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990-PF

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

OMB No 1545-0052

2011

Note. The foundation may be able to use a copy of this return to satisfy state reporting requirements

For calendar year 2011 or tax year beginning

, 2011, and ending

, 20

Name of foundation

THE HERBERT AND PEGGY STOCKHAM FOUNDATION

A Employer identification number

63-1254357

Number and street (or P.O. box number if mail is not delivered to street address)

Room/suite

B Telephone number (see instructions)

1525 WEST WT HARRIS BLVD

(336) 747-8162

City or town, state, and ZIP code

CHARLOTTE, NC 28288-5709

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 changeD 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 foundationE 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) ☐ Accounting method: ☒ Cash ☐ Accrual☐ Other (specify) _____F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐16) ☐ \$ 1,679,616.

(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)

	(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
1 Contributions, gifts, grants, etc., received (attach schedule)				
2 Check <input checked="" type="checkbox"/> if the foundation is not required to attach Sch. B				
3 Interest on savings and temporary cash investments				
4 Dividends and interest from securities	43,668.	42,883.		
5a Gross rents				
b Net rental income or (loss)				
6a Net gain or (loss) from sale of assets not on line 10	7,767.			
b Gross sales price for all assets on line 6a	1,932,292.			
7 Capital gain net income (from Part IV, line 2)		7,767.		
8 Net short-term capital gain				
9 Income modifications				
10a Gross sales less returns and allowances				
b Less Cost of goods sold				
c Gross profit or (loss) (attach schedule)				
11 Other income (attach schedule)	6,087.			STMT 1
12 Total. Add lines 1 through 11	57,522.	50,650.		
13 Compensation of officers, directors, trustees, etc.	NONE	NONE		NONE
14 Other employee salaries and wages		NONE	NONE	
15 Pension plans, employee benefits		NONE	NONE	
16a Legal fees (attach schedule)				
b Accounting fees (attach schedule)				
c Other professional fees (attach schedule)	19,380.	19,380.		
17 Interest				
18 Taxes (attach schedule) (see instructions)	2,318.	853.		
19 Depreciation (attach schedule) and depletion				
20 Occupancy				
21 Travel, conferences, and meetings		NONE	NONE	
22 Printing and publications		NONE	NONE	
23 Other expenses (attach schedule)				
24 Total operating and administrative expenses. Add lines 13 through 23	21,698.	20,233.	NONE	NONE
25 Contributions, gifts, grants paid	65,000.			65,000.
26 Total expenses and disbursements. Add lines 24 and 25	86,698.	20,233.	NONE	65,000.
27 Subtract line 26 from line 12	-29,176.			
a Excess of revenue over expenses and disbursements		30,417.		
b Net investment income (if negative, enter -0-)				
c Adjusted net income (if negative, enter -0-)				

For Paperwork Reduction Act Notice, see instructions.

JSA

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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
Assets	1 Cash - non-interest-bearing		548.	548.
	2 Savings and temporary cash investments	75,564.	150,673.	150,673.
	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 ▶	NONE		
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10 a Investments - U.S. and state government obligations (attach schedule)			
	b Investments - corporate stock (attach schedule) . STMT 4	1,682,649.	1,024,730.	981,884.
	c Investments - corporate bonds (attach schedule) . STMT 8		553,865.	546,511.
	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 Total assets (to be completed by all filers - see the instructions. Also, see page 1, item I)	1,758,213.	1,729,816.	1,679,616.	
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)				
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ <input checked="" type="checkbox"/> X and complete lines 24 through 26 and lines 30 and 31.			
	24 Unrestricted	1,758,213.	1,729,816.	
	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 Total net assets or fund balances (see instructions)	1,758,213.	1,729,816.	
	31 Total liabilities and net assets/fund balances (see instructions)	1,758,213.	1,729,816.	

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	1,758,213.
2 Enter amount from Part I, line 27a	2	-29,176.
3 Other increases not included in line 2 (itemize) ▶ SEE STATEMENT 9	3	4,011.
4 Add lines 1, 2, and 3	4	1,733,048.
5 Decreases not included in line 2 (itemize) ▶ SEE STATEMENT 10	5	3,232.
6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	1,729,816.

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Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.)			(b) How acquired P-Purchase D-Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a PUBLICLY TRADED SECURITIES					
b					
c					
d					
e					
(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 1,927,448.		1,924,525.	2,923.		
b					
c					
d					
e					
Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(i) Gains (Col. (h) gain minus col. (k), but not less than -0- or Losses (from col. (h))		
(i) FM 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			2,923.		
b					
c					
d					
e					
2 Capital gain net income or (net capital loss)			2	7,767.	
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

(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 does not 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))
2010	74,000.	1,670,768.	0.04429100869
2009	60,000.	1,473,894.	0.04070849057
2008	87,000.	1,718,009.	0.05064001411
2007	100,000.	2,050,817.	0.04876105474
2006	96,000.	1,889,299.	0.05081249712
2 Total of line 1, column (d)			2 0.23521306523
3 Average distribution ratio for the 5-year base period - divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years			3 0.04704261305
4 Enter the net value of noncharitable-use assets for 2011 from Part X, line 5			4 1,767,159.
5 Multiply line 4 by line 3			5 83,132.
6 Enter 1% of net investment income (1% of Part I, line 27b)			6 304.
7 Add lines 5 and 6			7 83,436.
8 Enter qualifying distributions from Part XII, line 4			8 65,000.

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.

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 <input type="checkbox"/> and enter "N/A" on line 1 Date of ruling or determination letter: _____ (attach copy of letter if necessary - see instructions)		1	608.
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		2	
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b).		3	608.
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		4	NONE
3 Add lines 1 and 2		5	608.
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		6a	1,033.
5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-		6b	NONE
6 Credits/Payments.		6c	NONE
a 2011 estimated tax payments and 2010 overpayment credited to 2011	6d		
b Exempt foreign organizations - tax withheld at source	7	1,033.	
c Tax paid with application for extension of time to file (Form 8868)	8		
d Backup withholding erroneously withheld	9		
7 Total credits and payments. Add lines 6a through 6d	10	425.	
8 Enter any penalty for underpayment of estimated tax. Check here <input type="checkbox"/> if Form 2220 is attached	11		
9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed			
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid			
11 Enter the amount of line 10 to be Credited to 2012 estimated tax <input type="checkbox"/> 425. Refunded <input type="checkbox"/>			

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?		X
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see page 19 of the instructions for definition)? 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.		X
c Did the foundation file Form 1120-POL for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year. (1) On the foundation <input type="checkbox"/> \$ _____ (2) On foundation managers <input type="checkbox"/> \$ _____		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers <input type="checkbox"/> \$ _____		
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.		X
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		X
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		X
b If "Yes," has it filed a tax return on Form 990-T for this year?		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by General Instruction T		X
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?	X	
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	X	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) <input type="checkbox"/> AL		
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	X	
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 2011 or the taxable year beginning in 2011 (see instructions for Part XIV)? If "Yes," complete Part XIV		X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses		X

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		X
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		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	X	
Website address <u>N/A</u>				
14	The books are in care of <u>WELLS FARGO BANK, NA</u> Telephone no. <u>(336) 747-8162</u>			
	Located at <u>1 WEST 4TH STREET, WINSTON SALEM, NC</u> ZIP + 4 <u>27101-3818</u>			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here <input type="checkbox"/> and enter the amount of tax-exempt interest received or accrued during the year.	15		
16	At any time during calendar year 2011, 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 Form TD F 90-22.1. If "Yes," enter the name of the foreign country	16	Yes	No
				X

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)?	1b	
Organizations relying on a current notice regarding disaster assistance check here		<input type="checkbox"/>
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 2011?	1c	X
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 2011, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2011? If "Yes," list the years	<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)	2b	X
c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here		
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 2011 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 2011.)	3b	
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a	X
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 2011?	4b	X

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Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required (continued)**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 509(a)(1), (2), or (3), or section 4940(d)(2)? (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)? ☐ Yes ☒ NoOrganizations 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? ☐ Yes ☒ 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? ☐ 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
SEE STATEMENT 11		-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
SEE STATEMENT 13		NONE	NONE	NONE

Total number of other employees paid over \$50,000 ☐ NONE

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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		NONE
Total number of others receiving over \$50,000 for professional services		NONE

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 NONE	
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 NONE	
2	
All other program-related investments See instructions	
3 NONE	
Total. Add lines 1 through 3	

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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 1,557,911.
b	Average of monthly cash balances	1b 236,159.
c	Fair market value of all other assets (see instructions)	1c NONE
d	Total (add lines 1a, b, and c)	1d 1,794,070.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e
2	Acquisition indebtedness applicable to line 1 assets	2 NONE
3	Subtract line 2 from line 1d	3 1,794,070.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4 26,911.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5 1,767,159.
6	Minimum investment return. Enter 5% of line 5	6 88,358.

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 88,358.
2a	Tax on investment income for 2011 from Part VI, line 5	2a 608.
b	Income tax for 2011. (This does not include the tax from Part VI.)	2b
c	Add lines 2a and 2b	2c 608.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3 87,750.
4	Recoveries of amounts treated as qualifying distributions	4 6,000.
5	Add lines 3 and 4	5 93,750.
6	Deduction from distributable amount (see instructions)	6 NONE
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7 93,750.

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 65,000.
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 NONE
3	Amounts set aside for specific charitable projects that satisfy the:	
a	Suitability test (prior IRS approval required)	3a NONE
b	Cash distribution test (attach the required schedule)	3b NONE
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4 65,000.
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 N/A
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6 65,000.

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 2010	(c) 2010	(d) 2011
1 Distributable amount for 2011 from Part XI, line 7				93,750.
2 Undistributed income, if any, as of the end of 2011:				
a Enter amount for 2010 only			NONE	
b Total for prior years: 20 09, 20 , 20		NONE		
3 Excess distributions carryover, if any, to 2011:				
a From 2006	5,252.			
b From 2007	5,802.			
c From 2008	1,940.			
d From 2009	NONE			
e From 2010	NONE			
f Total of lines 3a through e	12,994.			
4 Qualifying distributions for 2011 from Part XII, line 4. ► \$ 65,000.				
a Applied to 2010, but not more than line 2a			NONE	
b Applied to undistributed income of prior years (Election required - see instructions)		NONE		
c Treated as distributions out of corpus (Election required - see instructions)	NONE			
d Applied to 2011 distributable amount				65,000.
e Remaining amount distributed out of corpus	NONE			
5 Excess distributions carryover applied to 2011	12,994.			12,994.
<i>(If an amount appears in column (d), the same amount must be shown in column (a))</i>				
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	NONE			
b Prior years' undistributed income Subtract line 4b from line 2b		NONE		
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		NONE		
d Subtract line 6c from line 6b. Taxable amount - see instructions		NONE		
e Undistributed income for 2010 Subtract line 4a from line 2a. Taxable amount - see instructions			NONE	
f Undistributed income for 2011 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2012				15,756.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions)	NONE			
8 Excess distributions carryover from 2006 not applied on line 5 or line 7 (see instructions)	NONE			
9 Excess distributions carryover to 2012. Subtract lines 7 and 8 from line 6a	NONE			
10 Analysis of line 9				
a Excess from 2007	NONE			
b Excess from 2008	NONE			
c Excess from 2009	NONE			
d Excess from 2010	NONE			
e Excess from 2011	NONE			

Part XIV Private Operating Foundations (see instructions and Part VII-A, question 9)**NOT APPLICABLE****1a** If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2011, 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

Prior 3 years

(e) Total

(a) 2011

(b) 2010

(c) 2009

(d) 2008

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).)

SEE ATTACHED DETAIL

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.

SEE ATTACHED DETAIL

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. (see instructions) to individuals or organizations under other conditions, complete items 2a, b, c, and d.**a** The name, address, and telephone number of the person to whom applications should be addressed:

SEE STATEMENT 14

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

SEE ATTACHED STATEMENT FOR LINE 2

c Any submission deadlines:

SEE ATTACHED STATEMENT FOR LINE 2

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

SEE ATTACHED STATEMENT FOR LINE 2

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)				
a Paid during the year				
SEE STATEMENT 23				
Total			3a	65,000.
b Approved for future payment				
Total			3b	

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

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

[illegible]

- 2a** Is the foundation directly or indirectly affiliated with, or related to, one or more tax-exempt organizations described in section 501(c) of the Code (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

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.

**Sign
Here**

Signature of officer or trustee 1 Kase Stoklosa Date 10/04/09/2012

TRUSTEE
Title

May the IRS discuss this return with the preparer shown below (see instructions)? ☒ Yes ☐ No

**Paid
Preparer
Use Only**


~~STOCKHAM FOUNDATION~~
Print/Type preparer's name

Preparer's signature

Date	
------	--

PTIN

DERRICK PUCKETT

Preparer's signature 

04/09/2012

2	self-employed	P01031673
---	---------------	-----------

Firm's name ► WELLS FARGO BANK, N.A.

Firm's EIN ► 94-3080771

Firm's address ► 1525 W W.T. HARRIS BLVD. D1114-044
CHARLOTTE, NC 28288

Phone no 704-427-6882

FORM 990PF, PART I - OTHER INCOME
=====

DESCRIPTION -----	REVENUE AND EXPENSES PER BOOKS -----
RTN OF UNUSED GRANT	6,000.
EXCISE TAX REFUND	87.

TOTALS	6,087.
	=====

FORM 990PF, PART I - OTHER PROFESSIONAL FEES
=====

DESCRIPTION -----	REVENUE AND EXPENSES PER BOOKS -----	NET INVESTMENT INCOME -----
WELLS FARGO BANK FEE	19,051.	19,051.
GOLDEN CAPITAL MANAGEMENT	329.	329.
TOTALS	19,380.	19,380.
	=====	=====

FORM 990PF, PART I - TAXES
=====

DESCRIPTION -----	REVENUE AND EXPENSES PER BOOKS -----	NET INVESTMENT INCOME -----
FEDERAL TAX PAYMENT - PRIOR YE	432.	
FEDERAL ESTIMATES - PRINCIPAL	1,033.	
FOREIGN TAXES ON QUALIFIED FOR	670.	670.
FOREIGN TAXES ON NONQUALIFIED	183.	183.
	-----	-----
TOTALS	2,318.	853.
	=====	=====

FORM 990PF, PART II - CORPORATE STOCK

=====

DESCRIPTION	ENDING BOOK VALUE	ENDING FMV
-----	-----	---
256210105 DODGE&COX INCOME FD		
4812C0803 JPMORGAN HI YL #3580		
693390304 PIMCO LOW DURATN #36		
693390700 PIMCO TOT RTN FD #35		
94985D582 WELLS FARGO FD #4705		
693391559 PIMCO EMERG MKT #137		
464287499 ISHARES MIDCAP INDEX		
626124242 MUNDER MIDCAP #32		
780905451 ROYCE PREMIER FD#566		
784924425 SSGA EMERG MKT #1510		
94985D244 WELLS FARGO FD #4132		
04315J837 ARTIO INTL FD #1529		
256206103 DODGE&COX INTL FD		
26852M105 EII INTERNATL FD #30		
722005667 PIMCO COMMOD FD #45		
779919109 TROWE RE FD #122		
345370860 FORD MOTOR CO	4,228.	3,120.
364760108 GAP INC		
437076102 HOME DEPOT INC		
654106103 NIKE INC CL B	2,411.	4,372.
778296103 ROSS STORES INC		
126650100 CVS CAREMARK CORP		
742718109 PROCTER & GAMBLE CO	4,104.	4,536.
902494103 TYSON FOODS INC CL A		
931142103 WALMART STORES INC		
166764100 CHEVRON CORP	3,147.	4,043.
171798101 CIMAREX ENERGY CO		
20825C104 CONOCOPHILLIPS	2,902.	3,352.
30231G102 EXXON MOBIL CORP	4,826.	4,916.

THE HERBERT AND PEGGY STOCKHAM FOUNDATION

63-1254357

FORM 990PF, PART II - CORPORATE STOCK

=====

DESCRIPTION	ENDING BOOK VALUE	ENDING FMV
-----	-----	---
406216101 HALLIBURTON CO		
674599105 OCCIDENTAL PETE CORP	2,190.	3,467.
03076C106 AMERIPRISE FINL INC		
172967101 CITIGROUP INC		
46625H100 JPMORGAN CHASE & CO	2,957.	3,225.
693475105 PNC FINANCIAL SVCS	3,484.	3,455.
91529Y106 UNUM GROUP	3,026.	3,403.
031162100 AMGEN INC	3,680.	5,427.
110122108 BRISTOL MYERS SQUIBB	3,415.	3,899.
14149Y108 CARDINAL HEALTH INC		
345838106 FOREST LABS INC	1,343.	3,935.
478160104 JOHNSON & JOHNSON	3,249.	4,129.
58155Q103 MCKESSON CORP		
58405U102 MEDCO HEALTH SOLUTNS		
235851102 DANAHER CORP	3,445.	3,622.
369604103 GENERAL ELECTRIC CO	3,610.	4,173.
907818108 UNION PACIFIC CORP		
913017109 UNITED TECHNOLOGIES	1,739.	4,458.
88579Y101 3M CO		
037833100 APPLE INC	3,652.	5,670.
17275R102 CISCO SYSTEMS INC	3,238.	3,056.
219350105 CORNING INC		
428236103 HEWLETT PACKARD CO		
44919P508 IAC INTERACTIVE CORP		
458140100 INTEL CORP	4,696.	4,292.
459200101 IBM CORP	1,903.	4,229.
594918104 MICROSOFT CORP	3,425.	3,634.
68389X105 ORACLE CORP	2,707.	2,975.
882508104 TEXAS INSTRUMENTS	2,564.	3,435.

THE HERBERT AND PEGGY STOCKHAM FOUNDATION

63-1254357

FORM 990PF, PART II - CORPORATE STOCK

=====

DESCRIPTION	ENDING BOOK VALUE	ENDING FMV
-----	-----	---
459506101 INTERNATL FLAVORS		
81211K100 SEALED AIR CORP		
92343V104 VERIZON COMMUNIC		
210371100 CONSTELLATION ENERGY		
H0023R105 ACE LIMITED		
G6852T105 PARTNERRE LTD COM		
H8912P106 TYCO ELECTRONICS LTD		
H89128104 TYCO INTERNATL LTD		
03524A108 ANHEUSER-BUSCH INBEV		
04351G101 ASCENA RETAIL GROUP		
057224107 BAKER HUGHES INC CO		
14040H105 CAPITAL ONE FINANCIA		
156700106 CENTURYLINK, INC		
191216100 COCA COLA CO		
20030N101 COMCAST CORP CLASS A		
22160K105 COSTCO WHOLESale COR		
22544R305 CREDIT SUISSE COMM R		
25264S833 DIAMOND HILL LONG-SH		
278865100 ECOLAB INC		
438516106 HONEYWELL INTERNATIO		
448108100 HUSSMAN STRATEGIC GR		
45865V100 INTERCONTINENTALEXCH		
461202103 INTUIT COM		
464287200 ISHARES S & P 500 IN		
464287465 ISHARES MSCI EAFE		
464287606 ISHARES S&P MIDCAP 4		
464287705 ISHARES S&P MIDCAP 4		
464287804 ISHARES TR SMALLCAP		
50075N104 KRAFT FOODS INC		
	3,449.	4,764.
	3,716.	3,842.
	4,461.	3,864.
	3,927.	3,356.
	5,098.	4,440.
	4,838.	4,166.
	3,995.	4,478.
	4,516.	4,386.
	3,993.	3,916.
	87,048.	75,266.
	33,482.	33,501.
	3,761.	3,873.
	3,656.	3,587.
	55,421.	58,036.
	3,968.	3,858.
	3,768.	3,734.
	62,114.	60,839.
	184,751.	156,862.
	41,859.	41,072.
	45,257.	43,840.
	86,736.	88,517.
	3,003.	3,661.

THE HERBERT AND PEGGY STOCKHAM FOUNDATION
 FORM 990PF, PART II - CORPORATE STOCK
 =====

63-1254357

DESCRIPTION	ENDING BOOK VALUE	ENDING FMV
-----	-----	---
580135101 MCDONALDS CORP	3,957.	5,418.
583334107 MEADWESTVACO CORP	3,833.	3,983.
589509108 MERGER FD SH BEN INT	31,179.	30,476.
637071101 NATIONAL OILWELL INC	4,067.	3,535.
744573106 PUBLIC SVC ENTERPRIS	3,928.	4,027.
747525103 QUALCOMM INC	3,612.	3,501.
78463X863 SPDR DJ WILSHIRE INT	63,745.	52,265.
87612E106 TARGET CORP	3,158.	2,971.
887389104 TIMKEN CO	4,094.	3,910.
91324P102 UNITEDHEALTH GROUP I	3,577.	4,409.
922042858 VANGUARD MSCI EMERGI	100,334.	86,393.
922908553 VANGUARD REIT VIPER	58,763.	60,494.
983134107 WYNN RESORTS LTD	4,682.	3,646.
G1151C101 ACCENTURE PLC	3,154.	3,407.
H0023R105 ACE LIMITED	3,889.	4,768.
	-----	-----
TOTALS	1,024,730.	981,884.
	=====	=====

FORM 990PF, PART II - CORPORATE BONDS

=====

DESCRIPTION	ENDING BOOK VALUE	ENDING FMV
-----	-----	----
261980494 DREYFUS EMG MKT DEBT	49,560.	44,615.
51855Q655 LAUDUS MONDRIAN INTL	47,401.	46,049.
693390882 PIMCO FOREIGN BD FD	48,981.	48,796.
76628T645 RIDGEWORTH SEIX HY B	91,023.	85,897.
921937819 VANGUARD INTERMEDIAT	91,918.	96,015.
921937827 VANGUARD SHORT TERM	224,982.	225,139.
	-----	-----
TOTALS	553,865.	546,511.
	=====	=====

FORM 990PF, PART III - OTHER INCREASES IN NET WORTH OR FUND BALANCES
=====

DESCRIPTION -----	AMOUNT -----
MUTUAL FUND TAX EFFECTIVE DATE BEFORE TYE ROUNDING	4,009. 2.

TOTAL	4,011. =====

FORM 990PF, PART III - OTHER DECREASES IN NET WORTH OR FUND BALANCES
=====

DESCRIPTION -----	AMOUNT -----
MUTUAL FUND POSTING DATE AFTER TYE	1,804.
ROC BASIS ADJUSTMENT	1,428.

TOTAL	3,232.
	=====

FORM 990PF, PART VIII - LIST OF OFFICERS, DIRECTORS, AND TRUSTEES
=====

OFFICER NAME:

HERBERT STOCKHAM

ADDRESS:

2940 ARGYLE ROAD
BIRMINGHAM, AL 35213

TITLE:

PRESIDENT

AVERAGE HOURS PER WEEK DEVOTED TO POSITION: 40

OFFICER NAME:

KATE STOCKHAM

ADDRESS:

6 PEACHTREE STREET
BIRMINGHAM, AL 35213

TITLE:

SECRETARY & TREASURE

AVERAGE HOURS PER WEEK DEVOTED TO POSITION: 40

OFFICER NAME:

PEGGY STOCKHAM

ADDRESS:

2940 ARGYLE ROAD
BIRMINGHAM, AL 35213

TITLE:

BOARD MEMBER

AVERAGE HOURS PER WEEK DEVOTED TO POSITION: 40

OFFICER NAME:

CAROLINE S. THOMAS

ADDRESS:

3257 ROCKLEDGE ROAD
BIRMINGHAM, AL 35213

TITLE:

BOARD MEMBER

AVERAGE HOURS PER WEEK DEVOTED TO POSITION: 40

FORM 990PF, PART VIII - LIST OF OFFICERS, DIRECTORS, AND TRUSTEES

=====

OFFICER NAME:

MARGARET S MILLER

ADDRESS:

501 SEVEN OAKS PARK
BIRMINGHAM, AL 35242

TITLE:

BOARD MEMBER

AVERAGE HOURS PER WEEK DEVOTED TO POSITION: 40

THE HERBERT AND PEGGY STOCKHAM FOUNDATION

63-1254357

990PF, PART VIII - COMPENSATION OF THE FIVE HIGHEST PAID EMPLOYEES

=====

EMPLOYEE NAME:
NONE

STATEMENT 13

XD576 2000

DMJ753 5892 04/09/2012 07:16:53

38 -

THE HERBERT AND PEGGY STOCKHAM FOUNDATION
FORM 990PF, PART XV - LINES 2a - 2d

63-1254357

=====

RECIPIENT NAME:

HERBERT STOCKHAM

ADDRESS:

2940 ARGYLE ROAD

BIRMINGHAM, AL 35213

RECIPIENT'S PHONE NUMBER: 4042380444

FORM, INFORMATION AND MATERIALS:

LETTER FORM

SUBMISSION DEADLINES:

NONE

RESTRICTIONS OR LIMITATIONS ON AWARDS:

NONE

STATEMENT 14

RECIPIENT NAME:

MITCHELLS PLACE INC

ADDRESS:

4778 OVERTON ROAD
IRONDALE, AL 35210

RELATIONSHIP:

NONE

PURPOSE OF GRANT:

GENERAL

FOUNDATION STATUS OF RECIPIENT:

EXEMPT

AMOUNT OF GRANT PAID 1,000.

RECIPIENT NAME:

CAMP WINNATASKA

ADDRESS:

260 WINNATASKA DRIVE
PELL CITY, AL 35128

RELATIONSHIP:

NONE

PURPOSE OF GRANT:

GENERAL

FOUNDATION STATUS OF RECIPIENT:

EXEMPT

AMOUNT OF GRANT PAID 2,000.

RECIPIENT NAME:

LITTLE TRAVERSE
CONSERVANCY

ADDRESS:

3264 POWELL ROAD
HARBOR SPRINGS, MI 49740

RELATIONSHIP:

NONE

PURPOSE OF GRANT:

CHARITABLE

FOUNDATION STATUS OF RECIPIENT:

EXEMPT

AMOUNT OF GRANT PAID 3,000.

RECIPIENT NAME:

HERITAGE FOUNDATION

ADDRESS:

214 MASSACHUSETTS AVE NE
WASHINGTON, DC 20002

RELATIONSHIP:

NONE

PURPOSE OF GRANT:

CHARITABLE

FOUNDATION STATUS OF RECIPIENT:

EXEMPT

AMOUNT OF GRANT PAID 2,000.

RECIPIENT NAME:

INDEPENDENT PRESBYTERIAN
CHURCH

ADDRESS:

3100 HIGHLAND AVE S
BIRMINGHAM, AL 35205

RELATIONSHIP:

NONE

PURPOSE OF GRANT:

RELIGIOUS

FOUNDATION STATUS OF RECIPIENT:

EXEMPT

AMOUNT OF GRANT PAID 5,000.

RECIPIENT NAME:

BIG OAK RANCH

ADDRESS:

200 BROAD ST. 3RD FLOOR
GADSDEN, AL 35901

RELATIONSHIP:

NONE

PURPOSE OF GRANT:

CHARITABLE

FOUNDATION STATUS OF RECIPIENT:

EXEMPT

AMOUNT OF GRANT PAID 3,000.

RECIPIENT NAME:

HILLSDALE COLLEGE

ADDRESS:

33 E COLLEGE ST

HILLSDALE, MI 49242

RELATIONSHIP:

NONE

PURPOSE OF GRANT:

EDUCATIONAL

FOUNDATION STATUS OF RECIPIENT:

EXEMPT

AMOUNT OF GRANT PAID 2,000.

RECIPIENT NAME:

HARBOR SPRINGS AREA

HISTORICAL SOCIETY

ADDRESS:

PO BOX 812

HARBOR SPRINGS, MI 49740

RELATIONSHIP:

NONE

PURPOSE OF GRANT:

GENERAL

FOUNDATION STATUS OF RECIPIENT:

EXEMPT

AMOUNT OF GRANT PAID 2,000.

RECIPIENT NAME:

HAMPDEN-SYDNEY COLLEGE

ADDRESS:

PO BOX 854

HAMPDEN-SYDNEY, VA 23943

RELATIONSHIP:

NONE

PURPOSE OF GRANT:

GENERAL

FOUNDATION STATUS OF RECIPIENT:

EXEMPT

AMOUNT OF GRANT PAID 2,000.

RECIPIENT NAME:

MEDIA RESEARCH CENTER

ADDRESS:

325 S PATRICK ST
ALEXANDRIA, VA 22314

RELATIONSHIP:

NONE

PURPOSE OF GRANT:

CHARITABLE

FOUNDATION STATUS OF RECIPIENT:

EXEMPT

AMOUNT OF GRANT PAID 3,000.

RECIPIENT NAME:

SOUTHEASTERN LEGAL
FOUNDATION

ADDRESS:

2255 SEWELL MILL ROAD
MARIETTA, GA 30062

RELATIONSHIP:

NONE

PURPOSE OF GRANT:

CHARITABLE

FOUNDATION STATUS OF RECIPIENT:

EXEMPT

AMOUNT OF GRANT PAID 1,000.

RECIPIENT NAME:

NATIONAL RIGHT TO WORK
LEGAL DEFENSE

ADDRESS:

8001 BRADDOCK RD 600
SPRINGFIELD, VA 22160

RELATIONSHIP:

NONE

PURPOSE OF GRANT:

CHARITABLE

FOUNDATION STATUS OF RECIPIENT:

EXEMPT

AMOUNT OF GRANT PAID 5,000.

RECIPIENT NAME:

BIRMINGHAM SOUTHERN
COLLEGE

ADDRESS:

900 ARKADELPHIA ROAD
BIRMINGHAM, AL 35254

RELATIONSHIP:

NONE

PURPOSE OF GRANT:

EDUCATIONAL

FOUNDATION STATUS OF RECIPIENT:

EXEMPT

AMOUNT OF GRANT PAID 4,000.

RECIPIENT NAME:

GATEWAY

ADDRESS:

1401 20TH ST S
BIRMINGHAM, AL 35205

RELATIONSHIP:

NONE

PURPOSE OF GRANT:

CHARITABLE

FOUNDATION STATUS OF RECIPIENT:

NON-EXEMPT

AMOUNT OF GRANT PAID 4,000.

RECIPIENT NAME:

YWCA OF BIRMINGHAM

ADDRESS:

309 NORHT 23RD ST
BIRMINGHAM, AL 35203

RELATIONSHIP:

NONE

PURPOSE OF GRANT:

CHARITABLE

FOUNDATION STATUS OF RECIPIENT:

EXEMPT

AMOUNT OF GRANT PAID 2,000.

RECIPIENT NAME:

PLANNED PARENTHOOD OF
ALABAMA

ADDRESS:

1211 27TH PLACE SOUTH
BIRMINGHAM, AL 35205

RELATIONSHIP:

NONE

PURPOSE OF GRANT:

CHARITABLE

FOUNDATION STATUS OF RECIPIENT:

EXEMPT

AMOUNT OF GRANT PAID 3,000.

RECIPIENT NAME:

FRIENDS OF THE ALABAMA
ARCHIVES

ADDRESS:

PO BOX 300100
MONTGOMERY, AL 36130

RELATIONSHIP:

NONE

PURPOSE OF GRANT:

CHARITABLE

FOUNDATION STATUS OF RECIPIENT:

EXEMPT

AMOUNT OF GRANT PAID 1,000.

RECIPIENT NAME:

CORNERSTONE SCHOOLS OF
ALABAMA

ADDRESS:

6715 W GROVER CLEVELAND BLVD
HOMOSASSA, FL 34446

RELATIONSHIP:

NONE

PURPOSE OF GRANT:

EDUCATIONAL

FOUNDATION STATUS OF RECIPIENT:

EXEMPT

AMOUNT OF GRANT PAID 4,000.

RECIPIENT NAME:

INDIAN SPRINGS SCHOOL

ADDRESS:

190 WOODWARD DRIVE

INDIAN SPRINGS, AL 35124

RELATIONSHIP:

NONE

PURPOSE OF GRANT:

GENERAL

FOUNDATION STATUS OF RECIPIENT:

EXEMPT

AMOUNT OF GRANT PAID 4,000.

RECIPIENT NAME:

BETTER BASICS

ADDRESS:

200 BEACON PARKWAY WEST, STE 200

BIRMINGHAM, AL 35209

RELATIONSHIP:

NONE

PURPOSE OF GRANT:

CHARITABLE

FOUNDATION STATUS OF RECIPIENT:

EXEMPT

AMOUNT OF GRANT PAID 2,000.

RECIPIENT NAME:

FIRST LIGHT

ADDRESS:

2230 FOURTH AVENUE N

BIRMINGHAM, AL 35203

RELATIONSHIP:

NONE

PURPOSE OF GRANT:

CHARITABLE

FOUNDATION STATUS OF RECIPIENT:

EXEMPT

AMOUNT OF GRANT PAID 3,000.

RECIPIENT NAME:
JARROW MONTESSORI SCHOOL
ADDRESS:
3900 ORANGE COURT
BOULDER, CO 80304
RELATIONSHIP:
NONE
PURPOSE OF GRANT:
GENERAL
FOUNDATION STATUS OF RECIPIENT:
EXEMPT
AMOUNT OF GRANT PAID 2,000.

RECIPIENT NAME:
COMMUNITY FOUNDATION OF
BOULDER
ADDRESS:
1123 SPRUCE STREET
BOULDER, CO 80302
RELATIONSHIP:
NONE
PURPOSE OF GRANT:
GENERAL
FOUNDATION STATUS OF RECIPIENT:
EXEMPT
AMOUNT OF GRANT PAID 2,000.

RECIPIENT NAME:
AGING SERVICES FOUNDATION
OF BOULDER COUNTY
ADDRESS:
PO BOX 471
BOULDER, CO 80306
RELATIONSHIP:
NONE
PURPOSE OF GRANT:
GENERAL
FOUNDATION STATUS OF RECIPIENT:
EXEMPT
AMOUNT OF GRANT PAID 1,000.

THE HERBERT AND PEGGY STOCKHAM FOUNDATION
FORM 990PF, PART XV, LINE 3 - CONTRIBUTIONS, GIFTS, GRANTS PAID
=====

63-1254357

RECIPIENT NAME:

HOOVER INSTITUTE

ADDRESS:

STANFORD UNIVERSITY

STANFORD, CA 94305

RELATIONSHIP:

NONE

PURPOSE OF GRANT:

CHARITABLE

FOUNDATION STATUS OF RECIPIENT:

EXEMPT

AMOUNT OF GRANT PAID 2,000.

TOTAL GRANTS PAID:

65,000.

=====

STATEMENT 23

**SCHEDULE D
(Form 1041)**

Department of the Treasury
Internal Revenue Service

Capital Gains and Losses

► Attach to Form 1041, Form 5227, or Form 990-T. See the Instructions for Schedule D (Form 1041) (also for Form 5227 or Form 990-T, if applicable).

OMB No 1545-0092

2011

Name of estate or trust

THE HERBERT AND PEGGY STOCKHAM FOUNDATION

Employer identification number

63-1254357

Note: Form 5227 filers need to complete *only* Parts I and II.

Part I Short-Term Capital Gains and Losses - Assets Held One Year or Less

(a) Description of property (Example 100 shares 7% preferred of "Z" Co)	(b) Date acquired (mo, day, yr)	(c) Date sold (mo, day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) for the entire year Subtract (e) from (d)
1a SHORT-TERM CAPITAL GAIN DIVIDENDS					2,078.

b Enter the short-term gain or (loss), if any, from Schedule D-1, line 1b	1b	17,233.
2 Short-term capital gain or (loss) from Forms 4684, 6252, 6781, and 8824	2	
3 Net short-term gain or (loss) from partnerships, S corporations, and other estates or trusts	3	
4 Short-term capital loss carryover. Enter the amount, if any, from line 9 of the 2010 Capital Loss Carryover Worksheet	4	()
5 Net short-term gain or (loss). Combine lines 1a through 4 in column (f). Enter here and on line 13, column (3) on the back ►	5	19,311.

Part II Long-Term Capital Gains and Losses - Assets Held More Than One Year

(a) Description of property (Example 100 shares 7% preferred of "Z" Co)	(b) Date acquired (mo, day, yr)	(c) Date sold (mo, day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) for the entire year Subtract (e) from (d)
6a LONG-TERM CAPITAL GAIN DIVIDENDS					2,766.

b Enter the long-term gain or (loss), if any, from Schedule D-1, line 6b	6b	-14,310.
7 Long-term capital gain or (loss) from Forms 2439, 4684, 6252, 6781, and 8824	7	
8 Net long-term gain or (loss) from partnerships, S corporations, and other estates or trusts	8	
9 Capital gain distributions	9	
10 Gain from Form 4797, Part I	10	
11 Long-term capital loss carryover. Enter the amount, if any, from line 14 of the 2010 Capital Loss Carryover Worksheet	11	()
12 Net long-term gain or (loss). Combine lines 6a through 11 in column (f). Enter here and on line 14a, column (3) on the back ►	12	-11,544.

For Paperwork Reduction Act Notice, see the Instructions for Form 1041.

Schedule D (Form 1041) 2011

Part III Summary of Parts I and II		(1) Beneficiaries' (see instr.)	(2) Estate's or trust's	(3) Total
Caution: Read the instructions before completing this part.				
13	Net short-term gain or (loss)	13		19,311.
14	Net long-term gain or (loss):			
a	Total for year	14a		-11,544.
b	Unrecaptured section 1250 gain (see line 18 of the wrksht.)	14b		
c	28% rate gain	14c		
15	Total net gain or (loss). Combine lines 13 and 14a ▶	15		7,767.

Note: If line 15, column (3), is a net gain, enter the gain on Form 1041, line 4 (or Form 990-T, Part I, line 4a). If lines 14a and 15, column (2), are net gains, go to Part V, and do not complete Part IV. If line 15, column (3), is a net loss, complete Part IV and the **Capital Loss Carryover Worksheet**, as necessary.

Part IV Capital Loss Limitation	
16	Enter here and enter as a (loss) on Form 1041, line 4 (or Form 990-T, Part I, line 4c, if a trust), the smaller of: a The loss on line 15, column (3) or b \$3,000 16 ()

Note: If the loss on line 15, column (3), is more than \$3,000, or if Form 1041, page 1, line 22 (or Form 990-T, line 34), is a loss, complete the **Capital Loss Carryover Worksheet** in the instructions to figure your capital loss carryover.

Part V Tax Computation Using Maximum Capital Gains Rates	
Form 1041 filers. Complete this part only if both lines 14a and 15 in column (2) are gains, or an amount is entered in Part I or Part II and there is an entry on Form 1041, line 2b(2), and Form 1041, line 22, is more than zero. Caution: Skip this part and complete the Schedule D Tax Worksheet in the instructions if: • Either line 14b, col. (2) or line 14c, col. (2) is more than zero, or • Both Form 1041, line 2b(1), and Form 4952, line 4g are more than zero.	
Form 990-T trusts. Complete this part only if both lines 14a and 15 are gains, or qualified dividends are included in income in Part I of Form 990-T, and Form 990-T, line 34, is more than zero. Skip this part and complete the Schedule D Tax Worksheet in the instructions if either line 14b, col. (2) or line 14c, col. (2) is more than zero.	

17	Enter taxable income from Form 1041, line 22 (or Form 990-T, line 34)	17	
18	Enter the smaller of line 14a or 15 in column (2) but not less than zero 18		
19	Enter the estate's or trust's qualified dividends from Form 1041, line 2b(2) (or enter the qualified dividends included in income in Part I of Form 990-T) 19		
20	Add lines 18 and 19 20		
21	If the estate or trust is filing Form 4952, enter the amount from line 4g; otherwise, enter -0- . . . ▶ 21		
22	Subtract line 21 from line 20. If zero or less, enter -0- 22		
23	Subtract line 22 from line 17. If zero or less, enter -0- 23		
24	Enter the smaller of the amount on line 17 or \$2,300 24		
25	Is the amount on line 23 equal to or more than the amount on line 24? <input type="checkbox"/> Yes. Skip lines 25 and 26; go to line 27 and check the "No" box. <input type="checkbox"/> No. Enter the amount from line 23 25		
26	Subtract line 25 from line 24 26		
27	Are the amounts on lines 22 and 26 the same? <input type="checkbox"/> Yes. Skip lines 27 thru 30, go to line 31 <input type="checkbox"/> No. Enter the smaller of line 17 or line 22 27		
28	Enter the amount from line 26 (if line 26 is blank, enter -0-) 28		
29	Subtract line 28 from line 27 29		
30	Multiply line 29 by 15% (.15) 30		
31	Figure the tax on the amount on line 23. Use the 2011 Tax Rate Schedule for Estates and Trusts (see the Schedule G instructions in the instructions for Form 1041) 31		
32	Add lines 30 and 31 32		
33	Figure the tax on the amount on line 17. Use the 2011 Tax Rate Schedule for Estates and Trusts (see the Schedule G instructions in the instructions for Form 1041) 33		
34	Tax on all taxable income. Enter the smaller of line 32 or line 33 here and on Form 1041, Schedule G, line 1a (or Form 990-T, line 36) 34		

Schedule D (Form 1041) 2011

SCHEDULE D-1
(Form 1041)

Department of the Treasury
Internal Revenue Service

Continuation Sheet for Schedule D
(Form 1041)

► See instructions for Schedule D (Form 1041).
► Attach to Schedule D to list additional transactions for lines 1a and 6a.

OMB No 1545-0092

2011

Name of estate or trust
THE HERBERT AND PEGGY STOCKHAM FOUNDATION

Employer identification number
63-1254357

Part I Short-Term Capital Gains and Losses - Assets Held One Year or Less

(a) Description of property (Example. 100 sh 7% preferred of "Z" Co.)	(b) Date acquired (mo., day, yr.)	(c) Date sold (mo., day, yr.)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
1a 19. AFLAC INC COM	01/28/2011	12/16/2011	778.00	1,086.00	-308.00
71. AFLAC INC COM	01/28/2011	12/21/2011	2,957.00	4,059.00	-1,102.00
90. AMERICAN EXPRESS CO CO	01/28/2011	10/21/2011	4,256.00	3,948.00	308.00
36. AMERIPRISE FINANCIAL I	02/09/2010	01/28/2011	2,183.00	1,363.00	820.00
5. APPLE COMPUTER INC COM	07/12/2010	01/28/2011	1,680.00	1,304.00	376.00
3. APPLE COMPUTER INC COM	07/13/2011	12/16/2011	1,142.00	1,075.00	67.00
98. BMC SOFTWARE INC COM R 05/12/2005	01/28/2011	12/21/2011	3,231.00	4,623.00	-1,392.00
171. CVS CORP COM	08/26/2010	01/28/2011	5,965.00	4,800.00	1,165.00
42. CARDINAL HLTH INC COM	03/18/2010	01/28/2011	1,731.00	1,494.00	237.00
13. CIMAREX ENERGY CO	07/12/2010	01/28/2011	1,305.00	967.00	338.00
14. CIMAREX ENERGY CO	07/12/2010	04/07/2011	1,612.00	1,041.00	571.00
1254. CITIGROUP INC COM	05/04/2010	01/28/2011	5,932.00	5,458.00	474.00
152. CONSTELLATION ENERGY	05/04/2010	01/28/2011	4,928.00	5,470.00	-542.00
283. CORNING INC COM W/RTS 07/15/2006	07/13/2010	01/28/2011	6,172.00	4,939.00	1,233.00
83. CREDIT SUISSE COMM RT	02/01/2011	04/26/2011	837.00	790.00	47.00
29. DANAHER CORP COM	11/04/2010	01/28/2011	1,333.00	1,298.00	35.00
98. DIAMOND HILL LONG-SHOR #11	04/28/2011	12/16/2011	1,630.00	1,677.00	-47.00
119. DOW CHEM CO COM	02/15/2011	09/12/2011	3,015.00	4,572.00	-1,557.00
51. DREYFUS EMG MKT DEBT L	02/01/2011	04/26/2011	776.00	742.00	34.00
262. DREYFUS EMG MKT DEBT #6083	08/11/2011	12/16/2011	3,487.00	3,896.00	-409.00
359. FORD MTR CO DEL COM	07/12/2010	01/28/2011	5,934.00	3,958.00	1,976.00
24. FORD MTR CO DEL COM	02/24/2011	04/26/2011	384.00	350.00	34.00
160. FOREST LABS CL A	11/04/2010	01/28/2011	5,130.00	5,417.00	-287.00
93. GENERAL ELEC CO COM	05/25/2010	01/28/2011	1,878.00	1,441.00	437.00

1b Total. Combine the amounts in column (f). Enter here and on Schedule D, line 1b

For Paperwork Reduction Act Notice, see the Instructions for Form 1041.

Schedule D-1 (Form 1041) 2011

SCHEDULE D-1
(Form 1041)

Department of the Treasury
Internal Revenue Service

Continuation Sheet for Schedule D
(Form 1041)

▶ See instructions for Schedule D (Form 1041).

▶ Attach to Schedule D to list additional transactions for lines 1a and 6a.

OMB No 1545-0092

2011

Name of estate or trust

THE HERBERT AND PEGGY STOCKHAM FOUNDATION

Employer identification number

63-1254357

Part I Short-Term Capital Gains and Losses - Assets Held One Year or Less

(a) Description of property (Example 100 sh 7% preferred of "Z" Co)	(b) Date acquired (mo, day, yr)	(c) Date sold (mo, day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
1a 170. HALLIBURTON CO COM W/ 12/15/2005	11/04/2010	01/28/2011	7,468.00	5,582.00	1,886.00
15. HONEYWELL INTL INC COM	01/28/2011	12/16/2011	793.00	831.00	-38.00
933. HUSSMAN STRATEGIC GRO	04/28/2011	10/21/2011	11,774.00	11,096.00	678.00
215. HUSSMAN STRATEGIC GRO	02/01/2011	12/16/2011	2,737.00	2,552.00	185.00
195. IAC/INTERACTIVECORP	08/26/2010	01/28/2011	5,487.00	4,822.00	665.00
26. INTL FLAVORS & FRAGRAN	04/16/2010	01/28/2011	1,463.00	1,319.00	144.00
83. INTL FLAVORS & FRAGRAN	04/16/2010	02/24/2011	4,620.00	4,211.00	409.00
95. ISHARES S&P 500 INDEX	01/28/2011	08/09/2011	10,882.00	12,217.00	-1,335.00
35. ISHARES MSCI EAFE INDE	01/28/2011	04/26/2011	2,176.00	2,067.00	109.00
400. ISHARES MSCI EAFE IND	01/28/2011	08/09/2011	20,599.00	23,628.00	-3,029.00
146. ISHARES MSCI EAFE IND	01/28/2011	12/16/2011	7,056.00	8,624.00	-1,568.00
21. ISHARES TR-S&P MIDCAP IND	01/28/2011	04/26/2011	2,353.00	2,130.00	223.00
19. ISHARES TR-S&P MIDCAP IND	01/28/2011	12/16/2011	1,838.00	1,927.00	-89.00
15. ISHARES S&P MIDCAP 400	01/28/2011	04/26/2011	1,297.00	1,220.00	77.00
27. ISHARES S&P MIDCAP 400	01/28/2011	12/16/2011	1,991.00	2,195.00	-204.00
50. ISHARES S & P SMALLCAP FUND	01/28/2011	04/26/2011	3,689.00	3,424.00	265.00
59. ISHARES S & P SMALLCAP FUND	01/28/2011	12/16/2011	3,926.00	4,041.00	-115.00
13. JOHNSON & JOHNSON COM	04/07/2011	12/16/2011	828.00	776.00	52.00
22. KRAFT FOODS INC-A COM	01/28/2011	12/16/2011	800.00	674.00	126.00
5758. LAUDUS MONDRIAN INTL #2940	04/28/2011	08/09/2011	72,954.00	68,668.00	4,286.00
400. LAUDUS MONDRIAN INTL #2940	02/01/2011	10/21/2011	4,960.00	4,768.00	192.00
184. LAUDUS MONDRIAN INTL #2940	02/01/2011	12/16/2011	2,122.00	2,193.00	-71.00
6. MEADWESTVACO CORP COM W 1/29/200	01/28/2011	04/26/2011	197.00	173.00	24.00
33. MEADWESTVACO CORP COM 1/29/200	01/28/2011	07/13/2011	1,099.00	951.00	148.00

1b Total. Combine the amounts in column (f). Enter here and on Schedule D, line 1b

For Paperwork Reduction Act Notice, see the Instructions for Form 1041.

Schedule D-1 (Form 1041) 2011

SCHEDULE D-1
(Form 1041)

Department of the Treasury
Internal Revenue Service

Continuation Sheet for Schedule D
(Form 1041)

▶ See instructions for Schedule D (Form 1041).

▶ Attach to Schedule D to list additional transactions for lines 1a and 6a.

OMB No. 1545-0092

2011

Name of estate or trust

Employer identification number

THE HERBERT AND PEGGY STOCKHAM FOUNDATION

63-1254357

Part I Short-Term Capital Gains and Losses - Assets Held One Year or Less

(a) Description of property (Example 100 sh 7% preferred of "Z" Co)	(b) Date acquired (mo., day, yr)	(c) Date sold (mo., day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
1a 11. MEDCO HEALTH SOLUTIONS	07/12/2010	01/28/2011	677.00	627.00	50.00
129. MERGER FD SH BEN INT	02/01/2011	10/21/2011	2,047.00	2,058.00	-11.00
98. MERGER FD SH BEN INT	02/01/2011	12/16/2011	1,566.00	1,563.00	3.00
72. ORACLE CORP COM	07/12/2010	01/28/2011	2,305.00	1,680.00	625.00
16299.137 PIMCO FDS PAC IN LOW DURATION FD INSTL CL	03/30/2010	01/28/2011	169,674.00	170,000.00	-326.00
20709.293 PIMCO FDS PAC IN TOTAL RETURN FD INSTL CL	09/28/2010	01/28/2011	224,903.00	231,280.00	-6,377.00
536. PIMCO FOREIGN BOND FU	08/11/2011	10/21/2011	5,687.00	5,692.00	-5.00
213. PIMCO FOREIGN BOND FU	08/11/2011	12/16/2011	2,275.00	2,262.00	13.00
23. PNC FINL SVCS GROUP IN W/RIGHTS ATTACHED EXP 5/25/	04/16/2010	01/28/2011	1,390.00	1,440.00	-50.00
65. PNC FINL SVCS GROUP IN W/RIGHTS ATTACHED EXP 5/25/	04/16/2010	04/07/2011	4,160.00	4,069.00	91.00
2046.036 PIMCO COMMODITY R STRAT-I#45	03/30/2010	01/28/2011	19,069.00	16,000.00	3,069.00
67. T ROWE PRICE GRP INC C	04/26/2011	09/12/2011	3,268.00	4,533.00	-1,265.00
409. RIDGEWORTH SEIX HY BD	04/28/2011	12/16/2011	3,816.00	4,107.00	-291.00
2682.648 ROYCE PREMIER FUN #566	03/30/2010	01/28/2011	54,780.00	47,000.00	7,780.00
207. SPDR DJ WILSHIRE INTE REAL	01/28/2011	08/09/2011	7,263.00	7,976.00	-713.00
75. SPDR DJ WILSHIRE INTER REAL	05/02/2011	12/16/2011	2,341.00	3,121.00	-780.00
161. SEALED AIR CORP NEW C	01/28/2011	02/15/2011	4,566.00	4,307.00	259.00
15. TARGET CORP COM	01/28/2011	12/16/2011	780.00	817.00	-37.00
287. TYSON FOODS INC COM C	07/12/2010	01/28/2011	4,722.00	5,050.00	-328.00
61. UNION PAC CORP COM	11/10/2010	01/28/2011	5,717.00	5,524.00	193.00
12. UNITEDHEALTH GRP INC C	01/28/2011	05/25/2011	573.00	493.00	80.00
17. UNITEDHEALTH GRP INC C	01/28/2011	07/13/2011	886.00	699.00	187.00
31. VANGUARD INTERMEDIATE	01/28/2011	08/09/2011	2,692.00	2,581.00	111.00
170. VANGUARD INTERMEDIATE	01/28/2011	10/21/2011	14,743.00	14,155.00	588.00

1b Total. Combine the amounts in column (f). Enter here and on Schedule D, line 1b

For Paperwork Reduction Act Notice, see the Instructions for Form 1041.

Schedule D-1 (Form 1041) 2011

Continuation Sheet for Schedule D
(Form 1041)

OMB No. 1545-0092

2011

► See instructions for Schedule D (Form 1041).

▶ **Attach to Schedule D** to list additional transactions for lines 1a and 6a.

Name of estate or trust

Employer identification number

THE HERBERT AND PEGGY STOCKHAM FOUNDATION

63-1254357

Part I Short-Term Capital Gains and Losses - Assets Held One Year or Less[illegible]

1b Total. Combine the amounts in column (f). Enter here and on Schedule D, line 1b	17,233.00
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For Paperwork Reduction Act Notice, see the Instructions for Form 1041.

Schedule D-1 (Form 1041) 2011

Name of estate or trust as shown on Form 1041 Do not enter name and employer identification number if shown on the other side

Employer identification number

THE HERBERT AND PEGGY STOCKHAM FOUNDATION

63-1254357

Part II Long-Term Capital Gains and Losses - Assets Held More Than One Year

(a) Description of property (Example: 100 sh 7% preferred of "Z" Co)	(b) Date acquired (mo., day, yr.)	(c) Date sold (mo., day, yr.)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
6a 95. AMERIPRISE FINANCIAL I	02/09/2010	12/21/2011	4,689.00	3,596.00	1,093.00
24. AMGEN INC COM W/RTS AT 03/21/2007	12/15/2008	01/28/2011	1,334.00	1,389.00	-55.00
6321.493 ARTIO INTERNATIONAL 1529	05/24/2007	01/28/2011	77,691.00	105,000.00	-27,309.00
54. BRISTOL-MYERS SQUIBB C	01/24/2008	01/28/2011	1,397.00	1,246.00	151.00
12. CARDINAL HLTH INC COM	03/18/2010	09/12/2011	475.00	427.00	48.00
22. CHEVRONTEXACO CORP COM	08/27/2007	01/28/2011	2,062.00	1,919.00	143.00
6. CHEVRONTEXACO CORP COM	08/27/2007	05/25/2011	611.00	523.00	88.00
8. CHEVRONTEXACO CORP COM	08/27/2007	12/21/2011	841.00	698.00	143.00
40. CIMAREX ENERGY CO	07/12/2010	09/12/2011	2,526.00	2,975.00	-449.00
74. CISCO SYS INC COM W/RI ATTACHED EXPIRING 6/10/2008	06/03/2009	01/28/2011	1,547.00	1,423.00	124.00
28. CONOCOPHILLIPS COM	05/12/2006	01/28/2011	1,973.00	1,846.00	127.00
12. CONOCOPHILLIPS COM	05/12/2006	12/16/2011	824.00	791.00	33.00
17. DANAHER CORP COM	11/04/2010	12/16/2011	787.00	761.00	26.00
2180.685 DODGE & COX INT'L 1048	05/24/2007	01/28/2011	78,025.00	105,000.00	-26,975.00
2745.098 DODGE & COX INCOM	08/17/2009	01/28/2011	36,482.00	35,000.00	1,482.00
3025.601 EII INTERNATIONAL #30	05/24/2007	01/28/2011	55,096.00	78,000.00	-22,904.00
230. GAP INC COM	01/27/2009	01/28/2011	4,416.00	4,240.00	176.00
33. HEWLETT-PACKARD CO COM	03/07/2003	01/28/2011	1,508.00	518.00	990.00
75. HEWLETT-PACKARD CO COM	01/27/2009	05/25/2011	2,677.00	1,582.00	1,095.00
56. HOME DEPOT INC COM	03/30/2009	01/28/2011	2,058.00	1,298.00	760.00
20. HOME DEPOT INC COM	03/30/2009	12/16/2011	807.00	464.00	343.00
64. INTEL CORP COM	10/17/2007	01/28/2011	1,374.00	1,698.00	-324.00
13. INTL BUSINESS MACHINES	05/11/2006	01/28/2011	2,071.00	1,076.00	995.00
5. INTL BUSINESS MACHINES	01/27/2009	12/16/2011	919.00	458.00	461.00
1035. ISHARES MIDCAP INDEX	05/24/2007	01/28/2011	106,712.00	113,485.00	-6,773.00

6b Total. Combine the amounts in column (f). Enter here and on Schedule D, line 6b

Schedule D-1 (Form 1041) 2011

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Name of estate or trust as shown on Form 1041 Do not enter name and employer identification number if shown on the other side

Employer identification number

THE HERBERT AND PEGGY STOCKHAM FOUNDATION

63-1254357

Part II Long-Term Capital Gains and Losses - Assets Held More Than One Year

(a) Description of property (Example: 100 sh. 7% preferred of "Z" Co.)	(b) Date acquired (mo., day, yr.)	(c) Date sold (mo., day, yr.)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
6a 44. JP MORGAN CHASE & CO C	10/29/2003	01/28/2011	1,964.00	1,412.00	552.00
23. JOHNSON & JOHNSON COM	05/25/1994	01/28/2011	1,381.00	253.00	1,128.00
6. JOHNSON & JOHNSON COM	05/25/1994	04/26/2011	385.00	66.00	319.00
11689.15 JPMORGAN HIGH YIE #3580	01/16/2009	01/28/2011	97,721.00	92,618.00	5,103.00
25. MCKESSON HBOC INC COM	10/19/2009	01/28/2011	1,861.00	1,533.00	328.00
7. MCKESSON HBOC INC COM	10/19/2009	09/12/2011	511.00	429.00	82.00
78. MEDCO HEALTH SOLUTIONS	07/12/2010	10/21/2011	3,719.00	4,445.00	-726.00
53. MICROSOFT CORP COM	05/29/2003	01/28/2011	1,468.00	1,297.00	171.00
5. MICROSOFT CORP COM	05/29/2003	04/26/2011	131.00	122.00	9.00
1448.436 MUNDER MIDCAP COR FD-Y #32	01/08/2009	01/28/2011	41,208.00	25,000.00	16,208.00
13. NIKE INC CL B COM	05/24/2007	01/28/2011	1,060.00	709.00	351.00
53. NIKE INC CL B COM	01/27/2009	04/07/2011	4,146.00	2,810.00	1,336.00
25. OCCIDENTAL PETE CORP C	07/26/2007	01/28/2011	2,360.00	1,495.00	865.00
6. OCCIDENTAL PETE CORP CO	07/26/2007	05/25/2011	609.00	359.00	250.00
9. OCCIDENTAL PETE CORP CO	07/26/2007	12/16/2011	801.00	538.00	263.00
27. ORACLE CORP COM	07/12/2010	12/16/2011	789.00	630.00	159.00
5216.671 PIMCO EMERG MKTS	05/24/2007	01/28/2011	57,383.00	58,218.00	-835.00
7656.968 PIMCO COMMODITY R STRAT-I#45	01/08/2009	01/28/2011	71,363.00	50,000.00	21,363.00
30. PROCTER & GAMBLE CO CO	09/13/2006	01/28/2011	1,924.00	1,836.00	88.00
50. ROSS STORES INC COM	05/09/2008	01/28/2011	3,270.00	1,750.00	1,520.00
63. ROSS STORES INC COM	01/27/2009	07/13/2011	4,971.00	2,158.00	2,813.00
6333.202 ROWE T PRICE REAL COM	01/08/2009	01/28/2011	112,541.00	119,528.00	-6,987.00
4340.464 SSGA EMERGING MAR #1510	01/08/2009	01/28/2011	95,360.00	88,448.00	6,912.00
224. SEALED AIR CORP NEW C	05/04/2009	01/18/2011	6,001.00	4,596.00	1,405.00
60. TEXAS INSTRS INC COM	07/01/2009	01/28/2011	2,060.00	1,304.00	756.00
6b Total. Combine the amounts in column (f) Enter here and on Schedule D, line 6b					

Schedule D-1 (Form 1041) 2011

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