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. 1545-0052

2020

Open to Public Inspection

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

Name of foundation
THE JOSHUA MAILMAN FOUNDATION

A Employer identification number
20-5520413

Number and street (or P.O. box number if mail is not delivered to street address) Room/suite
CITRIN-50 ROCKEFELLER PLAZA

B Telephone number (see instructions)
(212) 697-3509

City or town, state or province, country, and ZIP or foreign postal code
NEW YORK, NY 10020

C If exemption application is pending, check here ▶ ☐

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

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

H Check type of organization: ☑ Section 501(c)(3) exempt private foundation
☐ Section 4947(a)(1) nonexempt charitable trust ☐ 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*) ▶$ 28,398,512

J Accounting method: ☑ Cash ☐ Accrual
☐ 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 ▶ ☑ if the foundation is **not** required to attach Sch. B				
	3	Interest on savings and temporary cash investments	706	706		
	4	Dividends and interest from securities . . .	41,370	41,370		
	5a	Gross rents				
	b	Net rental income or (loss)				
	6a	Net gain or (loss) from sale of assets not on line 10	2,112,085			
	b	Gross sales price for all assets on line 6a 3,967,602				
	7	Capital gain net income (from Part IV, line 2) . . .		2,112,085		
	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)	-209,783	-39,620		
	12	**Total.** Add lines 1 through 11	1,944,378	2,114,541		
Operating and Administrative Expenses	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)	63,148	31,574		31,574
	c	Other professional fees (attach schedule)				
	17	Interest				
	18	Taxes (attach schedule) (see instructions) . . .	7,119	119		0
	19	Depreciation (attach schedule) and depletion . . .				
	20	Occupancy				
	21	Travel, conferences, and meetings				
	22	Printing and publications				
	23	Other expenses (attach schedule)	55,791	44,128		11,536
	24	**Total operating and administrative expenses.** Add lines 13 through 23	126,058	75,821		43,110
	25	Contributions, gifts, grants paid	700,325			700,325
	26	**Total expenses and disbursements.** Add lines 24 and 25	826,383	75,821		743,435
	27	Subtract line 26 from line 12:				
	a	**Excess of revenue over expenses and disbursements**	1,117,995			
	b	**Net investment income** (if negative, enter -0-)		2,038,720		
	c	**Adjusted net income** (if negative, enter -0-) . . .				

Part II **Balance Sheets** Attached schedules and amounts in the description column should be for end-of-year amounts only. (See instructions.)

			Beginning of year	End of year	
			(a) Book Value	**(b)** Book Value	**(c)** Fair Market Value
Assets	1	Cash—non-interest-bearing			
	2	Savings and temporary cash investments	310,380	1,156,048	1,156,051
	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)	2,954,201	2,530,128	19,307,269
	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)	2,808,516	3,504,916	7,935,192
	14	Land, buildings, and equipment: basis ▶			
		Less: accumulated depreciation (attach schedule) ▶			
	15	Other assets (describe ▶)			
	16	**Total assets** (to be completed by all filers—see the instructions. Also, see page 1, item I)	6,073,097	7,191,092	28,398,512
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	25,874,098	25,874,098	
	27	Paid-in or capital surplus, or land, bldg., and equipment fund	0	0	
	28	Retained earnings, accumulated income, endowment, or other funds	-19,801,001	-18,683,006	
	29	**Total net assets or fund balances** (see instructions)	6,073,097	7,191,092	
	30	**Total liabilities and net assets/fund balances** (see instructions)	6,073,097	7,191,092	

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	6,073,097
2	Enter amount from Part I, line 27a	2	1,117,995
3	Other increases not included in line 2 (itemize) ▶	3	0
4	Add lines 1, 2, and 3	4	7,191,092
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 29.	6	7,191,092

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.)
1 a	PUBLICLY TRADED SECURITIES (THRU NEUBERGER BERMAN)		2020-01-01	2020-12-31
b	PUBLICLY TRADED SECURITIES (THRU NEUBERGER BERMAN)		2019-12-31	2020-12-31
c	PUBLICLY TRADED SECURITIES (THRU CHARLES SCHWAB)		2020-01-01	2020-12-31
d	PUBLICLY TRADED SECURITIES (THRU CHARLES SCHWAB)		2019-12-31	2020-12-31
e	PUBLICLY TRADED SECURITIES (THRU MERRILL LYNCH)		2019-12-31	2020-12-31
	NON UBI GAINS THRU UV PARTNERS IV LP	P	2019-12-31	2020-12-31

	(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	142,649		138,422	4,227
b	897,382		642,191	255,191
c	382,592		378,252	4,340
d	970,586		695,669	274,917
e	1,082,283		983	1,081,300
	492,110			492,110

	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				4,227
b				255,191
c				4,340
d				274,917
e				1,081,300
				492,110

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 — 2,112,085

3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6):
If gain, also enter in Part I, line 8, column (c) (see instructions). If (loss), enter -0- in Part I, line 8 . . . . — 3

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

SECTION 4940(e) REPEALED ON DECEMBER 20, 2019 - DO NOT COMPLETE

1 Reserved

(a) Reserved	(b) Reserved	(c) Reserved	(d) Reserved

2 Reserved	2	
3 Reserved.	3	
4 Reserved	4	
5 Reserved	5	
6 Reserved	6	
7 Reserved	7	
8 Reserved , ...	8	

Part VI 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	Reserved	1	28,338
c	All other domestic foundations enter 1.39% of line 27b. Exempt foreign organizations enter 4% 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	0
3	Add lines 1 and 2	3	28,338
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	4	0
5	**Tax based on investment income.** Subtract line 4 from line 3. If zero or less, enter -0-	5	28,338
6	Credits/Payments:		
a	2020 estimated tax payments and 2019 overpayment credited to 2020	6a	11,360
b	Exempt foreign organizations—tax withheld at source	6b	
c	Tax paid with application for extension of time to file (Form 8868)	6c	25,000
d	Backup withholding erroneously withheld	6d	0
7	Total credits and payments. Add lines 6a through 6d	7	36,360
8	Enter any **penalty** for underpayment of estimated tax. Check here ☐ if Form 2220 is attached.	8	30
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	7,992
11	Enter the amount of line 10 to be: **Credited to 2021 estimated tax** ▶ 7,992 **Refunded** ▶	11	0

Part VII-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 Instructions for 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. ▶ $ 0 **(2)** On foundation managers. ▶ $ 0			
e	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ▶ $ 0			
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 XV.*	7	Yes	
8a	Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ CA, DE, 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 2020 or the taxable year beginning in 2020? See the instructions for Part XIV. If "Yes," complete Part XIV	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 VII-A Statements Regarding Activities (continued)

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule. See instructions.	11		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 ▶N/A

14 The books are in care of ▶CITRIN COOPERMAN CO LLP Telephone no. ▶(212) 697-1000

Located at ▶50 ROCKEFELLER PLAZA 4TH FL NEW YORK NY ZIP+4 ▶10017

15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of **Form 1041** —check here ▶ ☐

and enter the amount of tax-exempt interest received or accrued during the year ▶ 15

			Yes	No
16	At any time during calendar year 2020, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country?	16		No
	See the instructions for exceptions and filing requirements for FinCEN Form 114. If "Yes", enter the name of the foreign			

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? ☐ Yes ☑ No			
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☑ No			
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☐ Yes ☑ No			
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☐ Yes ☑ 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)? ☐ Yes ☑ 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.) ☐ Yes ☑ 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		
	Organizations relying on a current notice regarding disaster assistance check here ▶ ☐			
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2020?	1c		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 2020, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2020? ☐ Yes ☑ 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		
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? ☑ Yes ☐ No			
b	If "Yes," did it have excess business holdings in 2020 as a result of **(1)** any purchase by the foundation or disqualified persons after May 26, 1969; **(2)** the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest; or **(3)** the lapse of the 10-, 15-, or 20-year first phase holding period?*(Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2020.)*	3b		No
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 2020?	4b		No

Part VII-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))? ☐ Yes ☑ No			
	(2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive? ☐ Yes ☑ No			
	(3) Provide a grant to an individual for travel, study, or other similar purposes? ☐ Yes ☑ No			
	(4) Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? See instructions. ☐ Yes ☑ No			
	(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? ☐ Yes ☑ No			
b	If any answer is "Yes" to 5a(1)–(5), did **any** of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance? See instructions	5b		
	Organizations relying on a current notice regarding disaster assistance check here ▶ ☐			
c	If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? ☐ Yes ☐ No			
	If "Yes," attach the statement required by Regulations section 53.4945–5(d).			
6a	Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? ☐ Yes ☑ No			
b	Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?	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? ☐ Yes ☑ 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? ☐ Yes ☑ 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
JOSHUA MAILMAN 50 ROCKEFELLER PLAZA-4TH FLOOR NEW YORK, NY 10020	PRESIDENT 7.00	0	0	0
PHYLLIS MAILMAN 50 ROCKEFELLER PLAZA-4TH FLOOR NEW YORK, NY 10020	VP/ASSISTANT SECRETARY 7.00	0	0	0
JOSEPH V HASTINGS 50 ROCKEFELLER PLAZA-4TH FLOOR NEW YORK, NY 10020	SECY/TREAS 1.25	0	0	0
MONICA WINSOR 50 ROCKEFELLER PLAZA-4TH FLOOR NEW YORK, NY 10020	VP/ASSISTANT TREASURER 1.00	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. . . . . ▶ 0

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

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

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

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2.	Amount
1	
2	
All other program-related investments. See instructions.	
3	
Total. Add lines 1 through 3 . . . . ▶	0

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	4,946,107
b	Average of monthly cash balances		1b	483,360
c	Fair market value of all other assets (see instructions)		1c	7,935,191
d	**Total** (add lines 1a, b, and c)		1d	13,364,658
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	13,364,658
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)		4	200,470
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3. Enter here and on Part V, line 4		5	13,164,188
6	**Minimum investment return.** Enter 5% of line 5		6	658,209

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	658,209
2a	Tax on investment income for 2020 from Part VI, line 5	2a 28,338		
b	Income tax for 2020. (This does not include the tax from Part VI.)	2b		
c	Add lines 2a and 2b		2c	28,338
3	Distributable amount before adjustments. Subtract line 2c from line 1		3	629,871
4	Recoveries of amounts treated as qualifying distributions		4	0
5	Add lines 3 and 4		5	629,871
6	Deduction from distributable amount (see instructions)		6	0
7	**Distributable amount** as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1		7	629,871

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	743,435
b	Program-related investments—total from Part IX-B	1b	0
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	743,435
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	743,435

Note: The amount on line 6 will be used in Part V, column (b), in subsequent years when calculating whether the foundation qualifies for the section 4940(e) reduction of tax in those years.

Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2019	(c) 2019	(d) 2020
1 Distributable amount for 2020 from Part XI, line 7				629,871
2 Undistributed income, if any, as of the end of 2020:				
a Enter amount for 2019 only.			0	
b Total for prior years: 20__, 20__, 20__		0		
3 Excess distributions carryover, if any, to 2020:				
a From 2015. 77,094				
b From 2016.				
c From 2017.				
d From 2018. 470,344				
e From 2019.				
f **Total** of lines 3a through e.	547,438			
4 Qualifying distributions for 2020 from Part XII, line 4: ► $ 743,435				
a Applied to 2019, but not more than line 2a			0	
b Applied to undistributed income of prior years (Election required—see instructions).		0		
c Treated as distributions out of corpus (Election required—see instructions).	0			
d Applied to 2020 distributable amount				629,871
e Remaining amount distributed out of corpus	113,564			
5 Excess distributions carryover applied to 2020. *(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	661,002			
b Prior years' undistributed income. Subtract line 4b from line 2b		0		
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		0		
d Subtract line 6c from line 6b. Taxable amount —see instructions		0		
e Undistributed income for 2019. Subtract line 4a from line 2a. Taxable amount—see instructions			0	
f Undistributed income for 2021. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2020				0
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)	0			
8 Excess distributions carryover from 2015 not applied on line 5 or line 7 (see instructions) . . .	77,094			
9 **Excess distributions carryover to 2021.** Subtract lines 7 and 8 from line 6a	583,908			
10 Analysis of line 9:				
a Excess from 2016				
b Excess from 2017				
c Excess from 2018. . . . 470,344				
d Excess from 2019				
e Excess from 2020 113,564				

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

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

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

	Tax year	Prior 3 years			(e) Total
	(a) 2020	**(b)** 2019	**(c)** 2018	**(d)** 2017	
2a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed					
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).)

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

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

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

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

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

c Any submission deadlines:

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

Part XV Supplementary Information (continued)

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a *Paid during the year*				
ABOLITIONIST LAW CENTER PO BOX 8654 PITTSBURGH,PA 15221	NONE	PUBLIC CHARITY	UNRESTRICTED CHARITIBLE PURPOSE	10,000
ALLIANCE FOR SAFE TRAFFIC STOPS 2800 EISENHOWER AVE STE 220 ALEXANDRIA,VA 22314	NONE	PUBLIC CHARITY	UNRESTRICTED CHARITIBLE PURPOSE	15,000
BARAT FOUNDATION INC 43 RAYMOND PLAZA W NEWARK,NJ 07102	NONE	PUBLIC CHARITY	UNRESTRICTED CHARITIBLE PURPOSE	4,000
CENTER FOR COMMON GROUND PO BOX 235 LADYSMITH,VA 22501	NONE	PUBLIC CHARITY	UNRESTRICTED CHARITIBLE PURPOSE	150,000
CONGREGATION EMANU-EL ONE EAST 65TH STREET NEW YORK,NY 10065	NONE	PUBLIC CHARITY	UNRESTRICTED CHARITIBLE PURPOSE	15,025
COLUMBIA UNIVERSITY 630 W 168TH ST NEW YORK,NY 10032	NONE	PUBLIC CHARITY	TOWARDS MAILMAN SCHOOL OF PUBLIC HEALTH	150,000
CONFLUENCE PHILANTHROPY 1 PENN PLAZA BOX 6169 NEW YORK,NY 10119	NONE	PUBLIC CHARITY	UNRESTRICTED CHARITIBLE PURPOSE	2,000
ECHOING GREEN FOUNDATION 462 SEVENTH AVENUE 13TH FLOOR NEW YORK,NY 10018	NONE	PUBLIC CHARITY	UNRESTRICTED CHARITIBLE PURPOSE	60,000
EWAM LTD 34574 WHITE COYOTE RD ARLEE,MT 59821	NONE	PUBLIC CHARITY	UNRESTRICTED CHARITIBLE PURPOSE	100,000
FARMWORKER JUSTICE FUND INC 1126 16TH ST NW SUITE LL-101 WASHINGON,DC 20036	NONE	PUBLIC CHARITY	UNRESTRICTED CHARITIBLE PURPOSE	10,000
FRIENDS SEMINARY 222 E 16TH ST NEW YORK,NY 10003	NONE	PUBLIC CHARITY	UNRESTRICTED CHARITIBLE PURPOSE	13,650
INVESTIGATIVE REPORTERS & EDITORS MISSOURI SCHOOL OF JOURNALISM COLUMBIA,MO 65211	NONE	PUBLIC CHARITY	UNRESTRICTED CHARITIBLE PURPOSE	10,000
LAND IS LIFE 185 WYTHE AVE BROOKLYN,NY 11249	NONE	PUBLIC CHARITY	UNRESTRICTED CHARITIBLE PURPOSE	8,000
MAILMAN SCHOOL OF PUBLIC HEALTH 722 W 168TH ST NEW YORK,NY 10032	NONE	PUBLIC CHARITY	UNRESTRICTED CHARITIBLE PURPOSE	20,000
MAYSLES INSTITUTE INC 343 MALCOLM X BLVD NEW YORK,NY 10027	NONE	PUBLIC CHARITY	UNRESTRICTED CHARITIBLE PURPOSE	7,500
REPAIRERS OF THE BREACH INC PO BOX 1638 GOLDSBORO,NC 27533	NONE	PUBLIC CHARITY	UNRESTRICTED CHARITIBLE PURPOSE	50,000
THE THRESHOLD FOUNDATION 2875 ROUTE 35 KATONAH,NY 10536	NONE	PUBLIC CHARITY	UNRESTRICTED CHARITIBLE PURPOSE	51,150
TIBET HOUSE US 22 W 15TH ST NEW YORK NEW YORK,NY 10011	NONE	PUBLIC CHARITY	UNRESTRICTED CHARITIBLE PURPOSE	500
UTAH FILM CENTER 50 W BROADWAY 1125 SALT LAKE CITY,UT 84101	NONE	PUBLIC CHARITY	UNRESTRICTED CHARITIBLE PURPOSE	5,000
WIND BENEATH MY WINGS FOUNDATION 1 BABCOCK COURT STONY POINT,NY 10980	NONE	PUBLIC CHARITY	UNRESTRICTED CHARITIBLE PURPOSE	10,000
PEOPLE POWER INITIATIVES 191 BANK ST BURLINGTON,VT 05401	NONE	PUBLIC CHARITY	UNRESTRICTED CHARITIBLE PURPOSE	8,500
Total . . . . ▶ **3a**				700,325
b *Approved for future payment*				
Total . . . . ▶ **3b**				0

Part XVI-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			14	706	
4 Dividends and interest from securities			14	41,370	
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	2,112,085	
9 Net income or (loss) from special events:					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue:					
a DEBT FINANCED INCOME THRU MOUNTAINVIEW GARDENS	531390	3,470			
b OTHER INVESTMENT UBI INCOME/<LOSS> THRU CASCADE SETT	525990	-173,633			
c PORTFOLIO - NON-UBIT INCOME(LOSS) THRU MOUNTAINVIEW GARDENS			01	191	
d PORTFOLIO - NON-UBIT INCOME(LOSS) THRU SOCIAL IMPACT FINANCE LLC			01	-9	
e PORTFOLIO - NON-UBIT INCOME(LOSS) THRU UV PARTNERS IV LP			01	-1,988	
f NON UBI INCOME THRU SIGNAL PEAK VENTURES III LP			01	-37,238	
g PORTFOLIO - NON-UBIT INCOME(LOSS) THRU CADENCE SERIES B SPV LLC			01	-576	
12 Subtotal. Add columns (b), (d), and (e)		-170,163		2,114,541	0

13 Total. Add line 12, columns (b), (d), and (e) . . . 13 1,944,378

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

Part XVI-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 XVI-A contributed importantly to the accomplishment of the foundation's exempt purposes (other than by providing funds for such purposes). (See instructions.)

Part XVII **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.

Signature of officer or trustee	Date	Title
	2021-11-15	

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

Paid Preparer Use Only

Print/Type preparer's name	Preparer's Signature	Date	Check if self-employed ☐	PTIN
STEVEN STERN		2021-11-12		P00180118

Firm's name ▶ CITRIN COOPERMAN & COMPANY LLP — Firm's EIN ▶22-2428965

Firm's address ▶ 50 ROCKEFELLER PLAZA NEW YORK, NY 10020 — Phone no. (212) 697-1000

Additional Data

Return to Form

Software ID:
Software Version:

Form 990PF - Special Condition Description:

Special Condition Description

TY 2020 IRS 990 e-File Render

Name: THE JOSHUA MAILMAN FOUNDATION

EIN: 20-5520413

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
PREPARATION OF FORM 990-PF AND STATE RETURNS	31,574	0		31,574
BOOKKEEPING SERVICES	31,574	31,574		0

TY 2020 IRS 990 e-File Render

Name: THE JOSHUA MAILMAN FOUNDATION

EIN: 20-5520413

Name of Stock	End of Year Book Value	End of Year Fair Market Value
MISSION NEWENERGY LTD	161,608	39
ORION ENERGY SYSTEMS INC	20,479	56,644
TARGET RESOURCES PLC	75,227	0
AIRBUS SE UNSPON ADR EA REPR 0.25 ORD	10,120	17,576
ALPHABET INC CLASS C CAPITAL STOCK	46,335	87,594
AMAZON.COM INC	26,087	48,854
ANTHEM INC COM	5,671	26,329
AON PLC	17,147	65,494
APPLE INC	35,215	102,171
BERKSHIRE HATHAWAY INC DEL CL B NEW	22,163	25,506
BLACKSTONE GROUP INC/THE -A	23,138	32,081
DISNEY WALT CO	43,397	59,789
DR HORTON INC	7,771	24,811
J P MORGAN CHASE & CO	23,081	48,922
LENNAR CORP CL A	10,555	25,156
MICROSOFT CORP	12,446	93,416
MOTOROLA SOLUTIONS INC	28,044	34,522
ORACLE CORP	7,610	20,377
UNION PACIFIC CORP	30,018	37,480
AMPHENOL CORP CLASS A	50,301	89,185
ANSYS INC	12,281	24,011
BROWN & BROWN INC	50,405	84,817
CDW CORP	86,321	115,316
CERIDIAN H C M HOLDING I	40,278	85,248
CINCINNATI FINL	82,171	102,310
CLARIVATE PLC F	64,665	101,846
COSTAR GROUP INC	8,092	12,940
EVERBRIDGE INC.	55,770	90,187
EXPEDITORS INTL WASH	17,651	24,063
FIRST REPUBLIC BANK SAN	58,110	103,586
GO DADDY GROUP INC CLASS A	89,297	107,171
HEICO CORP	7,607	11,784
HILL ROM HLDGS INC	23,382	23,807
JACOBS ENGINEERING	58,193	88,258
LIVE NATION ENTRTMNT	32,199	38,724
MARTIN MARIETTA MATR	89,746	126,367
PAYCHEX INC	58,765	85,167
PERKINELMER INC	65,014	107,625
SERVICE CORP INTL	67,939	85,729
SS&C TECHNOLOGS HLDG	79,059	111,308
STERIS PLC F	37,854	47,954
TORO CO	55,180	78,622
VAIL RESORTS INC	63,868	77,272

Name of Stock	End of Year Book Value	End of Year Fair Market Value
CLOUDFLARE INC	83,812	15,918,765
AIR PRODUCTS AND CHEMICALS INC	13,169	16,393
ALIBABA GROUP HOLDINGS LTD	10,757	12,102
ANALOG DEVICES INC COM	2,689	4,432
BOOKING HOLDINGS INC	32,746	40,091
CIGNA CORP	13,928	15,614
NEXTERA ENERGY INC	17,568	26,231
PROLOGIS INC	9,701	9,966
PAYTHEON TECHNOLOGIES CORP	16,965	17,878
REGENERON PHARMACEUTICALS INC	12,750	12,078
SERVICENOW INC	27,077	33,576
T-MOBILE US INC	24,908	32,364
THERMO FISHER SCIENTIFIC INC	17,674	29,344
ADVANCED DRAINAGE SY	21,396	26,829
ENTEGRIS INC	55,177	76,784
MORNINGSTAR INC	54,227	62,524
POOL CORP	35,045	40,230
REPLIGEN CORP	15,876	24,337
ROLLINS INC	25,302	40,242
SHAKE SHACK	12,425	20,008
SHIFT4 PMTS INC	5,233	7,389
RTENABLE HOLDINGS INC	16,347	21,427
TRACTOR SUPPLY COMP	58,039	66,776
ULTA BEAUTY INC	52,720	74,374
WILLIAMS SONOMA	34,337	47,457

TY 2020 IRS 990 e-File Render

Name: THE JOSHUA MAILMAN FOUNDATION

EIN: 20-5520413

Category/ Item	Listed at Cost or FMV	Book Value	End of Year Fair Market Value
MOUNTAINVIEW GARDENS	AT COST	27,733	27,733
UV PARTNERS IV, LP	AT COST	192,193	196,787
SMALL POTATOES URBAN DELIVER	AT COST	399,782	500,000
CASCADE SETTLEMENT FD I LLC	AT COST	389,379	2,000,000
COLUMBIA PIPELINE PARTNERS	AT COST	661	0
RELIANTHEART	AT COST	650,000	923,000
RENEWAL FUNDING PFD STOCK	AT COST	262,429	1,000,000
SWEETGREEN INC. PFD STOCK	AT COST	50,000	1,000,000
CATCHAFIRE INC PFD/CONV NOTE	AT COST	101,125	600,000
GRASSROTTS BUSINESS INV FD	AT COST	100,000	52,056
TARGET RESORCES GIFTED STOCK	AT COST	1	0
WARBURG-WPG HELD BY NOMINEE	AT COST	141,549	141,549
SOCIAL IMPACT FINANCE LLC	AT COST	195,997	500,000
VERAQUE IMPACT LLC	AT COST	12,500	12,500
CADENCE SERIES B SPV	AT COST	249,424	249,424
RENEWAL FINANCIAL	AT COST	145,128	145,128
SIGNAL PEAK VENTURES III LP	AT COST	587,015	587,015

TY 2020 IRS 990 e-File Render

Name: THE JOSHUA MAILMAN FOUNDATION

EIN: 20-5520413

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
NEW YORK DEPT. OF LAW FEE	750	0		750
NY PUBLIC INSPECTION AD	160	0		160
CORPORATE REPRESENTATION FEES	476	0		476
OTHER MISC EXP	7,232	0		7,105
MEMBERSHIP DUES	3,000	0		3,000
BANK CHARGES	45	0		45
-INVESTMENT FEES - NEUBERGER	14,816	14,816		0
-INVESTMENT FEES - SELECT EQUITY SCHWAB	27,949	27,949		0
-CUSTODY FEES-CHARLES SCHWAB	1,363	1,363		0

TY 2020 IRS 990 e-File Render

Name: THE JOSHUA MAILMAN FOUNDATION

EIN: 20-5520413

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
DEBT FINANCED INCOME THRU MOUNTAINVIEW GARDENS	3,470		0
OTHER INVESTMENT UBI INCOME/<LOSS> THRU CASCADE SETT	-173,633		0
PORTFOLIO - NON-UBIT INCOME(LOSS) THRU MOUNTAINVIEW GARDENS	191	191	0
PORTFOLIO - NON-UBIT INCOME(LOSS) THRU SOCIAL IMPACT FINANCE LLC	-9	-9	0
PORTFOLIO - NON-UBIT INCOME(LOSS) THRU UV PARTNERS IV LP	-1,988	-1,988	0
NON UBI INCOME THRU SIGNAL PEAK VENTURES III LP	-37,238	-37,238	0
PORTFOLIO - NON-UBIT INCOME(LOSS) THRU CADENCE SERIES B SPV LLC	-576	-576	0

TY 2020 IRS 990 e-File Render

Name: THE JOSHUA MAILMAN FOUNDATION

EIN: 20-5520413

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FOREIGN TAX WITHHELD ON DIVIDENDS	119	119		0
FEDERAL EXCISE TAX ON NET INVESTMENT INCOME	7,000	0		0