORT CHESTER, NY 10573	NONE	EXEMPT	GENERAL CHARITABLE PURPOSE	350
BIRCH WATHEN LENOX SCHOOL 210 EAST 77TH STREET NEW YORK, NY 10075	NONE	EXEMPT	GENERAL CHARITABLE PURPOSE	500
CADDIE SCHOLARSHIP FUND 49 KNOLLWOOD ROAD ELMSFORD, NY 10523	NONE	EXEMPT	GENERAL CHARITABLE PURPOSE	500
<b>Total . . . . . ▶ 3a</b>				116,300

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> Paid during the year				
COLUMBIA UNIVERSITY 116TH STREET BROADWAY NEW YORK, NY 10027	NONE	EXEMPT	GENERAL CHARITABLE PURPOSE	250
CONGREGATION EMANU-EL OF WESTCHESTER 2125 WESTCHESTER AVENUE EAST RYE, NY 10580	NONE	EXEMPT	GENERAL CHARITABLE PURPOSE	8,100
CONNECTICUT COLLEGE 270 MOHEGAN AVENUE NEW LONDON, CT 06320	NONE	EXEMPT	GENERAL CHARITABLE PURPOSE	12,500
Total . . . . . ▶ 3a				116,300

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> <i>Paid during the year</i>				
DALTON SCHOOL 108 EAST 89TH STREET NEW YORK, NY 10128	NONE	EXEMPT	GENERAL CHARITABLE PURPOSE	1,050
EAGLEBROOK FUND 271 PINE NOOK ROAD DEERFIELD, MA 01342	NONE	EXEMPT	GENERAL CHARITABLE PURPOSE	1,000
FAMILY EQUALITY COUNCIL 475 PARK AVE SOUTH 2100 NEW YORK, NY 10016	NONE	EXEMPT	GENERAL CHARITABLE PURPOSE	300
<b>Total . . . . . ▶ 3a</b>				116,300

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> <i>Paid during the year</i>				
FEEDING WESTCHESTER 200 CLEARBROOK ROAD ELMSFORD, NY 10523	NONE	EXEMPT	GENERAL CHARITABLE PURPOSE	500
FUND FOR THE AGED 120 WEST 106TH STREET NEW YORK, NY 10025	NONE	EXEMPT	GENERAL CHARITABLE PURPOSE	17,000
GOD'S LOVE WE DELIVER 166 6TH AVENUE NEW YORK, NY 10013	NONE	EXEMPT	GENERAL CHARITABLE PURPOSE	100
<b>Total . . . . .</b> ► <b>3a</b>				116,300

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> <i>Paid during the year</i>				
HARRISON POLICE ASSOCIATION PO BOX 127 HARRISON, NY 10528	NONE	EXEMPT	GENERAL CHARITABLE PURPOSE	100
HARRISON PUBLIC LIBRARY FOUNDATION 2 BRUCE AVENUE HARRISON, NY 10528	NONE	EXEMPT	GENERAL CHARITABLE PURPOSE	100
JEWISH FEDERATION FOR THE RIGHTEOUS 305 7TH AVENUE 19TH FL NEW YORK, NY 10001	NONE	EXEMPT	GENERAL CHARITABLE PURPOSE	2,000
<b>Total . . . . . ▶ 3a</b>				116,300

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> <i>Paid during the year</i>				
KLINGENSTEIN CENTER TEACHERS COLLEGE 525 WEST 120TH ST 204 NEW YORK, NY 10027	NONE	EXEMPT	GENERAL CHARITABLE PURPOSE	750
MICHAEL J FOX FOUNDATION GRAND CENTRAL STATION-PO BOX 4777 NEW YORK, NY 10163	NONE	EXEMPT	GENERAL CHARITABLE PURPOSE	1,000
MY SISTERS PLACE1 WATER STREET WHITE PLAINS, NY 10601	NONE	EXEMPT	GENERAL CHARITABLE PURPOSE	1,210
<b>Total . . . . .</b> ► <b>3a</b>				116,300

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> <i>Paid during the year</i>				
NEW STORY182 HOWARD STREET SAN FRANCISCO, CA 94105	NONE	EXEMPT	GENERAL CHARITABLE PURPOSE	500
NIGHTINGALE BAMFORD SCHOOL 20 EAST 92ND STREET NEW YORK, NY 10128	NONE	EXEMPT	GENERAL CHARITABLE PURPOSE	7,500
PEPA2900 PURCHASE STREET PURCHASE, NY 10577	NONE	EXEMPT	GENERAL CHARITABLE PURPOSE	5,000
<b>Total . . . . . ▶ 3a</b>				116,300

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> <i>Paid during the year</i>				
PLAY FOR PINK 60 EAST 56TH STREET 8TH FL NEW YORK, NY 10022	NONE	EXEMPT	GENERAL CHARITABLE PURPOSE	60
PORT CHESTER CARVER CENTER 400 WESTCHESTER AVENUE PORT CHESTER, NY 10573	NONE	EXEMPT	GENERAL CHARITABLE PURPOSE	250
PURCHASE COLLEGE FOUNDATION 735 ANDERSON HILL ROAD PURCHASE, NY 10577	NONE	EXEMPT	GENERAL CHARITABLE PURPOSE	21,000
<b>Total . . . . . ▶ 3a</b>				116,300



Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> <i>Paid during the year</i>				
PURCHASE FIRE DEPARTMENT 614 ANDERSON HILL ROAD PURCHASE, NY 10577	NONE	EXEMPT	GENERAL CHARITABLE PURPOSE	100
RYE COUNTRY DAY SCHOOL 3 CEDAR STREET RYE, NY 10580	NONE	EXEMPT	GENERAL CHARITABLE PURPOSE	1,250
RYE HIGH SCHOOL1 PARSONS STREET RYE, NY 10580	NONE	EXEMPT	GENERAL CHARITABLE PURPOSE	130
<b>Total . . . . . ▶ 3a</b>				116,300

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> <i>Paid during the year</i>				
SMILE TRAIN 633 3RD AVENUE 9TH FLOOR NEW YORK, NY 10017	NONE	EXEMPT	GENERAL CHARITABLE PURPOSE	250
SOUL RYEDERS 1091 BOSTON POST ROAD RYE, NY 10580	NONE	EXEMPT	GENERAL CHARITABLE PURPOSE	100
SUNRISE DAY CAMP-PEARL RIVER 667 BLAUVELT ROAD-PO BOX 175 PEARL RIVER, NY 10965	NONE	EXEMPT	GENERAL CHARITABLE PURPOSE	100
<b>Total . . . . . ▶ 3a</b>				116,300

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> Paid during the year				
THEO UBIQUE CABARET THEATRE 1751D WEST HOWARD 294 CHICAGO, IL 60626	NONE	EXEMPT	GENERAL CHARITABLE PURPOSE	10,000
UJA FEDERATION 130 EAST 59TH STREET NEW YORK, NY 10022	NONE	EXEMPT	GENERAL CHARITABLE PURPOSE	5,000
UNIVERSITY OF CHICAGO 5801 SOUTH ELLIS AVENUE CHICAGO, IL 60637	NONE	EXEMPT	GENERAL CHARITABLE PURPOSE	7,500
<b>Total . . . . . ▶ 3a</b>				116,300

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> <i>Paid during the year</i>				
UNIVERSITY OF MIAMI 1320 SOUTH DIXIE HIGHWAY CORAL GABLES, FL 33146	NONE	EXEMPT	GENERAL CHARITABLE PURPOSE	1,000
WESTCHESTER UNITED WAY 336 CENTRAL PARK AVENUE WHITE PLAINS, NY 10606	NONE	EXEMPT	GENERAL CHARITABLE PURPOSE	500
WLIW 21825 8TH AVENUE NEW YORK, NY 10019	NONE	EXEMPT	GENERAL CHARITABLE PURPOSE	100
<b>Total . . . . . ▶ 3a</b>				116,300

**TY 2018 All Other Program Related Investments Schedule**

**Name:** THE CARROLL & PERCY KLINGENSTEIN  
FOUNDATION INC C/O LIPSKY GOODKIN & CO  
**EIN:** 13-2850138

Category	Amount
N/A	0

## TY 2018 Investments Corporate Stock Schedule

**Name:** THE CARROLL & PERCY KLINGENSTEIN  
 FOUNDATION INC C/O LIPSKY GOODKIN & CO  
**EIN:** 13-2850138

### Investments Corporation Stock Schedule

Name of Stock	End of Year Book Value	End of Year Fair Market Value
COMMON STOCK	996,695	2,854,283

**TY 2018 Other Expenses Schedule**

**Name:** THE CARROLL & PERCY KLINGENSTEIN  
FOUNDATION INC C/O LIPSKY GOODKIN & CO

**EIN:** 13-2850138

**Other Expenses Schedule**

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
MISCELLANEOUS EXPENSE-BROKER	25	25		0
BANK CHARGES	34	0		34

**TY 2018 Other Professional Fees Schedule**

**Name:** THE CARROLL & PERCY KLINGENSTEIN  
FOUNDATION INC C/O LIPSKY GOODKIN & CO

**EIN:** 13-2850138

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
INVESTMENT ADVISORY FEES	29,793	29,793		0



**TY 2018 Taxes Schedule**

**Name:** THE CARROLL & PERCY KLINGENSTEIN  
FOUNDATION INC C/O LIPSKY GOODKIN & CO

**EIN:** 13-2850138

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
NEW YORK STATE DEPT OF LAW	250	0		250
FOREIGN TAXES ON DIVIDENDS	1,022	1,022		0
FEDERAL EXCISE TAXES	3,900	0		0