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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 DEC 1, 2011, and ending NOV 30, 2012

Name of foundation
DAVID BRUCE SMITH FAMILY FOUNDATION

Number and street (or P.O. box number if mail is not delivered to street address)
2345 CRYSTAL DRIVE, ELEVENTH FLOOR

City or town, state, and ZIP code
ARLINGTON, VA 22202

Room/suite

A Employer identification number
52-2070209

B Telephone number
703-769-1023

C If exemption application is pending, check here ☐

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

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

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

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

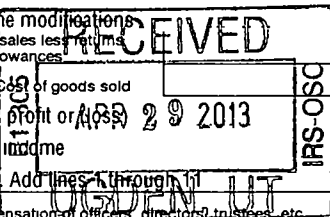
H Check type of organization: ☒ Section 501(c)(3) exempt private foundation
☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation

I Fair market value of all assets at end of year (from Part II, col (c), line 16)
\$ **628,644.** (Part I, column (d) must be on cash basis)

J Accounting method: ☒ Cash ☐ Accrual
☐ Other (specify)

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))		(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		39,481.		N/A	
2 Check ☐ if the foundation is not required to attach Sch. B					
3 Interest on savings and temporary cash investments		349.	349.		
4 Dividends and interest from securities		5,063.	5,063.		
5a Gross rents					
b Net rental income or (loss)					
6a Net gain or (loss) from sale of assets not on line 10		17,564.			STATEMENT 1
b Gross sales price for all assets on line 6a		318,127.			
7 Capital gain net income (from Part IV, line 2)			64,893.		
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)					
11 Other income					
12 Total. Add lines 1 through 11		62,457.	70,305.		
13 Compensation of officers, directors, trustees, etc.		0.	0.		0.
14 Other employee salaries and wages					
15 Pension plans, employee benefits					
16a Legal fees					
b Accounting fees		4,250.	2,125.		2,125.
c Other professional fees					
17 Interest					
18 Taxes		30.	30.		0.
19 Depreciation and depletion					
20 Occupancy					
21 Travel, conferences, and meetings					
22 Printing and publications					
23 Other expenses		5,140.	4,116.		0.
24 Total operating and administrative expenses. Add lines 13 through 23		9,420.	6,271.		2,125.
25 Contributions, gifts, grants paid		49,650.			49,650.
26 Total expenses and disbursements. Add lines 24 and 25		59,070.	6,271.		51,775.
27 Subtract line 26 from line 12		3,387.			
a Excess of revenue over expenses and disbursements			64,034.		
b Net investment income (if negative, enter -0-)					
c Adjusted net income (if negative, enter -0-)				N/A	

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Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only		
		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	365,714.	309,485.	309,485.
	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			
	7 Other notes and loans receivable ▶			
	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			
	b Investments - corporate stock STMT 5	231,642.	291,258.	319,159.
	c Investments - corporate bonds			
Liabilities	11 Investments - land, buildings, and equipment basis ▶			
	Less accumulated depreciation ▶			
	12 Investments - mortgage loans			
	13 Investments - other			
	14 Land, buildings, and equipment basis ▶			
	Less accumulated depreciation ▶			
	15 Other assets (describe ▶)			
	16 Total assets (to be completed by all filers)	597,356.	600,743.	628,644.
	17 Accounts payable and accrued expenses			
	18 Grants payable			
Net Assets or Fund Balances	19 Deferred revenue			
	20 Loans from officers, directors, trustees, and other disqualified persons			
	21 Mortgages and other notes payable			
	22 Other liabilities (describe ▶)			
23 Total liabilities (add lines 17 through 22)	0.	0.		
Foundations that follow SFAS 117, check here ▶ ☐	24 Unrestricted			
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ ☒			
	27 Capital stock, trust principal, or current funds	0.	0.	
	28 Paid-in or capital surplus, or land, bldg, and equipment fund	0.	0.	
	29 Retained earnings, accumulated income, endowment, or other funds	597,356.	600,743.	
	30 Total net assets or fund balances	597,356.	600,743.	
31 Total liabilities and net assets/fund balances	597,356.	600,743.		

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	597,356.
2 Enter amount from Part I, line 27a	2	3,387.
3 Other increases not included in line 2 (itemize) ▶	3	0.
4 Add lines 1, 2, and 3	4	600,743.
5 Decreases not included in line 2 (itemize) ▶	5	0.
6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	600,743.

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 GAIN/LOSS DETAIL - SEE ATTACHED	P	VARIOUS	VARIOUS
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 318,127.		253,234.	64,893.
b			
c			
d			
e			

(i) FMV as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
a			64,893.
b			
c			
d			
e			

2 Capital gain net income or (net capital loss)	{ If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7	2	64,893.
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6)		3	N/A

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 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	251,986.	600,136.	.419881
2009	429,520.	757,808.	.566793
2008	465,504.	1,136,786.	.409491
2007	345,594.	1,533,174.	.225411
2006	140,817.	1,659,600.	.084850

2 Total of line 1, column (d)**2** 1.706426**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** .341285**4** Enter the net value of noncharitable-use assets for 2011 from Part X, line 5**4** 612,404.**5** Multiply line 4 by line 3**5** 209,004.**6** Enter 1% of net investment income (1% of Part I, line 27b)**6** 640.**7** Add lines 5 and 6**7** 209,644.**8** Enter qualifying distributions from Part XII, line 4**8** 51,775.

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 ☐ and enter "N/A" on line 1 Date of ruling or determination letter _____ (attach copy of letter if necessary-see instructions)	1	1,281.
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☐ and enter 1% of Part I, line 27b		
c	All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col (b)	2	0.
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	3	1,281.
3	Add lines 1 and 2	4	0.
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	5	1,281.
5	Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-		
6	Credits/Payments		
a	2011 estimated tax payments and 2010 overpayment credited to 2011	6a	47.
b	Exempt foreign organizations - tax withheld at source	6b	
c	Tax paid with application for extension of time to file (Form 8868)	6c	
d	Backup withholding erroneously withheld	6d	
7	Total credits and payments. Add lines 6a through 6d	7	47.
8	Enter any penalty for underpayment of estimated tax. Check here ☐ if Form 2220 is attached	8	
9	Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9	1,234.
10	Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	
11	Enter the amount of line 10 to be credited to 2012 estimated tax ☐ Refunded ☐	11	

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
1b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see 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
1c 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 ☐ \$ 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		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) ☐ MD		
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

Form 990-PF (2011)

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)			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)			X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► N/A		X	
14	The books are in care of ► MENACHEM M GOTTLIEB Telephone no ► 703-769-1023 Located at ► 2345 CRYSTAL DRIVE, 11TH FLOOR, ARLINGTON, VA ZIP+4 ► 22202			
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 N/A			
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 ►		Yes	No
		16		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? ☐ 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)? Organizations relying on a current notice regarding disaster assistance check here N/A	1b	
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? ☐ Yes ☒ No	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? ☐ Yes ☒ No If "Yes," list the years ►		
b	Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see instructions) N/A	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 ►		
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 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.) N/A	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

Form 990-PF (2011)

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)? ☐ 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)? ☐ N/A ☒ **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? ☐ N/A ☐ 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 **6b** **X**

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? ☐ N/A ☐ Yes ☐ No **7b**

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.

(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
DAVID BRUCE SMITH	PRESIDENT			
5 BURNING TREE CT				
BETHESDA, MD 20817	2.00	0.	0.	0.
ELIZABETH M. SMITH	SECRETARY/TREASURER			
5 BURNING TREE CT				
BETHESDA, MD 20817	0.00	0.	0.	0.

2 Compensation of five highest-paid employees (other than those included on line 1). 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

Form 990-PF (2011)

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	292,603.
b	Average of monthly cash balances	1b	329,127.
c	Fair market value of all other assets	1c	
d	Total (add lines 1a, b, and c)	1d	621,730.
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	621,730.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	9,326.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	612,404.
6	Minimum investment return. Enter 5% of line 5	6	30,620.

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	30,620.
2a	Tax on investment income for 2011 from Part VI, line 5	2a	1,281.
b	Income tax for 2011 (This does not include the tax from Part VI)	2b	
c	Add lines 2a and 2b	2c	1,281.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	29,339.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	29,339.
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	29,339.

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	51,775.
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	51,775.
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	5	0.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	51,775.

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.

Form 990-PF (2011)

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				29,339.
2 Undistributed income, if any, as of the end of 2011				
a Enter amount for 2010 only			0.	
b Total for prior years		0.		
3 Excess distributions carryover, if any, to 2011				
a From 2006	84,003.			
b From 2007	269,539.			
c From 2008	407,739.			
d From 2009	391,630.			
e From 2010	221,985.			
f Total of lines 3a through e	1,374,896.			
4 Qualifying distributions for 2011 from Part XII, line 4 ▶ \$	51,775.			
a Applied to 2010, 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 2011 distributable amount				29,339.
e Remaining amount distributed out of corpus	22,436.			
5 Excess distributions carryover applied to 2011 (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	1,397,332.			
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 2010 Subtract line 4a from line 2a Taxable amount - see instr			0.	
f Undistributed income for 2011 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2012				0.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3)	0.			
8 Excess distributions carryover from 2006 not applied on line 5 or line 7	84,003.			
9 Excess distributions carryover to 2012. Subtract lines 7 and 8 from line 6a	1,313,329.			
10 Analysis of line 9				
a Excess from 2007	269,539.			
b Excess from 2008	407,739.			
c Excess from 2009	391,630.			
d Excess from 2010	221,985.			
e Excess from 2011	22,436.			

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				
AMERICAN FRIENDS OF HEBREW UNIVERSITY 5100 WISCONSIN AVENUE, NW #250 WASHINGTON, DC 20016		501(C)3	DONATION	20,200.
ARENA STAGE 1101 6TH STREET NW WASHINGTON, DC 20024		501(C)3	DONATION	2,850.
CENTER FOR CREATIVE CHANGE 4115 WISCONSIN AVE. NW SUITE 102 WASHINGTON, DC 20016		501(C)3	DONATION	1,000.
CLEAN & SOBER STREETS P.O. BOX 77114 WASHINGTON, DC 20013		501(C)3	DONATION	3,600.
MARYLAND STATE WRESTLING ASSOCIATION 10811 RED RUN BLVD, # 200 OWINGS MILL, MD 21117		501(C)3	DONATION	2,500.
Total	SEE CONTINUATION SHEET(S)			49,650.
b Approved for future payment				
NONE				
Total				0.

3 Grants and Contributions Paid During the Year (Continuation)

Total from continuation sheets

Schedule B
(Form 990, 990-EZ,
or 990-PF)

Department of the Treasury
Internal Revenue Service

Schedule of Contributors

▶ Attach to Form 990, Form 990-EZ, or Form 990-PF.

OMB No 1545-0047

2011

Name of the organization

Employer identification number

DAVID BRUCE SMITH FAMILY FOUNDATION

52-2070209

Organization type (check one):

Filers of:

Section:

Form 990 or 990-EZ

☐ 501(c)() (enter number) organization

☐ 4947(a)(1) nonexempt charitable trust **not** treated as a private foundation

☐ 527 political organization

Form 990-PF

☒ 501(c)(3) exempt private foundation

☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation

☐ 501(c)(3) taxable private foundation

Check if your organization is covered by the **General Rule** or a **Special Rule**.

Note. Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule. See instructions

General Rule

☒ For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, \$5,000 or more (in money or property) from any one contributor. Complete Parts I and II.

Special Rules

☐ For a section 501(c)(3) organization filing Form 990 or 990-EZ that met the 33 1/3% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi) and received from any one contributor, during the year, a contribution of the greater of (1) \$5,000 or (2) 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1. Complete Parts I and II.

☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than \$1,000 for use *exclusively* for religious, charitable, scientific, literary, or educational purposes, or the prevention of cruelty to children or animals. Complete Parts I, II, and III.

☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions for use *exclusively* for religious, charitable, etc., purposes, but these contributions did not total to more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Do not complete any of the parts unless the **General Rule** applies to this organization because it received nonexclusively religious, charitable, etc., contributions of \$5,000 or more during the year. ▶ \$ _____

Caution. An organization that is not covered by the General Rule and/or the Special Rules does not file Schedule B (Form 990, 990-EZ, or 990-PF), but it **must** answer "No" on Part IV, line 2, of its Form 990; or check the box on line H of its Form 990-EZ or on Part I, line 2 of its Form 990-PF, to certify that it does not meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF).

LHA For Paperwork Reduction Act Notice, see the Instructions for Form 990, 990-EZ, or 990-PF. Schedule B (Form 990, 990-EZ, or 990-PF) (2011)

Name of organization

Employer identification number

DAVID BRUCE SMITH FAMILY FOUNDATION

52-2070209

Part I Contributors (see instructions) Use duplicate copies of Part I if additional space is needed.

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	DAVID BRUCE SMITH 5 BURNING TREE COURT BETHESDA, MD 20817	\$ 39,481.	Person ☒ Payroll ☐ Noncash ☒ (Complete Part II if there is a noncash contribution.)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution.)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution.)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution.)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution.)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution.)

Employer identification number

52-2070209

Part II

[illegible]

Name of organization

Employer identification number

DAVID BRUCE SMITH FAMILY FOUNDATION**52-2070209****Part III**

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

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

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee

David Bruce Smith Family Foundation

EIN: 52-2070209

Schedule B

FYE 11/30/2012

Schedule B Part II Non-cash Contributions Received

Description of Property	Date Acquired	FMV
Fastenal Company (769 Shares)	3/27/12	\$ 40,649
Core Laboratories N.V. (91 Shares)	3/27/12	11,720
National Oilwell Varco, Inc. (109 Shares)	3/27/12	8,923
Apple, Inc. (37 Shares)	3/27/12	22,421
UnitedHealth Group Inc. (203 Shares)	3/27/12	11,120
TJX Companies, Inc. (237 Shares)	3/27/12	9,117
Total non-cash contributions		\$ 103,950

FORM 990-PF	GAIN OR (LOSS) FROM SALE OF ASSETS	STATEMENT	1
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(A) DESCRIPTION OF PROPERTY	MANNER ACQUIRED		DATE ACQUIRED	DATE SOLD
	PURCHASED		VARIOUS	VARIOUS
GAIN/LOSS DETAIL - SEE ATTACHED				
(B) GROSS SALES PRICE	(C) COST OR OTHER BASIS	(D) EXPENSE OF SALE	(E) DEPREC.	(F) GAIN OR LOSS
318,127.	300,563.	0.	0.	17,564.
CAPITAL GAINS DIVIDENDS FROM PART IV				0.
TOTAL TO FORM 990-PF, PART I, LINE 6A				17,564.

FORM 990-PF	ACCOUNTING FEES	STATEMENT	2
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ACCOUNTING FEES	4,250.	2,125.		2,125.
TO FORM 990-PF, PG 1, LN 16B	4,250.	2,125.		2,125.

FORM 990-PF	TAXES	STATEMENT	3
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FOREIGN TAX EXPENSE	30.	30.		0.
TO FORM 990-PF, PG 1, LN 18	30.	30.		0.

FORM 990-PF	OTHER EXPENSES			STATEMENT	4
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES	
MISCELLANEOUS EXPENSES	1,024.	0.		0.	
INVESTMENT ADVISORY FEES	4,116.	4,116.		0.	
TO FORM 990-PF, PG 1, LN 23	5,140.	4,116.		0.	

FORM 990-PF	CORPORATE STOCK		STATEMENT	5
DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE		
DEBT AND EQUITY SECURITIES	291,258.	319,159.		
TOTAL TO FORM 990-PF, PART II, LINE 10B	291,258.	319,159.		

Rockefeller & Co.
Realized Gain/Loss Report
David Bruce Smith Family Fdn (6726)

Symbol	Security Name	Shares	Acquisition Date	Liquidation Date	Original Cost	Proceeds	Cost	Realized Gain/Loss S/T	L/T
Regular Gain/Loss									
AAPL	Apple Inc								
	6726/20 1	1 0000	05/03/2011	03/21/2012	348 41	606 34	348 41	257 93	
	6726/20 1	1 0000	05/03/2011	04/20/2012	348 41	583 58	348 41	235 17	
	6726/20 1	1 0000	05/14/2012	05/25/2012	562 52	559 65	562 52	(2 87)	
	6726/20 1	2 0000	02/04/2011	10/03/2012	690 72	1,333 52	690 72		642 80
	6726/20 1	5 0000	06/20/2011	10/03/2012	1,578 99	3,333 80	1,578 99	1,754 81	
	AAPL Totals	10 0000			3,529 05	6,416 89	3,529 05	490 23	2,397 61
ACE	ACE Limited								
	6726/20 1	6 0000	04/28/2011	10/03/2012	403 78	463 79	403 78	60 01	
	6726/20 1	3 0000	04/29/2011	10/03/2012	202 51	231 89	202 51	29 38	
	6726/20 1	3 0000	05/03/2011	10/03/2012	201 33	231 90	201 33	30 57	
	6726/20 1	3 0000	05/10/2011	10/03/2012	204 22	231 90	204 22	27 68	
	6726/20 1	2 0000	08/24/2011	10/03/2012	125 12	154 60	125 12	29 48	
	6726/20 1	3 0000	08/25/2011	10/03/2012	189 62	231 89	189 62	42 27	
	ACE Totals	20 0000			1,326 58	1,545 97	1,326 58	0 00	219 39
ACN	Accenture Plc								
	6726/20 1	4 0000	05/03/2011	01/12/2012	223 12	215 82	223 12	(7 30)	
	6726/20 1	4 0000	06/20/2011	01/12/2012	215 69	215 82	215 69	0 13	
	6726/20 1	12 0000	06/20/2011	01/13/2012	647 08	639 98	647 08	(7 10)	
	6726/20 1	4 0000	08/25/2010	01/27/2012	148 74	226 88	148 74	78 14	
	6726/20 1	12 0000	06/20/2011	01/27/2012	647 08	680 64	647 08	33 56	
	ACN Totals	36 0000			1,881 71	1,979 14	1,881 71	19 29	78 14
AEP	American Electric Power Compan								
	6726/20 1	2 0000	08/25/2010	02/29/2012	70 27	75 10	70 27	4 83	
	6726/20 1	8 0000	05/03/2011	02/29/2012	295 92	300 40	295 92	4 48	
	6726/20 1	11 0000	11/17/2011	02/29/2012	421 13	413 05	421 13	(8 08)	
	6726/20 1	32 0000	08/25/2010	10/03/2012	1,124 37	1,419 90	1,124 37	295 53	
	6726/20 1	18 0000	06/01/2012	10/03/2012	691 74	798 70	691 74	106 96	
	AEP Totals	71 0000			2,603 43	3,007 15	2,603 43	103 36	300 36
ALXN	Alexion Pharmaceuticals, Inc								
	6726/21 01	2 0000	10/26/2012	11/07/2012	191 72	176 91	191 72	(14 81)	
AMGN	Amgen Inc								
	6726/20 1	8 0000	08/25/2010	04/20/2012	409 98	547 00	409 98		137 02

Rockefeller & Co.
Realized Gain/Loss Report
David Bruce Smith Family Fdn (6726)

Symbol	Security Name	Shares	Acquisition Date	Liquidation Date	Original Cost	Proceeds	Cost	Realized Gain/Loss ST	LT
AMGN	Amgen Inc. (cont'd)	(cont'd)							
	6726/20 1	5 0000	05/03/2011	04/20/2012	287 03	341 87	287 03	54 84	
	6726/20 1	9 0000	08/25/2010	05/14/2012	461 23	633 41	461 23		172 18
	6726/20 1	12 0000	08/25/2010	06/29/2012	614 97	872 74	614 97		257 77
	Totals	34 0000			1,773 21	2,395 02	1,773 21	54 84	566 97
AMP	Ameriprise Financial, Inc								
	6726/20 1	9 0000	02/10/2012	08/27/2012	486 42	487 69	486 42	1 27	
	6726/20 1	1 0000	02/13/2012	08/27/2012	54 68	54 19	54 68	(0 49)	
	6726/20 1	14 0000	01/13/2012	10/03/2012	721 12	793 01	721 12	71 89	
	Totals	24 0000			1,262 22	1,334 89	1,262 22	72 67	0 00
AON OLD	Aon Corporation								
	6726/20 1	16 0000	11/11/2011	02/10/2012	771 96	777 68	771 96	5 72	
	6726/20 1	7 0000	12/14/2011	02/10/2012	313 77	340 24	313 77	26 47	
	6726/20 1	8 0000	12/14/2011	02/13/2012	358 60	390 88	358 60	32 28	
	Totals	31 0000			1,444 33	1,508 80	1,444 33	64 47	0 00
APA	Apache Corporation								
	6726/20 1	9 0000	08/25/2010	08/08/2012	777 64	796 65	777 64		19 01
APC	Anadarko Petroleum Corporation								
	6726/20 1	6 0000	11/11/2011	04/20/2012	485 59	433 30	485 59	(52 29)	
	6726/20 1	13 0000	11/11/2011	10/03/2012	1,052 10	899 45	1,052 10	(152 65)	
	Totals	19 0000			1,537 69	1,332 75	1,537 69	(204 94)	0 00
AVB	Avalonbay Communities, Inc								
	6726/20 1	5 0000	08/25/2010	05/14/2012	521 75	722 60	521 75		200 85
	6726/20 1	9 0000	08/25/2010	10/03/2012	939 15	1,230 15	939 15		291 00
	6726/20 1	1 0000	12/14/2011	10/03/2012	124 70	136 68	124 70	11 98	
	Totals	15 0000			1,585 60	2,089 43	1,585 60	11 98	491 85
AXP	American Express Co								
	6726/20 1	31 0000	08/25/2010	10/03/2012	1,226 67	1,779 05	1,226 67		552 38
	6726/20 1	9 0000	05/03/2011	10/03/2012	447 75	516 50	447 75		68 75
	6726/20 1	11 0000	08/25/2011	10/03/2012	538 63	631 27	538 63		92 64
	6726/20 1	8 0000	04/20/2012	10/03/2012	461 21	459 11	461 21	(2 10)	
	Totals	59 0000			2,674 26	3,385 93	2,674 26	(2 10)	713 77
BBBY	Bed Bath & Beyond Inc								
	6726/20 1	8 0000	03/21/2012	08/27/2012	529 31	533 26	529 31	3 95	

Rockefeller & Co.
Realized Gain/Loss Report
David Bruce Smith Family Fdn (6726)

Symbol	Security Name	Shares	Acquisition Date	Liquidation Date	Original Cost	Proceeds	Cost	Realized Gain/Loss S/T	L/T
BBBY	Bed Bath & Beyond Inc (cont'd)	(cont'd)							
	6726/20 1	4 0000	03/21/2012	08/28/2012	264 66	266 84	264 66	2 18	
	6726/21 01	3 0000	10/26/2012	11/02/2012	172 05	173 21	172 05	1 16	
	6726/21 01	3 0000	10/26/2012	11/07/2012	172 05	174 74	172 05	2 69	
	6726/21 01	3 0000	10/26/2012	11/13/2012	172 05	173 57	172 05	1 52	
	Totals	21 0000			1,310 12	1,321 62	1,310 12	11 50	0 00
BEN	Franklin Resources, Inc								
	6726/20 1	5 0000	08/25/2011	01/12/2012	587 87	482 64	587 87	(105 23)	
	6726/20 1	8 0000	08/25/2011	01/13/2012	940 58	761 22	940 58	(179 36)	
	Totals	13 0000			1,528 45	1,243 86	1,528 45	(284 59)	0 00
BHP	BHP Billiton Limited - Spon AD								
	6726/20 1	5 0000	08/25/2010	04/20/2012	325 23	368 89	325 23	43 66	
	6726/20 1	2 0000	05/03/2011	04/20/2012	195 79	147 56	195 79	(48 23)	
	6726/20 1	16 0000	08/25/2010	10/03/2012	1,040 72	1,091 66	1,040 72	50 94	
	Totals	23 0000			1,561 74	1,608 11	1,561 74	(48 23)	94 60
BIDU	Baidu com, Inc								
	6726/21 01	1 0000	10/26/2012	11/01/2012	113 13	106 24	113 13	(6 89)	
BTU	Peabody Energy Corporation								
	6726/20 1	15 0000	08/25/2010	06/01/2012	623 85	346 96	623 85	(276 89)	
	6726/20 1	6 0000	05/03/2011	06/01/2012	388 05	138 78	388 05	(249 27)	
	6726/20 1	11 0000	08/09/2011	06/01/2012	482 27	254 44	482 27	(227 83)	
	Totals	32 0000			1,494 17	740 18	1,494 17	(526 16)	
BXP	Boston Properties, Inc								
	6726/20 1	8 0000	08/25/2010	10/03/2012	648 08	885 90	648 08	237 82	
	6726/20 1	5 0000	05/03/2011	10/03/2012	516 15	553 69	516 15	37 54	
	6726/20 1	3 0000	08/25/2011	10/03/2012	305 49	332 21	305 49	26 72	
	6726/20 1	5 0000	12/14/2011	10/03/2012	465 71	553 69	465 71	87 98	
	Totals	21 0000			1,935 43	2,325 49	1,935 43	302 08	
C	Citigroup Inc								
	6726/20 1	49 0000	11/11/2011	10/03/2012	1,446 47	1,658 75	1,446 47	212 28	
	6726/20 1	37 0000	03/21/2012	10/03/2012	1,390 90	1,252 53	1,390 90	(138 37)	
	Totals	86 0000			2,837 37	2,911 28	2,837 37	73 91	0 00
CCL	Carnival Corp								
	6726/20 1	23 0000	08/25/2010	01/27/2012	700 34	699 36	700 34	(0 98)	

Rockefeller & Co
Realized Gain/Loss Report
David Bruce Smith Family Fdn (6726)

Symbol	Security Name	Shares	Acquisition Date	Liquidation Date	Original Cost	Proceeds	Cost	Realized Gain/Loss S/T	L/T
CCL	Carnival Corp. (cont'd) 6726/20 1	5 0000	05/03/2011	01/27/2012	193 35	152 04	193 35	(41 31)	
	CCL Totals	28 0000			893 69	851 40	893 69	(41 31)	(0 98)
CE	Celanese Corp Ser - A 6726/20 1	8 0000	12/14/2011	02/23/2012	335 89	380 79	335 89	44 90	
	6726/20 1	9 0000	12/14/2011	06/21/2012	377 87	321 91	377 87	(55 96)	
	6726/20 1	9 0000	04/20/2012	06/21/2012	434 24	321 92	434 24	(112 32)	
	6726/20 1	6 0000	12/14/2011	06/22/2012	251 91	209 64	251 91	(42 27)	
	CE Totals	32 0000			1,399 91	1,234 26	1,399 91	(165 65)	0 00
CELG	Celgene Corp 6726/20 1	12 0000	06/29/2012	10/03/2012	766 27	944 09	766 27	177 82	
	6726/20 1	11 0000	07/12/2012	10/03/2012	693 20	865 42	693 20	172 22	
	CELG Totals	23 0000			1,459 47	1,809 51	1,459 47	350 04	0 00
CLB	Core Laboratories N V 6726/21 01	91 0000	03/21/2012	10/26/2012	4,967 05	9,448 32	4,967 05	4,481 27	
CMCSA	Comcast Corporation - CL A 6726/20 1	13 0000	04/28/2011	10/03/2012	339 88	471 26	339 88	131 38	
	6726/20 1	8 0000	04/29/2011	10/03/2012	208 93	290 01	208 93	81 08	
	6726/20 1	9 0000	05/03/2011	10/03/2012	239 01	326 26	239 01	87 25	
	6726/20 1	13 0000	01/12/2012	10/03/2012	331 49	471 26	331 49	139 77	
	6726/20 1	3 0000	01/13/2012	10/03/2012	76 26	108 75	76 26	32 49	
	6726/20 1	16 0000	08/27/2012	10/03/2012	545 10	580 02	545 10	34 92	
	CMCSA Totals	62 0000			1,740 67	2,247 56	1,740 67	207 18	299 71
COP	ConocoPhillips 6726/20 1	12 0000	08/25/2010	02/23/2012	638 94	893 95	638 94	255 01	
COV	Covidien PLC 6726/20 1	26 0000	08/25/2010	10/03/2012	965 57	1,554 80	965 57	589 23	
	6726/20 1	3 0000	05/03/2011	10/03/2012	166 96	179 40	166 96	12 44	
	COV Totals	29 0000			1,132 53	1,734 20	1,132 53	0 00	601 67
CTL	CenturyLink Inc 6726/20 1	12 0000	02/13/2012	08/27/2012	456 44	503 76	456 44	47 32	
	6726/20 1	25 0000	02/10/2012	10/03/2012	947 36	1,001 57	947 36	54 21	
	6726/20 1	7 0000	02/13/2012	10/03/2012	266 25	280 44	266 25	14 19	
	CTL Totals	44 0000			1,670 05	1,785 77	1,670 05	115 72	0 00

Rockefeller & Co.
Realized Gain/Loss Report
David Bruce Smith Family Fdn (6726)

Symbol	Security Name	Shares	Acquisition Date	Liquidation Date	Original Cost	Proceeds	Cost	Realized Gain/Loss S/T	L/T
CVS	CVS/Caremark Corp 6726/20 1	35 0000	08/25/2010	10/03/2012	979 84	1,709 87	979 84		730 03
	6726/20 1	13 0000	05/03/2011	10/03/2012	474 56	635 09	474 56		160 53
	6726/20 1	28 0000	05/14/2012	10/03/2012	1,264 68	1,367 90	1,264 68	103 22	
	Totals	76 0000			2,719 08	3,712 86	2,719 08	103 22	890 56
CVX	Chevron Corporation 6726/20 1	1 0000	11/11/2011	07/12/2012	106 98	105 30	106 98	(1 68)	
	6726/20 1	4 0000	02/23/2012	07/12/2012	433 44	421 18	433 44	(12 26)	
	Totals	5 0000			540 42	526 48	540 42	(13 94)	0 00
CXO	Concho Resources Inc 6726/21 01	2 0000	10/26/2012	11/07/2012	173 55	175 00	173 55	1 45	
DE	Deere & Company 6726/20 1	3 0000	01/12/2012	02/23/2012	253 57	251 59	253 57	(1 98)	
	6726/20 1	1 0000	01/13/2012	02/23/2012	84 00	83 86	84 00	(0 14)	
	6726/20 1	9 0000	12/14/2011	10/03/2012	671 48	733 93	671 48	62 45	
	6726/20 1	5 0000	03/21/2012	10/03/2012	410 46	407 74	410 46	(2 72)	
	Totals	18 0000			1,419 51	1,477 12	1,419 51	57 61	0 00
DIS	The Walt Disney Company 6726/20 1	2 0000	05/03/2011	06/29/2012	86 01	96 74	86 01		10 73
	6726/20 1	7 0000	05/14/2012	06/29/2012	317 34	338 60	317 34	21 26	
	6726/20 1	18 0000	08/25/2010	10/03/2012	571 68	944 34	571 68		372 66
	6726/20 1	12 0000	05/03/2011	10/03/2012	516 06	629 56	516 06		113 50
	6726/20 1	29 0000	12/14/2011	10/03/2012	1,034 11	1,521 43	1,034 11	487 32	
	6726/20 1	11 0000	01/27/2012	10/03/2012	433 24	577 09	433 24	143 85	
	Totals	79 0000			2,958 44	4,107 76	2,958 44	652 43	496 89
DLTR	Dollar Tree, Inc 6726/21 01	6 0000	10/26/2012	11/07/2012	238 38	232 30	238 38	(6 08)	
	6726/21 01	6 0000	10/26/2012	11/16/2012	238 38	234 91	238 38	(3 47)	
	Totals	12 0000			476 76	467 21	476 76	(9 55)	0 00
DTV	DirecTV 6726/21 01	746 0000	01/12/2010	10/26/2012	31,533 00	38,240 97	31,533 00		6,707.97
	6726/21 01	9 0000	01/12/2010	11/07/2012	380 43	446 37	380 43		65 94
	Totals	755 0000			31,913 43	38,687 34	31,913 43	0 00	6,773.91

Rockefeller & Co.
Realized Gain/Loss Report
David Bruce Smith Family Fdn (6726)

Symbol	Security Name	Shares	Acquisition Date	Liquidation Date	Original Cost	Proceeds	Cost	Realized Gain/Loss S/T	L/T
EOG	EOG Resources Inc 6726/20 1	11 0000	08/27/2012	10/03/2012	1,201 37	1,227 57	1,201 37	26 20	
	6726/20 1	1 0000	08/28/2012	10/03/2012	109 23	111 60	109 23	2 37	
	EOG Totals	12 0000			1,310 60	1,339 17	1,310 60	28 57	0 00
ETN OLD	Eaton Corporation 6726/20 1	17 0000	08/08/2012	10/03/2012	766 55	793 12	766 55	26 57	
F	Ford Motor Company 6726/20 1	73 0000	01/27/2012	07/12/2012	901 40	667 85	901 40	(233 55)	
	6726/20 1	34 0000	02/29/2012	07/12/2012	421 18	311 05	421 18	(110 13)	
	F Totals	107 0000			1,322 58	978 90	1,322 58	(343 68)	0 00
FAST	Fastenal Company 6726/21 01	769 0000	03/21/2012	10/26/2012	14,619 92	33,188 38	14,619 92	18,568 46	
FB	Facebook Inc - Class A 6726/21 01	450 0000	05/17/2012	10/26/2012	17,100 00	9,956 03	17,100 00	(7,143 97)	
FCX	Freeport-McMoran Copper & Gold 6726/20 1	38 0000	08/25/2010	10/03/2012	1,261 60	1,488 90	1,261 60	227 30	
	6726/20 1	4 0000	05/03/2011	10/03/2012	211 06	156 73	211 06	(54 33)	
	FCX Totals	42 0000			1,472 66	1,645 63	1,472 66	0 00	172 97
FDX	FedEx Corporation 6726/20 1	8 0000	06/01/2012	10/03/2012	684 63	682 87	684 63	(1 76)	
FFIV	F5 Networks, Inc 6726/21 01	2 0000	10/26/2012	11/07/2012	164 36	177 56	164 36	13 20	
FITB	Fifth Third Bancorp 6726/20 1	67 0000	08/25/2010	10/03/2012	726 65	1,054 18	726 65	327 53	
	6726/20 1	9 0000	05/03/2011	10/03/2012	120 33	141 61	120 33	21 28	
	FITB Totals	76 0000			846 98	1,195 79	846 98	0 00	348 81
GD	General Dynamics Corporation 6726/20 1	6 0000	08/25/2010	02/10/2012	340 44	421 60	340 44	81 16	
	6726/20 1	5 0000	05/03/2011	02/10/2012	371 03	351 33	371 03	(19 70)	
	6726/20 1	5 0000	08/25/2010	02/13/2012	283 70	352 30	283 70	68 60	
	6726/20 1	10 0000	08/25/2010	10/03/2012	567 40	665 74	567 40	98 34	
	GD Totals	26 0000			1,562 57	1,790 97	1,562 57	(19 70)	248 10
GE	General Electric Co 6726/20 1	21 0000	05/03/2011	07/12/2012	431 08	409 85	431 08	(21 23)	

Rockefeller & Co.
Realized Gain/Loss Report
David Bruce Smith Family Fdn (6726)

Symbol	Security Name	Shares	Acquisition Date	Liquidation Date	Original Cost	Proceeds	Cost	Realized Gain/Loss S/T	L/T
GE	General Electric Co (cont'd) 6726/20 1	21 0000	05/03/2011	08/08/2012	431 08	440 70	431 08		9 62
	GE Totals	42 0000			862 16	850 55	862 16	0 00	(11 61)
GILD	Gilead Sciences Inc 6726/20 1	17 0000	04/20/2012	10/03/2012	879 79	1,192 49	879 79	312 70	
	6726/20 1	8 0000	05/14/2012	10/03/2012	420 97	561 17	420 97	140 20	
	GILD Totals	25 0000			1,300 76	1,753 66	1,300 76	452 90	0 00
GOOG	Google Inc - Class A 6726/20 1	3 0000	05/25/2012	10/03/2012	1,774 73	2,281 16	1,774 73	506 43	
	6726/21 01	15 0000	08/25/2011	10/26/2012	8,109 01	10,127 02	8,109 01		2,018 01
	GOOG Totals	18 0000			9,883 74	12,408 18	9,883 74	506 43	2,018 01
GS	Goldman Sachs Group 6726/20 1	10 0000	08/25/2010	10/03/2012	1,442 30	1,177 56	1,442 30	(264 74)	
	6726/20 1	1 0000	05/03/2011	10/03/2012	151 78	117 76	151 78	(34 02)	
	6726/20 1	4 0000	08/27/2012	10/03/2012	422 86	471 03	422 86	48 17	
	GS Totals	15 0000			2,016 94	1,766 35	2,016 94	48 17	(298 76)
GWW	Grainger W W Inc 6726/21 01	2 0000	10/26/2012	11/13/2012	394 18	387 57	394 18	(6 61)	
HAL	Halliburton Co 6726/20 1	17 0000	01/26/2011	03/21/2012	700 09	579 37	700 09	(120 72)	
	6726/20 1	12 0000	05/03/2011	03/21/2012	576 12	408 97	576 12	(167 15)	
	HAL Totals	29 0000			1,276 21	988 34	1,276 21	(167 15)	(120 72)
HES	Hess Corp 6726/20 1	10 0000	08/25/2010	05/17/2012	500 85	467 16	500 85	(33 69)	
	6726/20 1	9 0000	05/03/2011	05/17/2012	720 21	420 45	720 21	(299 76)	
	HES Totals	19 0000			1,221 06	887 61	1,221 06	0 00	(333 45)
HON	Honeywell Inc 6726/20 1	15 0000	02/10/2012	10/03/2012	888 06	919 33	888 06	31 27	
	6726/20 1	11 0000	06/01/2012	10/03/2012	595 62	674 17	595 62	78 55	
	HON Totals	26 0000			1,483 68	1,593 50	1,483 68	109 82	0 00
HPQ	Hewlett-Packard Company 6726/20 1	14 0000	01/12/2012	06/21/2012	377 48	288 06	377 48	(89 42)	
	6726/20 1	13 0000	01/13/2012	06/21/2012	348 59	267 48	348 59	(81 11)	
	6726/20 1	28 0000	02/23/2012	06/21/2012	768 75	576 12	768 75	(192 63)	

Rockefeller & Co.
Realized Gain/Loss Report
David Bruce Smith Family Fdn (6726)

Symbol	Security Name	HPQ	Totals	Shares	Acquisition Date	Liquidation Date	Original Cost	Proceeds	Cost	Realized Gain/Loss S/T	LT
HUM	Humana Inc			55 0000			1,494 82	1,131 66	1,494 82	(363 16)	0 00
	6726/20 1				03/15/2011	08/27/2012	192 17	209 79	192 17		17 62
	6726/20 1			3 0000	03/16/2011	08/27/2012	572 76	629 35	572 76		56 59
	6726/20 1			3 0000	05/03/2011	08/27/2012	226 68	209 79	226 68		(16 89)
IBM	Int'l Business Machines Corp			15 0000			991 61	1,048 93	991 61	0 00	57 32
	6726/20 1				08/25/2010	10/03/2012	1,125 57	1,896 69	1,125 57		771 12
	6726/20 1			9 0000	06/20/2011	10/03/2012	660 40	842 97	660 40		182 57
	6726/21 01			1 0000	10/26/2012	11/07/2012	192 58	192 16	192 58	(0 42)	
JCI	IBM			14 0000			1,978 55	2,931 82	1,978 55	(0 42)	953 69
	Johnson Controls, Inc				01/13/2012	08/08/2012	733 60	538 39	733 60	(195 21)	
JNJ	Johnson & Johnson			1 0000	08/25/2010	06/21/2012	58 00	66 26	58 00		8 26
	6726/20 1			10 0000	05/03/2011	06/21/2012	661 75	662 56	661 75		0 81
	6726/20 1			11 0000			719 75	728 82	719 75	0 00	9 07
JPM	J P Morgan Chase & Co			11 0000	08/25/2010	10/03/2012	395 63	448 60	395 63		52 97
	6726/20 1			22 0000	05/03/2011	10/03/2012	1,008 62	897 19	1,008 62		(111 43)
	6726/20 1			33 0000			1,404 25	1,345 79	1,404 25	0 00	(58 46)
KEY	Keycorp			122 0000	08/25/2010	10/03/2012	883 90	1,070 26	883 90		186 36
	6726/20 1			70 0000	05/03/2011	10/03/2012	618 41	614 08	618 41		(4 33)
KSS	Kohl's Corp			192 0000			1,502 31	1,684 34	1,502 31	0 00	182 03
	6726/20 1				03/15/2011	01/27/2012	320 34	278 86	320 34	(41 48)	
	6726/20 1			6 0000	03/16/2011	01/27/2012	266 90	232 39	266 90	(34 51)	
	6726/20 1			11 0000	05/03/2011	01/27/2012	583 22	511 25	583 22	(71 97)	
LOW	KSS			22 0000			1,170 46	1,022 50	1,170 46	(147 96)	0 00
	Lowe's Companies				08/27/2012	10/03/2012	863 18	950 91	863 18		87 73
LYB	LyondellBasell Industries NL			31 0000							
	6726/20 1			19 0000	06/21/2012	10/03/2012	750 78	999 45	750 78		248 67

Rockefeller & Co.
Realized Gain/Loss Report
David Bruce Smith Family Fdn (6726)

Symbol	Security Name	Shares	Acquisition Date	Liquidation Date	Original Cost	Proceeds	Cost	Realized Gain/Loss S/T	L/T
LYB	LyondellBasell Industries NL (cont'd)	9 0000	07/12/2012	10/03/2012	356 99	473 43	356 99	116 44	
	6726/20 1	1 0000	07/13/2012	10/03/2012	40 26	52 60	40 26	12 34	
	LYB Totals	29 0000			1,148 03	1,525 48	1,148 03	377 45	0 00
M	Macy's Inc	11 0000	02/29/2012	04/20/2012	419 00	436 33	419 00	17 33	
	6726/20 1	22 0000	12/14/2011	10/03/2012	683 07	860 50	683 07	177 43	
	6726/20 1	12 0000	01/27/2012	10/03/2012	402 73	469 36	402 73	66 63	
	6726/20 1	13 0000	06/01/2012	10/03/2012	480 79	508 48	480 79	27 69	
	M Totals	58 0000			1,985 59	2,274 67	1,985 59	289 08	0 00
MET	MetLife, Inc	10 0000	08/25/2010	02/23/2012	363 47	379 59	363 47	16 12	
	6726/20 1	10 0000	05/03/2011	02/23/2012	463 97	379 60	463 97	(84 37)	
	6726/20 1	33 0000	08/25/2010	10/03/2012	1,199 43	1,128 88	1,199 43	(70 55)	
	6726/20 1	10 0000	08/25/2011	10/03/2012	333 29	342 08	333 29	8 79	
	MET Totals	63 0000			2,360 16	2,230 15	2,360 16	(84 37)	(45 64)
MINST	Monster Beverage Corporation	6 0000	10/26/2012	11/12/2012	274 38	271 74	274 38	(2 64)	
MRO	Marathon Oil Corp	27 0000	02/23/2012	10/03/2012	938 33	795 26	938 33	(143 07)	
	6726/20 1	26 0000	05/14/2012	10/03/2012	663 21	765 80	663 21	102 59	
	MRO Totals	53 0000			1,601 54	1,561 06	1,601 54	(40 48)	0 00
MSFT	Microsoft Corp	19 0000	07/20/2011	05/25/2012	514 13	554 13	514 13	40 00	
NGG	National Grid PLC - SP ADR	16 0000	09/13/2010	10/03/2012	699 32	900 24	699 32	200 92	
	6726/20 1	4 0000	05/03/2011	10/03/2012	203 08	225 06	203 08	21 98	
	6726/20 1	10 0000	01/27/2012	10/03/2012	483 50	562 65	483 50	79 15	
	6726/20 1	7 0000	01/30/2012	10/03/2012	338 10	393 85	338 10	55 75	
	NGG Totals	37 0000			1,724 00	2,081 80	1,724 00	134 90	222 90
NOV	National Oilwell Varco, Inc	11 0000	06/21/2012	10/03/2012	713 60	873 75	713 60	160 15	
	6726/20 1	7 0000	07/12/2012	10/03/2012	469 33	556 02	469 33	86 69	
	6726/20 1	7 0000	08/08/2012	10/03/2012	535 49	556 02	535 49	20 53	

Rockefeller & Co.
Realized Gain/Loss Report
David Bruce Smith Family Fdn (6726)

Symbol	Security Name	Shares	Acquisition Date	Liquidation Date	Original Cost	Proceeds	Cost	Realized Gain/Loss S/T	Realized Gain/Loss LT
NOV	National Oilwell Varco, Inc (cont'd)	(cont'd)							
	6726/21 01	3 0000	03/21/2012	10/26/2012	0 00	224 63	0 00	224 63	
	6726/21 01	55 0000	03/21/2012	10/26/2012	1,326 40	4,118 21	1,326 40	2,791 81	
	6726/21 01	34 0000	03/21/2012	10/26/2012	1,452 10	2,545 81	1,452 10	1,093 71	
	Totals	117 0000			4,496 92	8,874 44	4,496 92	4,377 52	0 00
NSRGY	Nestle SA-Spons ADR For Reg								
	6726/20 1	19 0000	08/25/2010	10/03/2012	961 02	1,211 60	961 02		250 58
NVO	Novo Nordisk A/S-Spons ADR								
	6726/21 01	2 0000	10/26/2012	11/07/2012	321 28	298 24	321 28	(23 04)	
	6726/21 01	2 0000	10/26/2012	11/08/2012	321 28	294 40	321 28	(26 88)	
	Totals	4 0000			642 56	592 64	642 56	(49 92)	0 00
ORCL	Oracle Corporation								
	6726/20 1	4 0000	03/25/2011	05/25/2012	132 94	104 77	132 94		(28 17)
	6726/20 1	13 0000	05/03/2011	05/25/2012	467 85	340 50	467 85		(127 35)
	6726/20 1	17 0000	03/25/2011	08/08/2012	565 00	529 59	565 00		(35 41)
	6726/20 1	24 0000	08/25/2010	10/03/2012	537 80	762 08	537 80		224 28
	6726/20 1	26 0000	06/20/2011	10/03/2012	830 38	825 58	830 38		(4 80)
	6726/20 1	14 0000	12/14/2011	10/03/2012	429 14	444 55	429 14	15 41	
	6726/20 1	14 0000	02/23/2012	10/03/2012	401 31	444 54	401 31	43 23	
	Totals	112 0000			3,364 42	3,451 61	3,364 42	58 64	28 55
OXY	Occidental Petroleum Corp								
	6726/20 1	27 0000	08/25/2010	10/03/2012	1,963 25	2,258 35	1,963 25		295 10
	6726/20 1	5 0000	05/03/2011	10/03/2012	558 81	418 21	558 81		(140 60)
	6726/20 1	5 0000	07/12/2012	10/03/2012	420 02	418 21	420 02	(1 81)	
	6726/20 1	6 0000	08/08/2012	10/03/2012	548 38	501 86	548 38	(46 52)	
	6726/20 1	6 0000	08/27/2012	10/03/2012	527 24	501 86	527 24	(25 38)	
	Totals	49 0000			4,017 70	4,098 49	4,017 70	(73 71)	154 50
PCAR	PACCAR Inc								
	6726/20 1	2 0000	02/13/2012	08/08/2012	87 04	80 71	87 04	(6 33)	
	6726/20 1	9 0000	02/23/2012	08/08/2012	414 23	363 21	414 23	(51 02)	
	6726/20 1	7 0000	02/10/2012	10/03/2012	302 18	286 50	302 18	(15 68)	
	6726/20 1	12 0000	02/13/2012	10/03/2012	522 26	491 15	522 26	(31 11)	
	Totals	30 0000			1,325 71	1,221 57	1,325 71	(104 14)	0 00

Rockefeller & Co.
Realized Gain/Loss Report
David Bruce Smith Family Fdn (6726)

Symbol	Security Name	Shares	Acquisition Date	Liquidation Date	Original Cost	Proceeds	Cost	Realized Gain/Loss S/T	L/T
PCG	PG&E Corporation 6726/20 1	4 0000	08/25/2010	01/27/2012	187 64	163 50	187 64	(24 14)	
	6726/20 1	23 0000	08/25/2010	10/03/2012	1,078 93	977 71	1,078 93	(101 22)	
	6726/20 1	6 0000	05/03/2011	10/03/2012	276 81	255 05	276 81	(21 76)	
	PCG Totals	33 0000			1,543 38	1,396 26	1,543 38	0 00	(147 12)
PCLN	Priceline com Inc 6726/21 01	1 0000	10/26/2012	11/02/2012	579 87	648 56	579 87	68 69	
PEG	Public Service Enterprise Group 6726/20 1	14 0000	08/25/2011	01/27/2012	464 80	426 18	464 80	(38 62)	
	6726/20 1	17 0000	08/25/2011	02/23/2012	564 41	519 41	564 41	(45 00)	
	6726/20 1	3 0000	08/25/2011	03/21/2012	99 60	89 28	99 60	(10 32)	
	6726/20 1	21 0000	11/22/2011	03/21/2012	673 51	624 92	673 51	(48 59)	
	PEG Totals	55 0000			1,802 32	1,659 79	1,802 32	(142 53)	0 00
PEP	Pepsico, Inc 6726/20 1	12 0000	08/25/2010	02/23/2012	775 32	755 29	775 32	(20 03)	
	6726/20 1	3 0000	05/03/2011	02/23/2012	208 67	188 82	208 67	(19 85)	
	PEP Totals	15 0000			983 99	944 11	983 99	(19 85)	(20 03)
PETM	Petsmart, Inc 6726/21 01	3 0000	10/26/2012	11/02/2012	198 20	201 58	198 20	3 38	
	6726/21 01	2 0000	10/26/2012	11/06/2012	132 13	133 97	132 13	1 84	
	6726/21 01	2 0000	10/26/2012	11/12/2012	132 13	130 41	132 13	(1 72)	
	6726/21 01	3 0000	10/26/2012	11/13/2012	198 19	197 60	198 19	(0 59)	
	PETM Totals	10 0000			660 65	663 56	660 65	2 91	0 00
PFE	Pfizer Inc 6726/20 1	143 0000	08/25/2010	10/03/2012	2,287 36	3,614 25	2,287 36	1,326 89	
	6726/20 1	54 0000	05/03/2011	10/03/2012	1,097 57	1,364 82	1,097 57	267 25	
	PFE Totals	197 0000			3,384 93	4,979 07	3,384 93	0 00	1,594 14
PNC	PNC Financial Services Group 6726/20 1	18 0000	08/25/2010	10/03/2012	899 64	1,161 15	899 64	261 51	
	6726/20 1	8 0000	08/09/2011	10/03/2012	385 18	516 07	385 18	130 89	
	6726/20 1	7 0000	01/27/2012	10/03/2012	413 03	451 56	413 03	38 53	
	PNC Totals	33 0000			1,697 85	2,128 78	1,697 85	38 53	392 40
PPL	PPL Corporation 6726/20 1	6 0000	08/09/2011	04/20/2012	153 47	163 04	153 47	9 57	

Rockefeller & Co
Realized Gain/Loss Report
David Bruce Smith Family Fdn (6726)

Symbol	Security Name	Shares	Acquisition Date	Liquidation Date	Original Cost	Proceeds	Cost	Realized Gain/Loss ST	Realized Gain/Loss LT
PPL	PPL Corporation (cont'd)	(cont'd)							
	6726/20 1	14 0000	08/25/2011	04/20/2012	390 88	380 41	390 88	(10 47)	
	6726/20 1	17 0000	09/12/2011	04/20/2012	470 70	461 93	470 70	(8 77)	
	6726/20 1	20 0000	08/09/2011	04/23/2012	511 56	540 41	511 56	28 85	
	PPL Totals	57 0000			1,526 61	1,545 79	1,526 61	19 18	0 00
PRU	Prudential Financial, Inc								
	6726/20 1	27 0000	08/25/2010	10/03/2012	1,340 43	1,466 60	1,340 43		126 17
PSA	Public Storage Inc								
	6726/20 1	3 0000	07/12/2012	10/03/2012	435 74	420 38	435 74	(15 36)	
	6726/20 1	2 0000	07/13/2012	10/03/2012	292 97	280 25	292 97	(12 72)	
	6726/20 1	2 0000	08/09/2012	10/03/2012	289 80	280 26	289 80	(9 54)	
	6726/20 1	3 0000	08/08/2012	10/03/2012	434 36	420 38	434 36	(13 98)	
	PSA Totals	10 0000			1,452 87	1,401 27	1,452 87	(51 60)	0 00
PSX	Phillips 66								
	6726/20 1	0 5000	05/14/2012	05/24/2012	15 70	15 73	15 70	0 03	
	6726/20 1	11 5000	08/25/2010	10/03/2012	293 58	522 14	293 58		228 56
	6726/20 1	13 5000	05/14/2012	10/03/2012	423 79	612 94	423 79	189 15	
	6726/20 1	18 0000	06/21/2012	10/03/2012	601 31	817 25	601 31	215 94	
	6726/20 1	21 0000	08/08/2012	10/03/2012	836 85	953 46	836 85	116 61	
	PSX Totals	64 5000			2,171 23	2,921 52	2,171 23	521 73	228 56
RAI	Reynolds American Inc								
	6726/20 1	2 0000	12/06/2010	05/14/2012	65 38	80 96	65 38		15 58
	6726/20 1	13 0000	05/03/2011	05/14/2012	484 80	526 24	484 80		41 44
	6726/20 1	12 0000	12/03/2010	05/15/2012	387 13	485 80	387 13		98 67
	6726/20 1	9 0000	12/06/2010	05/15/2012	294 23	364 35	294 23		70 12
	6726/20 1	7 0000	05/03/2011	05/15/2012	261 05	283 38	261 05		22 33
	6726/20 1	8 0000	12/14/2011	05/15/2012	324 30	323 87	324 30	(0 43)	
	RAI Totals	51 0000			1,816 89	2,064 60	1,816 89	(0 43)	248 14
RCI	Rogers Communications- B								
	6726/20 1	2 0000	08/13/2012	10/03/2012	81 31	81 74	81 31	0 43	
	6726/20 1	5 0000	08/10/2012	10/03/2012	202 30	204 34	202 30	2 04	
	6726/20 1	4 0000	08/09/2012	10/03/2012	161 16	163 47	161 16	2 31	
	6726/20 1	5 0000	08/08/2012	10/03/2012	199 89	204 34	199 89	4 45	

Rockefeller & Co.
Realized Gain/Loss Report
David Bruce Smith Family Fdn (6726)

Symbol	Security Name	Shares	Acquisition Date	Liquidation Date	Original Cost	Proceeds	Cost	Realized Gain/Loss S/T	L/T
RCI	Rogers Communications- B (cont'd) 6726/20 1	3 0000	08/14/2012	10/03/2012	122 11	122 61	122 11	0 50	
	Totals	19 0000			766 77	776 50	766 77	9 73	0 00
RF	Regions Financial Corporation 6726/20 1	154 0000	02/23/2012	10/03/2012	909 82	1,128 79	909 82	218 97	
	6726/20 1	66 0000	03/21/2012	10/03/2012	432 01	483 77	432 01	51 76	
	Totals	220 0000			1,341 83	1,612 56	1,341 83	270 73	0 00
RHT	Red Hat Inc 6726/21 01	4 0000	10/26/2012	11/07/2012	200 25	195 94	200 25	(4 31)	
	6726/21 01	3 0000	10/26/2012	11/30/2012	150 19	148 08	150 19	(2 11)	
	Totals	7 0000			350 44	344 02	350 44	(6 42)	0 00
RL	Ralph Lauren Corporation 6726/21 01	1 0000	10/26/2012	11/07/2012	151 95	156 99	151 95	5 04	
SBUX	Starbucks Corporation 6726/21 01	4 0000	10/26/2012	10/31/2012	182 14	180 35	182 14	(1 79)	
	6726/21 01	9 0000	10/26/2012	11/02/2012	409 82	462 05	409 82	52 23	
	Totals	13 0000			591 96	642 40	591 96	50 44	0 00
SLB	Schlumberger Ltd 6726/20 1	11 0000	03/21/2012	10/03/2012	814 96	783 44	814 96	(31 52)	
	6726/20 1	7 0000	06/29/2012	10/03/2012	451 89	498 56	451 89	46 67	
	Totals	18 0000			1,266 85	1,282 00	1,266 85	15 15	0 00
SPG	Simon Property Group, Inc 6726/20 1	3 0000	12/14/2011	04/20/2012	363 30	450 75	363 30	87 45	
	6726/20 1	1 0000	02/16/2011	05/14/2012	107 66	155 38	107 66	47 72	
	6726/20 1	2 0000	05/03/2011	05/14/2012	229 66	310 75	229 66	81 09	
	6726/20 1	2 0000	02/16/2011	07/12/2012	215 32	314 96	215 32	99 64	
	6726/20 1	3 0000	08/25/2011	07/12/2012	350 65	472 43	350 65	121 78	
	6726/20 1	1 0000	02/15/2011	08/08/2012	106 89	158 13	106 89	51 24	
	6726/20 1	4 0000	02/16/2011	08/08/2012	430 63	632 52	430 63	201 89	
	Totals	16 0000			1,804 11	2,494 92	1,804 11	209 23	481 58
SRE	Sempra Energy 6726/20 1	27 0000	08/25/2010	10/03/2012	1,380 51	1,782 77	1,380 51	402 26	
	6726/20 1	6 0000	05/03/2011	10/03/2012	333 36	396 17	333 36	62 81	
	Totals	33 0000			1,713 87	2,178 94	1,713 87	0 00	465 07

Internal Distribution Only

Realized Gain/Loss Report
David Bruce Smith Family Fdn (6726)

Symbol	Security Name	Shares	Acquisition Date	Liquidation Date	Original Cost	Proceeds	Cost	Realized Gain/Loss ST	Realized Gain/Loss LT
STT	State Street Corp 6726/20 1	4 0000	01/12/2012	10/03/2012	174 48	167 62	174 48	(6 86)	
	6726/20 1	13 0000	01/13/2012	10/03/2012	559 35	544 75	559 35	(14 60)	
	6726/20 1	11 0000	08/27/2012	10/03/2012	453 64	460 94	453 64	7 30	
	STT Totals	28 0000			1,187 47	1,173 31	1,187 47	(14 16)	0 00
T	AT&T Inc 6726/20 1	4 0000	05/03/2011	06/21/2012	127 36	140 69	127 36		13 33
	6726/20 1	5 0000	11/17/2011	06/21/2012	142 85	175 86	142 85	33 01	
	6726/20 1	13 0000	12/14/2011	06/21/2012	378 45	457 24	378 45	78 79	
	6726/20 1	12 0000	05/14/2012	06/21/2012	402 23	422 07	402 23	19 84	
	6726/20 1	5 0000	09/12/2011	06/29/2012	137 24	178 08	137 24	40 84	
	6726/20 1	12 0000	11/17/2011	06/29/2012	342 84	427 39	342 84	84 55	
	6726/20 1	4 0000	08/25/2010	08/08/2012	107 19	149 09	107 19		41 90
	6726/20 1	17 0000	09/12/2011	08/08/2012	466 63	633 62	466 63	166 99	
	T Totals	72 0000			2,104 79	2,584 04	2,104 79	424 02	55 23
TDC	Teradata Corporation 6726/21 01	3 0000	10/26/2012	11/07/2012	202 21	190 71	202 21	(11 50)	
TGT	Target Corporation 6726/20 1	7 0000	08/25/2010	10/03/2012	359 71	442 50	359 71		82 79
	6726/20 1	6 0000	09/21/2010	10/03/2012	297 25	379 28	297 25		82 03
	6726/20 1	9 0000	02/29/2012	10/03/2012	504 41	568 92	504 41	64 51	
	6726/20 1	7 0000	06/01/2012	10/03/2012	401 05	442 50	401 05	41 45	
	TGT Totals	29 0000			1,562 42	1,833 20	1,562 42	105 96	164 82
TJX	The TJX Companies, Inc 6726/20 1	6 0000	08/25/2010	05/14/2012	122 94	241 89	122 94		118 95
	6726/20 1	10 0000	05/03/2011	05/14/2012	266 86	403 16	266 86		136 30
	6726/20 1	18 0000	08/25/2010	06/01/2012	368 82	737 62	368 82		368 80
	6726/20 1	6 0000	05/03/2011	06/01/2012	160 12	245 87	160 12		85 75
	6726/20 1	10 0000	11/17/2011	06/01/2012	295 95	409 79	295 95	113 84	
	6726/20 1	36 0000	08/25/2010	06/21/2012	737 64	1,528 71	737 64		791 07
	6726/21 01	237 0000	03/21/2012	10/26/2012	4,309 94	9,639 57	4,309 94	5,329 63	
	TJX Totals	323 0000			6,262 27	13,206 61	6,262 27	5,443 47	1,500 87

Rockefeller & Co
Realized Gain/Loss Report
David Bruce Smith Family Fdn (6726)

Symbol	Security Name	Shares	Acquisition Date	Liquidation Date	Original Cost	Proceeds	Cost	Realized Gain/Loss S/T	L/T
TMO	Thermo Fisher Scientific Inc 6726/20 1	15 0000	08/25/2010	10/03/2012	649 65	897 36	649 65	247 71	
	6726/20 1	3 0000	05/03/2011	10/03/2012	181 80	179 47	181 80	(2 33)	
	TMO Totals	18 0000			831 45	1,076 83	831 45	0 00	245.38
TWC	Time Warner Cable, Inc 6726/20 1	6 0000	05/03/2011	01/12/2012	458 16	388 93	458 16	(69 23)	
	6726/20 1	10 0000	02/15/2011	01/13/2012	712 45	647 72	712 45	(64 73)	
	TWC Totals	16 0000			1,170 61	1,036 65	1,170 61	(133 96)	0 00
TWX	Time Warner Inc 6726/20 1	7 0000	11/11/2011	03/21/2012	246 07	250 69	246 07	4 62	
	6726/20 1	12 0000	01/27/2012	03/21/2012	451 92	429 76	451 92	(22 16)	
	6726/20 1	11 0000	11/11/2011	08/27/2012	386 68	461 48	386 68	74 80	
	6726/20 1	19 0000	11/11/2011	10/03/2012	667 89	871 23	667 89	203 34	
	TWX Totals	49 0000			1,752 56	2,013 16	1,752 56	260 60	0 00
UNH	UnitedHealth Group Inc 6726/20 1	11 0000	05/03/2011	08/27/2012	546 10	602 77	546 10	56 67	
	6726/20 1	23 0000	08/25/2010	10/03/2012	736 69	1,304 49	736 69	567 80	
	6726/20 1	13 0000	02/04/2011	10/03/2012	553 69	737 32	553 69	183 63	
	6726/20 1	1 0000	05/03/2011	10/03/2012	49 64	56 72	49 64	7 08	
	6726/20 1	17 0000	08/09/2011	10/03/2012	745 96	964 19	745 96	218 23	
	6726/21 01	133 0000	03/21/2012	10/26/2012	3,245 40	7,392 56	3,245 40	4,147 16	
	6726/21 01	70 0000	03/21/2012	10/26/2012	2,155 29	3,890 82	2,155 29	1,735 53	
	UNH Totals	268 0000			8,032 77	14,948 87	8,032 77	5,882 69	1,033.41
UNP	Union Pacific Corp 6726/20 1	5 0000	05/03/2011	06/01/2012	518 15	542 13	518 15	23 98	
	6726/20 1	22 0000	08/25/2010	10/03/2012	1,584 22	2,640 93	1,584 22	1,056 71	
	UNP Totals	27 0000			2,102 37	3,183 06	2,102 37	0 00	1,080 69
USB	US Bancorp 6726/20 1	45 0000	08/09/2011	10/03/2012	999 48	1,545 86	999 48	546 38	
UTX	United Technologies Corp 6726/20 1	4 0000	08/25/2010	06/01/2012	260 60	288 31	260 60	27 71	
	6726/20 1	7 0000	05/03/2011	06/01/2012	627 33	504 55	627 33	(122 78)	
	6726/20 1	2 0000	08/24/2011	06/01/2012	142 85	144 15	142 85	1 30	
	6726/20 1	2 0000	08/25/2011	06/01/2012	144 35	144 16	144 35	(0 19)	

Rockefeller & Co.
Realized Gain/Loss Report
David Bruce Smith Family Fdn (6726)

Symbol	Security Name	Shares	Acquisition Date	Liquidation Date	Original Cost	Proceeds	Cost	Realized Gain/Loss S/T	Realized Gain/Loss L/T
UTX	United Technologies Corp (cont'd) 6726/20 1	20 0000	08/25/2010	10/03/2012	1,303 00	1,569 83	1,303 00		266 83
	UTX Totals	35 0000			2,478 13	2,651 00	2,478 13	1 11	171 76
VOD	Vodafone Group PLC - SP ADR 6726/20 1	20 0000	02/16/2011	03/21/2012	588 85	546 64	588 85		(42 21)
	6726/20 1	1 0000	04/06/2011	03/21/2012	29 24	27 33	29 24	(1 91)	
	VOD Totals	21 0000			618 09	573 97	618 09	(1 91)	(42 21)
VZ	Venzon Communications 6726/20 1	38 0000	08/25/2010	02/10/2012	1,125 48	1,427 27	1,125 48		301 79
	6726/20 1	5 0000	05/03/2011	02/10/2012	188 52	187 80	188 52	(0 72)	
	VZ Totals	43 0000			1,314 00	1,615 07	1,314 00	(0 72)	301 79
WFC	Wells Fargo Company 6726/20 1	5 0000	05/03/2011	03/21/2012	147 35	170 98	147 35	23 62	
	6726/20 1	105 0000	08/25/2010	10/03/2012	2,445 45	3,720 30	2,445 45		1,274 85
	6726/20 1	22 0000	05/03/2011	10/03/2012	648 39	779 49	648 39		131 10
	WFC Totals	132 0000			3,241 20	4,670 77	3,241 20	23 62	1,405 95
WMT	Wal-Mart Stores, Inc 6726/20 1	12 0000	08/25/2010	02/29/2012	616 88	707 66	616 88		90 78
XOM	Exxon Mobil Corporation 6726/20 1	6 0000	05/03/2011	07/12/2012	513 03	505 33	513 03	(7 70)	
	6726/20 1	35 0000	08/25/2010	10/03/2012	2,054 38	3,200 14	2,054 38		1,145 76
	6726/20 1	13 0000	06/21/2012	10/03/2012	1,073 47	1,188 62	1,073 47	115 15	
	XOM Totals	54 0000			3,640 88	4,894 09	3,640 88	115 15	1,138 06
	Regular Gain/Loss Totals							35,398 77	28,250 00
	Merger Gain/Loss								
AVB	Avalonbay Communities, Inc 6726/20 1	0 0000			0 00	6 00	0 00		6 00
BXP	Boston Properties, Inc 6726/20 1	0 0000			0 00	0 00	0 00		0 00
	Merger Gain/Loss Totals							0 00	6 00
	Report Totals				244,096 00	308,321 00	244,096 00	35,398 77	28,826 00
	Total Gain/Loss					^(A)	^(B)	\$64,225	

David Fm Fdn EV

Account Number. 07380

YOUR EMA TRANSACTIONS

REALIZED GAINS/(LOSSES)

Description	Quantity	Acquired Date	Liquidation Date	Sale Amount	Cost Basis	This Statement	Gains/(Losses) * Year to Date
APACHE CORP	6 0000	08/25/10	12/14/11	537.12	518.43	18.69	
CONOCOPHILLIPS	4 0000	08/25/10	12/13/11	279.37	212.98	66.39	
CONOCOPHILLIPS	4 0000	08/25/10	12/14/11	278.07	212.98	65.09	
FIFTH THIRD BANCORP	34 0000	08/25/10	12/14/11	402.83	368.75	34.08	
GOLDMAN SACHS GROUP INC	3 0000	08/25/10	12/13/11	284.61	432.69	(148.08)	
GOLDMAN SACHS GROUP INC	1 0000	08/25/10	12/14/11	94.02	144.23	(50.21)	
MCDONALDS CORP COM	9 0000	08/25/10	12/13/11	882.04	658.17	223.87	
NESTLE S A REP RG SH ADR	14 0000	08/25/10	12/14/11	757.03	708.12	48.91	
PRUDENTIAL FINANCIAL INC	11 0000	08/25/10	12/14/11	519.75	546.10	(26.35)	
PNG FINCL SERVICES GROUP	12 0000	08/25/10	12/14/11	645.88	599.76	46.12	
PEPSICO INC	7 0000	08/25/10	12/14/11	450.77	452.27	(1.50)	
TARGET CORP COM	16 0000	08/25/10	12/14/11	838.74	822.20	16.54	
TARGET CORP COM	2 0000	09/21/10	12/14/11	104.85	99.08	5.77	
WAL-MART STORES INC	17 0000	08/25/10	12/14/11	981.85	873.91	107.94	
Subtotal (Long-Term)						407.26	
MCDONALDS CORP COM	6 0000	05/03/11	12/13/11	588.04	473.40	114.64	
PPG INDUSTRIES INC SHS	9 0000	08/09/11	12/14/11	725.16	672.67	52.49	
TYCO INTL LTD NAMEN-AKT	20 0000	08/24/11	12/14/11	900.98	803.24	97.74	
ACE LIMITED	6 0000	04/28/11	12/14/11	400.83	403.78	(2.95)	
ACE LIMITED	2 0000	04/29/11	12/14/11	133.62	135.01	(1.39)	
Subtotal (Short-Term)						260.53	
TOTAL				9,805.56	9,137.77	667.79	
Total From page 16				308,321	244,096	64,225	
Total Gain Loss				318,127	253,234	64,893	

Rockefeller & Co
Realized Gain/Loss Report
David Bruce Smith Family Fdn (6726)

Symbol	Security Name	Shares	Acquisition Date	Liquidation Date	Original Cost	Proceeds	Cost	Realized Gain/Loss S/T	L/T
Regular Gain/Loss									
AAPL	Apple Inc								
	6726/20 1	1 0000	05/03/2011	03/21/2012	348 41	606 34	348 41	257 93	
	6726/20 1	1 0000	05/03/2011	04/20/2012	348 41	583 58	348 41	235 17	
	6726/20 1	1 0000	05/14/2012	05/25/2012	562 52	559 65	562 52	(2 87)	
	6726/20 1	2 0000	02/04/2011	10/03/2012	690 72	1,333 52	690 72		642 80
	6726/20 1	5 0000	06/20/2011	10/03/2012	1,578 99	3,333 80	1,578 99	1,754 81	
	Totals	10 0000			3,529 05	6,416 89	3,529 05	490 23	2,397 61
ACE	ACE Limited								
	6726/20 1	6 0000	04/28/2011	10/03/2012	403 78	463 79	403 78	60 01	
	6726/20 1	3 0000	04/29/2011	10/03/2012	202 51	231 89	202 51	29 38	
	6726/20 1	3 0000	05/03/2011	10/03/2012	201 33	231 90	201 33	30 57	
	6726/20 1	3 0000	05/10/2011	10/03/2012	204 22	231 90	204 22	27 68	
	6726/20 1	2 0000	08/24/2011	10/03/2012	125 12	154 60	125 12	29 48	
	6726/20 1	3 0000	08/25/2011	10/03/2012	189 62	231 89	189 62	42 27	
	Totals	20 0000			1,326 58	1,545 97	1,326 58	0 00	219 39
ACN	Accenture Plc								
	6726/20 1	4 0000	05/03/2011	01/12/2012	223 12	215 82	223 12	(7 30)	
	6726/20 1	4 0000	06/20/2011	01/12/2012	215 69	215 82	215 69	0 13	
	6726/20 1	12 0000	06/20/2011	01/13/2012	647 08	639 98	647 08	(7 10)	
	6726/20 1	4 0000	08/25/2010	01/27/2012	148 74	226 88	148 74	78 14	
	6726/20 1	12 0000	06/20/2011	01/27/2012	647 08	680 64	647 08	33 56	
	Totals	36 0000			1,881 71	1,979 14	1,881 71	19 29	78 14
AEP	American Electric Power Compan								
	6726/20 1	2 0000	08/25/2010	02/29/2012	70 27	75 10	70 27	4 83	
	6726/20 1	8 0000	05/03/2011	02/29/2012	295 92	300 40	295 92	4 48	
	6726/20 1	11 0000	11/17/2011	02/29/2012	421 13	413 05	421 13	(8 08)	
	6726/20 1	32 0000	08/25/2010	10/03/2012	1,124 37	1,419 90	1,124 37	295 53	
	6726/20 1	18 0000	06/01/2012	10/03/2012	691 74	798 70	691 74	106 96	
	Totals	71 0000			2,603 43	3,007 15	2,603 43	103 36	300 36
ALXN	Alexion Pharmaceuticals, Inc								
	6726/21 01	2 0000	10/26/2012	11/07/2012	191 72	176 91	191 72	(14 81)	
AMGN	Amgen Inc								
	6726/20 1	8 0000	08/25/2010	04/20/2012	409 98	547 00	409 98		137 02

Rockefeller & Co
Realized Gain/Loss Report
David Bruce Smith Family Fdn (6726)

Symbol	Security Name	Shares	Acquisition Date	Liquidation Date	Original Cost	Proceeds	Cost	Realized Gain/Loss ST	LT
AMGN	Amgen Inc (cont'd) 6726/20 1	5 0000	05/03/2011	04/20/2012	287 03	341 87	287 03	54 84	
	6726/20 1	9 0000	08/25/2010	05/14/2012	461 23	633 41	461 23		172 18
	6726/20 1	12 0000	08/25/2010	06/29/2012	614 97	872 74	614 97		257 77
	AMGN Totals	34 0000			1,773 21	2,395 02	1,773 21	54 84	566 97
AMP	Ameriprise Financial, Inc 6726/20 1	9 0000	02/10/2012	08/27/2012	486 42	487 69	486 42	1 27	
	6726/20 1	1 0000	02/13/2012	08/27/2012	54 68	54 19	54 68	(0 49)	
	6726/20 1	14 0000	01/13/2012	10/03/2012	721 12	793 01	721 12	71 89	
	AMP Totals	24 0000			1,262 22	1,334 89	1,262 22	72 67	0 00
AON OLD	Aon Corporation 6726/20 1	16 0000	11/11/2011	02/10/2012	771 96	777 68	771 96	5 72	
	6726/20 1	7 0000	12/14/2011	02/10/2012	313 77	340 24	313 77	26 47	
	6726/20 1	8 0000	12/14/2011	02/13/2012	358 60	390 88	358 60	32 28	
	AON OLD Totals	31 0000			1,444 33	1,508 80	1,444 33	64 47	0 00
APA	Apache Corporation 6726/20 1	9 0000	08/25/2010	08/08/2012	777 64	796 65	777 64		19 01
APC	Anadarko Petroleum Corporation 6726/20 1	6 0000	11/11/2011	04/20/2012	485 59	433 30	485 59	(52 29)	
	6726/20 1	13 0000	11/11/2011	10/03/2012	1,052 10	899 45	1,052 10	(152 65)	
	APC Totals	19 0000			1,537 69	1,332 75	1,537 69	(204 94)	0 00
AVB	Avalonbay Communities, Inc 6726/20 1	5 0000	08/25/2010	05/14/2012	521 75	722 60	521 75		200 85
	6726/20 1	9 0000	08/25/2010	10/03/2012	939 15	1,230 15	939 15		291 00
	6726/20 1	1 0000	12/14/2011	10/03/2012	124 70	136 68	124 70	11 98	
	AVB Totals	15 0000			1,585 60	2,089 43	1,585 60	11 98	491 85
AXP	American Express Co 6726/20 1	31 0000	08/25/2010	10/03/2012	1,226 67	1,779 05	1,226 67		552 38
	6726/20 1	9 0000	05/03/2011	10/03/2012	447 75	516 50	447 75		68 75
	6726/20 1	11 0000	08/25/2011	10/03/2012	538 63	631 27	538 63		92 64
	6726/20 1	8 0000	04/20/2012	10/03/2012	461 21	459 11	461 21	(2 10)	
	AXP Totals	59 0000			2,674 26	3,385 93	2,674 26	(2 10)	713 77
BBBY	Bed Bath & Beyond Inc 6726/20 1	8 0000	03/21/2012	08/27/2012	529 31	533 26	529 31	3 95	

Rockefeller & Co.
Realized Gain/Loss Report
David Bruce Smith Family Fdn (6726)

Symbol	Security Name	Shares	Acquisition Date	Liquidation Date	Original Cost	Proceeds	Cost	Realized Gain/Loss S/T	L/T
BBBY	Bed Bath & Beyond Inc (cont'd) 6726/20 1	4 0000	03/21/2012	08/28/2012	264 66	266 84	264 66	2 18	
	6726/21 01	3 0000	10/26/2012	11/02/2012	172 05	173 21	172 05	1 16	
	6726/21 01	3 0000	10/26/2012	11/07/2012	172 05	174 74	172 05	2 69	
	6726/21 01	3 0000	10/26/2012	11/13/2012	172 05	173 57	172 05	1 52	
	BBBY Totals	21 0000			1,310 12	1,321 62	1,310 12	11 50	0 00
BEN	Franklin Resources, Inc 6726/20 1	5 0000	08/25/2011	01/12/2012	587 87	482 64	587 87	(105 23)	
	6726/20 1	8 0000	08/25/2011	01/13/2012	940 58	761 22	940 58	(179 36)	
	BEN Totals	13 0000			1,528 45	1,243 86	1,528 45	(284 59)	0 00
BHP	BHP Billiton Limited - Spon AD 6726/20 1	5 0000	08/25/2010	04/20/2012	325 23	368 89	325 23	43 66	
	6726/20 1	2 0000	05/03/2011	04/20/2012	195 79	147 56	195 79	(48 23)	
	6726/20 1	16 0000	08/25/2010	10/03/2012	1,040 72	1,091 66	1,040 72	50 94	
	BHP Totals	23 0000			1,561 74	1,608 11	1,561 74	(48 23)	94 60
BIDU	Baidu com, Inc 6726/21 01	1 0000	10/26/2012	11/01/2012	113 13	106 24	113 13	(6 89)	
BTU	Peabody Energy Corporation 6726/20 1	15 0000	08/25/2010	06/01/2012	623 85	346 96	623 85	(276 89)	
	6726/20 1	6 0000	05/03/2011	06/01/2012	388 05	138 78	388 05	(249 27)	
	6726/20 1	11 0000	08/09/2011	06/01/2012	482 27	254 44	482 27	(227 83)	
	BTU Totals	32 0000			1,494 17	740 18	1,494 17	(227 83)	(526 16)
BXP	Boston Properties, Inc 6726/20 1	8 0000	08/25/2010	10/03/2012	648 08	885 90	648 08	237 82	
	6726/20 1	5 0000	05/03/2011	10/03/2012	516 15	553 69	516 15	37 54	
	6726/20 1	3 0000	08/25/2011	10/03/2012	305 49	332 21	305 49	26 72	
	6726/20 1	5 0000	12/14/2011	10/03/2012	465 71	553 69	465 71	87 98	
	BXP Totals	21 0000			1,935 43	2,325 49	1,935 43	87 98	302 08
C	Citigroup Inc 6726/20 1	49 0000	11/11/2011	10/03/2012	1,446 47	1,658 75	1,446 47	212 28	
	6726/20 1	37 0000	03/21/2012	10/03/2012	1,390 90	1,252 53	1,390 90	(138 37)	
	C Totals	86 0000			2,837 37	2,911 28	2,837 37	73 91	0 00
CCL	Carnival Corp 6726/20 1	23 0000	08/25/2010	01/27/2012	700 34	699 36	700 34	(0 98)	

Rockefeller & Co
Realized Gain/Loss Report
David Bruce Smith Family Fdn (6726)

Symbol	Security Name	Shares	Acquisition Date	Liquidation Date	Original Cost	Proceeds	Cost	Realized Gain/Loss S/T	L/T
CCL	Carnival Corp (cont'd) 6726/20 1	5 0000	05/03/2011	01/27/2012	193 35	152 04	193 35	(41 31)	
	CCL Totals	28 0000			893 69	851 40	893 69	(41 31)	(0 98)
CE	Celanese Corp Ser - A 6726/20 1	8 0000	12/14/2011	02/23/2012	335 89	380 79	335 89	44 90	
	6726/20 1	9 0000	12/14/2011	06/21/2012	377 87	321 91	377 87	(55 96)	
	6726/20 1	9 0000	04/20/2012	06/21/2012	434 24	321 92	434 24	(112 32)	
	6726/20 1	6 0000	12/14/2011	06/22/2012	251 91	209 64	251 91	(42 27)	
	CE Totals	32 0000			1,399 91	1,234 26	1,399 91	(165 65)	0 00
CELG	Celgene Corp 6726/20 1	12 0000	06/29/2012	10/03/2012	766 27	944 09	766 27	177 82	
	6726/20 1	11 0000	07/12/2012	10/03/2012	693 20	865 42	693 20	172 22	
	CELG Totals	23 0000			1,459 47	1,809 51	1,459 47	350 04	0 00
CLB	Core Laboratories N V 6726/21 01	91 0000	03/21/2012	10/26/2012	4,967 05	9,448 32	4,967 05	4,481 27	
CMCSA	Comcast Corporation - CL A 6726/20 1	13 0000	04/28/2011	10/03/2012	339 88	471 26	339 88	131 38	
	6726/20 1	8 0000	04/29/2011	10/03/2012	208 93	290 01	208 93	81 08	
	6726/20 1	9 0000	05/03/2011	10/03/2012	239 01	326 26	239 01	87 25	
	6726/20 1	13 0000	01/12/2012	10/03/2012	331 49	471 26	331 49	139 77	
	6726/20 1	3 0000	01/13/2012	10/03/2012	76 26	108 75	76 26	32 49	
	6726/20 1	16 0000	08/27/2012	10/03/2012	545 10	580 02	545 10	34 92	
	CMCSA Totals	62 0000			1,740 67	2,247 56	1,740 67	207 18	299 71
COP	ConocoPhillips 6726/20 1	12 0000	08/25/2010	02/23/2012	638 94	893 95	638 94	255 01	
COV	Covidien PLC 6726/20 1	26 0000	08/25/2010	10/03/2012	965 57	1,554 80	965 57	589 23	
	6726/20 1	3 0000	05/03/2011	10/03/2012	166 96	179 40	166 96	12 44	
	COV Totals	29 0000			1,132 53	1,734 20	1,132 53	0 00	601 67
CTL	CenturyLink Inc 6726/20 1	12 0000	02/13/2012	08/27/2012	456 44	503 76	456 44	47 32	
	6726/20 1	25 0000	02/10/2012	10/03/2012	947 36	1,001 57	947 36	54 21	
	6726/20 1	7 0000	02/13/2012	10/03/2012	266 25	280 44	266 25	14 19	
	CTL Totals	44 0000			1,670 05	1,785 77	1,670 05	115 72	0 00

Rockefeller & Co.
Realized Gain/Loss Report
David Bruce Smith Family Fdn (6726)

Symbol	Security Name	Shares	Acquisition Date	Liquidation Date	Original Cost	Proceeds	Cost	Realized Gain/Loss S/T	L/T
CVS	CVS/Caremark Corp 6726/20 1	35 0000	08/25/2010	10/03/2012	979 84	1,709 87	979 84		730 03
	6726/20 1	13 0000	05/03/2011	10/03/2012	474 56	635 09	474 56		160 53
	6726/20 1	28 0000	05/14/2012	10/03/2012	1,264 68	1,367 90	1,264 68	103 22	
	Totals	76 0000			2,719 08	3,712 86	2,719 08	103 22	890 56
CVX	Chevron Corporation 6726/20 1	1 0000	11/11/2011	07/12/2012	106 98	105 30	106 98	(1 68)	
	6726/20 1	4 0000	02/23/2012	07/12/2012	433 44	421 18	433 44	(12 26)	
	Totals	5 0000			540 42	526 48	540 42	(13 94)	0 00
CXO	Concho Resources Inc 6726/21 01	2 0000	10/26/2012	11/07/2012	173 55	175 00	173 55	1 45	
DE	Deere & Company 6726/20 1	3 0000	01/12/2012	02/23/2012	263 57	251 59	253 57	(1 98)	
	6726/20 1	1 0000	01/13/2012	02/23/2012	84 00	83 86	84 00	(0 14)	
	6726/20 1	9 0000	12/14/2011	10/03/2012	671 48	733 93	671 48	62 45	
	6726/20 1	5 0000	03/21/2012	10/03/2012	410 46	407 74	410 46	(2 72)	
	Totals	18 0000			1,419 51	1,477 12	1,419 51	57 61	0 00
DIS	The Walt Disney Company 6726/20 1	2 0000	05/03/2011	06/29/2012	86 01	96 74	86 01		10 73
	6726/20 1	7 0000	05/14/2012	06/29/2012	317 34	338 60	317 34	21 26	
	6726/20 1	18 0000	08/25/2010	10/03/2012	571 68	944 34	571 68		372 66
	6726/20 1	12 0000	05/03/2011	10/03/2012	516 06	629 56	516 06		113 50
	6726/20 1	29 0000	12/14/2011	10/03/2012	1,034 11	1,521 43	1,034 11	487 32	
	6726/20 1	11 0000	01/27/2012	10/03/2012	433 24	577 09	433 24	143 85	
	Totals	79 0000			2,958 44	4,107 76	2,958 44	652 43	496 89
DLTR	Dollar Tree, Inc 6726/21 01	6 0000	10/26/2012	11/07/2012	238 38	232 30	238 38	(6 08)	
	6726/21 01	6 0000	10/26/2012	11/16/2012	238 38	234 91	238 38	(3 47)	
	Totals	12 0000			476 76	467 21	476 76	(9 55)	0 00
DTV	DirecTV 6726/21 01	746 0000	01/12/2010	10/26/2012	78,298 21	38,240 97	78,298 21	(40,057 24)	
	6726/21 01	9 0000	01/12/2010	11/07/2012	944 62	446 37	944 62	(498 25)	
	Totals	755 0000			79,242 83	38,687 34	79,242 83	0 00	(40,555 49)

Symbol	Security Name	Shares	Acquisition Date	Liquidation Date	Original Cost	Proceeds	Cost	Realized Gain/Loss S/T	L/T
EOG	EOG Resources Inc 6726/20 1	11 0000	08/27/2012	10/03/2012	1,201 37	1,227 57	1,201 37	26 20	
	6726/20 1	1 0000	08/28/2012	10/03/2012	109 23	111 60	109 23	2 37	
	EOG Totals	12 0000			1,310 60	1,339 17	1,310 60	28 57	0 00
ETN OLD	Eaton Corporation 6726/20 1	17 0000	08/08/2012	10/03/2012	766 55	793 12	766 55	26 57	
F	Ford Motor Company 6726/20 1	73 0000	01/27/2012	07/12/2012	901 40	667 85	901 40	(233 55)	
	6726/20 1	34 0000	02/29/2012	07/12/2012	421 18	311 05	421 18	(110 13)	
	F Totals	107 0000			1,322 58	978 90	1,322 58	(343 68)	0 00
FAST	Fastenal Company 6726/21 01	769 0000	03/21/2012	10/26/2012	14,619 92	33,188 38	14,619 92	18,568 46	
FB	Facebook Inc - Class A 6726/21 01	450 0000	05/17/2012	10/26/2012	17,100 00	9,956 03	17,100 00	(7,143 97)	
FCX	Freeport-McMoran Copper & Gold 6726/20 1	38 0000	08/25/2010	10/03/2012	1,261 60	1,488 90	1,261 60	227 30	
	6726/20 1	4 0000	05/03/2011	10/03/2012	211 06	156 73	211 06	(54 33)	
	FCX Totals	42 0000			1,472 66	1,645 63	1,472 66	0 00	172 97
FDX	FedEx Corporation 6726/20 1	8 0000	06/01/2012	10/03/2012	684 63	682 87	684 63	(1 76)	
FFIV	F5 Networks, Inc 6726/21 01	2 0000	10/26/2012	11/07/2012	164 36	177 56	164 36	13 20	
FITB	Fifth Third Bancorp 6726/20 1	67 0000	08/25/2010	10/03/2012	726 65	1,054 18	726 65	327 53	
	6726/20 1	9 0000	05/03/2011	10/03/2012	120 33	141 61	120 33	21 28	
	FITB Totals	76 0000			846 98	1,195 79	846 98	0 00	348 81
GD	General Dynamics Corporation 6726/20 1	6 0000	08/25/2010	02/10/2012	340 44	421 60	340 44	81 16	
	6726/20 1	5 0000	05/03/2011	02/10/2012	371 03	351 33	371 03	(19 70)	
	6726/20 1	5 0000	08/25/2010	02/13/2012	283 70	352 30	283 70	68 60	
	6726/20 1	10 0000	08/25/2010	10/03/2012	567 40	665 74	567 40	98 34	
	GD Totals	26 0000			1,562 57	1,790 97	1,562 57	(19 70)	248 10
GE	General Electric Co 6726/20 1	21 0000	05/03/2011	07/12/2012	431 08	409 85	431 08	(21 23)	

Rockefeller & Co
Realized Gain/Loss Report
David Bruce Smith Family Fdn (6726)

Symbol	Security Name	Shares	Acquisition Date	Liquidation Date	Original Cost	Proceeds	Cost	Realized Gain/Loss S/T	L/T
GE	General Electric Co 6726/20 1	(cont'd) 21 0000	05/03/2011	08/08/2012	431 08	440 70	431 08		9 62
	Totals	42 0000			862 16	850 55	862 16	0 00	(11 61)
GILD	Gilead Sciences Inc 6726/20 1	17 0000	04/20/2012	10/03/2012	879 79	1,192 49	879 79	312 70	
	6726/20 1	8 0000	05/14/2012	10/03/2012	420 97	561 17	420 97	140 20	
	Totals	25 0000			1,300 76	1,753 66	1,300 76	452 90	0 00
GOOG	Google Inc - Class A 6726/20 1	3 0000	05/25/2012	10/03/2012	1,774 73	2,281 16	1,774 73	506 43	
	6726/21 01	15 0000	08/25/2011	10/26/2012	8,109 01	10,127 02	8,109 01		2,018 01
	Totals	18 0000			9,883 74	12,408 18	9,883 74	506 43	2,018 01
GS	Goldman Sachs Group 6726/20 1	10 0000	08/25/2010	10/03/2012	1,442 30	1,177 56	1,442 30	(264 74)	
	6726/20 1	1 0000	05/03/2011	10/03/2012	151 78	117 76	151 78	(34 02)	
	6726/20 1	4 0000	08/27/2012	10/03/2012	422 86	471 03	422 86	48 17	
	Totals	15 0000			2,016 94	1,766 35	2,016 94	48 17	(298 76)
GWW	Grainger W W Inc 6726/21 01	2 0000	10/26/2012	11/13/2012	394 18	387 57	394 18	(6 61)	
HAL	Halliburton Co 6726/20 1	17 0000	01/26/2011	03/21/2012	700 09	579 37	700 09	(120 72)	
	6726/20 1	12 0000	05/03/2011	03/21/2012	576 12	408 97	576 12	(167 15)	
	Totals	29 0000			1,276 21	988 34	1,276 21	(167 15)	(120 72)
HES	Hess Corp 6726/20 1	10 0000	08/25/2010	05/17/2012	500 85	467 16	500 85	(33 69)	
	6726/20 1	9 0000	05/03/2011	05/17/2012	720 21	420 45	720 21	(299 76)	
	Totals	19 0000			1,221 06	887 61	1,221 06	0 00	(333 45)
HON	Honeywell Inc 6726/20 1	15 0000	02/10/2012	10/03/2012	888 06	919 33	888 06	31 27	
	6726/20 1	11 0000	06/01/2012	10/03/2012	595 62	674 17	595 62	78 55	
	Totals	26 0000			1,483 68	1,593 50	1,483 68	109 82	0 00
HPQ	Hewlett-Packard Company 6726/20 1	14 0000	01/12/2012	06/21/2012	377 48	288 06	377 48	(89 42)	
	6726/20 1	13 0000	01/13/2012	06/21/2012	348 59	267 48	348 59	(81 11)	
	6726/20 1	28 0000	02/23/2012	06/21/2012	768 75	576 12	768 75	(192 63)	

Rockefeller & Co.
Realized Gain/Loss Report
David Bruce Smith Family Fdn (6726)

Symbol	Security Name	HPQ	Totals	Shares	Acquisition Date	Liquidation Date	Original Cost	Proceeds	Cost	Realized Gain/Loss S/T	L/T
HUM	Humana Inc 6726/20 1	HPQ	Totals	55 0000			1,494 82	1,131 66	1,494 82	(363 16)	0 00
				3 0000	03/15/2011	08/27/2012	192 17	209 79	192 17	17 62	
				9 0000	03/16/2011	08/27/2012	572 76	629 35	572 76	56 59	
				3 0000	05/03/2011	08/27/2012	226 68	209 79	226 68	(16 89)	
IBM	Int'l Business Machines Corp 6726/20 1	HUM	Totals	15 0000			991 61	1,048 93	991 61	0 00	57 32
				9 0000	08/25/2010	10/03/2012	1,125 57	1,896 69	1,125 57	771 12	
				4 0000	06/20/2011	10/03/2012	660 40	842 97	660 40	182 57	
				1 0000	10/26/2012	11/07/2012	192 58	192 16	192 58	(0 42)	
JCI	Johnson Controls, Inc 6726/20 1	IBM	Totals	14 0000			1,978 55	2,931 82	1,978 55	(0 42)	953 69
				21 0000	01/13/2012	08/08/2012	733 60	538 39	733 60	(195 21)	
				1 0000	08/25/2010	06/21/2012	58 00	66 26	58 00	8 26	
				10 0000	05/03/2011	06/21/2012	661 75	662 56	661 75	0 81	
JPM	J P Morgan Chase & Co 6726/20 1	JNJ	Totals	11 0000			719 75	728 82	719 75	0 00	9 07
				11 0000	08/25/2010	10/03/2012	395 63	448 60	395 63	52 97	
				22 0000	05/03/2011	10/03/2012	1,008 62	897 19	1,008 62	(111 43)	
				33 0000			1,404 25	1,345 79	1,404 25	0 00	(58 46)
KEY	Keycorp 6726/20 1	JPM	Totals	122 0000			883 90	1,070 26	883 90	186 36	
				70 0000	08/25/2010	10/03/2012	618 41	614 08	618 41	(4 33)	
				192 0000	05/03/2011		1,502 31	1,684 34	1,502 31	0 00	182 03
KSS	Kohl's Corp 6726/20 1	KEY	Totals	6 0000	03/15/2011	01/27/2012	320 34	278 86	320 34	(41 48)	
				5 0000	03/16/2011	01/27/2012	266 90	232 39	266 90	(34 51)	
				11 0000	05/03/2011	01/27/2012	583 22	511 25	583 22	(71 97)	
				22 0000			1,170 46	1,022 50	1,170 46	(147 96)	0 00
LOW	Lowe's Companies 6726/20 1	KSS	Totals	31 0000	08/27/2012	10/03/2012	863 18	950 91	863 18	87 73	
				19 0000	06/21/2012	10/03/2012	750 78	999 45	750 78	248 67	

Rockefeller & Co.
Realized Gain/Loss Report
David Bruce Smith Family Fdn (6726)

Symbol	Security Name	Shares	Acquisition Date	Liquidation Date	Original Cost	Proceeds	Cost	Realized Gain/Loss S/T	L/T
LYB	LyondellBasell Industries NL (cont'd)	9 0000	07/12/2012	10/03/2012	356 99	473 43	356 99	116 44	
	6726/20 1	1 0000	07/13/2012	10/03/2012	40 26	52 60	40 26	12 34	
	LYB Totals	29 0000			1,148 03	1,525 48	1,148 03	377 45	0 00
M	Macy's Inc	11 0000	02/29/2012	04/20/2012	419 00	436 33	419 00	17 33	
	6726/20 1	22 0000	12/14/2011	10/03/2012	683 07	860 50	683 07	177 43	
	6726/20 1	12 0000	01/27/2012	10/03/2012	402 73	469 36	402 73	66 63	
	6726/20 1	13 0000	06/01/2012	10/03/2012	480 79	508 48	480 79	27 69	
	M Totals	58 0000			1,985 59	2,274 67	1,985 59	289 08	0 00
MET	MetLife, Inc	10 0000	08/25/2010	02/23/2012	363 47	379 59	363 47	16 12	
	6726/20 1	10 0000	05/03/2011	02/23/2012	463 97	379 60	463 97	(84 37)	
	6726/20 1	33 0000	08/25/2010	10/03/2012	1,199 43	1,128 88	1,199 43	(70 55)	
	6726/20 1	10 0000	08/25/2011	10/03/2012	333 29	342 08	333 29	8 79	
	MET Totals	63 0000			2,360 16	2,230 15	2,360 16	(84 37)	(45 64)
MINST	Monster Beverage Corporation	6 0000	10/26/2012	11/12/2012	274 38	271 74	274 38	(2 64)	
MRO	Marathon Oil Corp	27 0000	02/23/2012	10/03/2012	938 33	795 26	938 33	(143 07)	
	6726/20 1	26 0000	05/14/2012	10/03/2012	663 21	765 80	663 21	102 59	
	MRO Totals	53 0000			1,601 54	1,561 06	1,601 54	(40 48)	0 00
MSFT	Microsoft Corp	19 0000	07/20/2011	05/25/2012	514 13	554 13	514 13	40 00	
NGG	National Grid PLC - SP ADR	16 0000	09/13/2010	10/03/2012	699 32	900 24	699 32	200 92	
	6726/20 1	4 0000	05/03/2011	10/03/2012	203 08	225 06	203 08	21 98	
	6726/20 1	10 0000	01/27/2012	10/03/2012	483 50	562 65	483 50	79 15	
	6726/20 1	7 0000	01/30/2012	10/03/2012	338 10	393 85	338 10	55 75	
	NGG Totals	37 0000			1,724 00	2,081 80	1,724 00	134 90	222 90
NOV	National Oilwell Varco, Inc	11 0000	06/21/2012	10/03/2012	713 60	873 75	713 60	160 15	
	6726/20 1	7 0000	07/12/2012	10/03/2012	469 33	556 02	469 33	86 69	
	6726/20 1	7 0000	08/08/2012	10/03/2012	535 49	556 02	535 49	20 53	

Rockefeller & Co.
Realized Gain/Loss Report
David Bruce Smith Family Fdn (6726)

Symbol	Security Name	Shares	Acquisition Date	Liquidation Date	Original Cost	Proceeds	Cost	Realized Gain/Loss S/T	L/T
NOV	National Oilwell Varco, Inc (cont'd)	3 0000	03/21/2012	10/26/2012	0 00	224 63	0 00	224 63	
	6726/21 01		03/21/2012	10/26/2012	1,326 40	4,118 21	1,326 40	2,791 81	
	6726/21 01	34 0000	03/21/2012	10/26/2012	1,452 10	2,545 81	1,452 10	1,093 71	
	NOV Totals	117 0000			4,496 92	8,874 44	4,496 92	4,377 52	0 00
NSRGY	Nestle SA-Spons ADR For Reg	19 0000	08/25/2010	10/03/2012	961 02	1,211 60	961 02		250 58
	6726/20 1								
NVO	Novo Nordisk A/S-Spons ADR	2 0000	10/26/2012	11/07/2012	321 28	298 24	321 28	(23 04)	
	6726/21 01	2 0000	10/26/2012	11/08/2012	321 28	294 40	321 28	(26 88)	
	NVO Totals	4 0000			642 56	592 64	642 56	(49 92)	0 00
ORCL	Oracle Corporation	4 0000	03/25/2011	05/25/2012	132 94	104 77	132 94		(28 17)
	6726/20 1	13 0000	05/03/2011	05/25/2012	467 85	340 50	467 85	(127 35)	
	6726/20 1	17 0000	03/25/2011	08/08/2012	565 00	529 59	565 00	(35 41)	
	6726/20 1	24 0000	08/25/2010	10/03/2012	537 80	762 08	537 80	224 28	
	6726/20 1	26 0000	06/20/2011	10/03/2012	830 38	825 58	830 38	(4 80)	
	6726/20 1	14 0000	12/14/2011	10/03/2012	429 14	444 55	429 14	15 41	
	6726/20 1	14 0000	02/23/2012	10/03/2012	401 31	444 54	401 31	43 23	
	ORCL Totals	112 0000			3,364 42	3,451 61	3,364 42	58 64	28 55
OXY	Occidental Petroleum Corp	27 0000	08/25/2010	10/03/2012	1,963 25	2,258 35	1,963 25		295 10
	6726/20 1	5 0000	05/03/2011	10/03/2012	558 81	418 21	558 81	(140 60)	
	6726/20 1	5 0000	07/12/2012	10/03/2012	420 02	418 21	420 02	(1 81)	
	6726/20 1	6 0000	08/08/2012	10/03/2012	548 38	501 86	548 38	(46 52)	
	6726/20 1	6 0000	08/27/2012	10/03/2012	527 24	501 86	527 24	(25 38)	
	OXY Totals	49 0000			4,017 70	4,098 49	4,017 70	(73 71)	154 50
PCAR	PACCAR Inc	2 0000	02/13/2012	08/08/2012	87 04	80 71	87 04	(6 33)	
	6726/20 1	9 0000	02/23/2012	08/08/2012	414 23	363 21	414 23	(51 02)	
	6726/20 1	7 0000	02/10/2012	10/03/2012	302 18	286 50	302 18	(15 68)	
	6726/20 1	12 0000	02/13/2012	10/03/2012	522 26	491 15	522 26	(31 11)	
	PCAR Totals	30 0000			1,325 71	1,221 57	1,325 71	(104 14)	0 00

Rockefeller & Co
Realized Gain/Loss Report
David Bruce Smith Family Fdn (6726)

Symbol	Security Name	Shares	Acquisition Date	Liquidation Date	Original Cost	Proceeds	Cost	Realized Gain/Loss S/T	L/T
PCG	PG&E Corporation 6726/20 1	4 0000	08/25/2010	01/27/2012	187 64	163 50	187 64	(24 14)	
	6726/20 1	23 0000	08/25/2010	10/03/2012	1,078 93	977 71	1,078 93	(101 22)	
	6726/20 1	6 0000	05/03/2011	10/03/2012	276 81	255 05	276 81	(21 76)	
	PCG Totals	33 0000			1,543 38	1,396 26	1,543 38	0 00	(147 12)
PCLN	Priceline com Inc 6726/21 01	1 0000	10/26/2012	11/02/2012	579 87	648 56	579 87	68 69	
PEG	Public Service Enterprise Grou 6726/20 1	14 0000	08/25/2011	01/27/2012	464 80	426 18	464 80	(38 62)	
	6726/20 1	17 0000	08/25/2011	02/23/2012	564 41	519 41	564 41	(45 00)	
	6726/20 1	3 0000	08/25/2011	03/21/2012	99 60	89 28	99 60	(10 32)	
	6726/20 1	21 0000	11/22/2011	03/21/2012	673 51	624 92	673 51	(48 59)	
	PEG Totals	55 0000			1,802 32	1,659 79	1,802 32	(142 53)	0 00
PEP	Pepsico, Inc 6726/20 1	12 0000	08/25/2010	02/23/2012	775 32	755 29	775 32	(20 03)	
	6726/20 1	3 0000	05/03/2011	02/23/2012	208 67	188 82	208 67	(19 85)	
	PEP Totals	15 0000			983 99	944 11	983 99	(19 85)	(20 03)
PETM	Petsmart, Inc 6726/21 01	3 0000	10/26/2012	11/02/2012	198 20	201 58	198 20	3 38	
	6726/21 01	2 0000	10/26/2012	11/06/2012	132 13	133 97	132 13	1 84	
	6726/21 01	2 0000	10/26/2012	11/12/2012	132 13	130 41	132 13	(1 72)	
	6726/21 01	3 0000	10/26/2012	11/13/2012	198 19	197 60	198 19	(0 59)	
	PETM Totals	10 0000			660 65	663 56	660 65	2 91	0 00
PFE	Pfizer Inc 6726/20 1	143 0000	08/25/2010	10/03/2012	2,287 36	3,614 25	2,287 36	1,326 89	
	6726/20 1	54 0000	05/03/2011	10/03/2012	1,097 57	1,364 82	1,097 57	267 25	
	PFE Totals	197 0000			3,384 93	4,979 07	3,384 93	0 00	1,594 14
PNC	PNC Financial Services Group 6726/20 1	18 0000	08/25/2010	10/03/2012	899 64	1,161 15	899 64	261 51	
	6726/20 1	8 0000	08/09/2011	10/03/2012	385 18	516 07	385 18	130 89	
	6726/20 1	7 0000	01/27/2012	10/03/2012	413 03	451 56	413 03	38 53	
	PNC Totals	33 0000			1,697 85	2,128 78	1,697 85	38 53	392 40
PPL	PPL Corporation 6726/20 1	6 0000	08/09/2011	04/20/2012	153 47	163 04	153 47	9 57	

Rockefeller & Co.
Realized Gain/Loss Report
David Bruce Smith Family Fdn (6726)

Symbol	Security Name	Shares	Acquisition Date	Liquidation Date	Original Cost	Proceeds	Cost	Realized Gain/Loss S/T	L/T
PPL	PPL Corporation (cont'd)	(cont'd)							
	6726/20 1	14 0000	08/25/2011	04/20/2012	390 88	380 41	390 88	(10 47)	
	6726/20 1	17 0000	09/12/2011	04/20/2012	470 70	461 93	470 70	(8 77)	
	6726/20 1	20 0000	08/09/2011	04/23/2012	511 56	540 41	511 56	28 85	
	PPL Totals	57 0000			1,526 61	1,545 79	1,526 61	19 18	0 00
PRU	Prudential Financial, Inc								
	6726/20 1	27 0000	08/25/2010	10/03/2012	1,340 43	1,466 60	1,340 43		126 17
PSA	Public Storage Inc								
	6726/20 1	3 0000	07/12/2012	10/03/2012	435 74	420 38	435 74	(15 36)	
	6726/20 1	2 0000	07/13/2012	10/03/2012	292 97	280 25	292 97	(12 72)	
	6726/20 1	2 0000	08/09/2012	10/03/2012	289 80	280 26	289 80	(9 54)	
	6726/20 1	3 0000	08/08/2012	10/03/2012	434 36	420 38	434 36	(13 98)	
	PSA Totals	10 0000			1,452 87	1,401 27	1,452 87	(51 60)	0 00
PSX	Phillips 66								
	6726/20 1	0 5000	05/14/2012	05/24/2012	15 70	15 73	15 70	0 03	
	6726/20 1	11 5000	08/25/2010	10/03/2012	293 58	522 14	293 58		228 56
	6726/20 1	13 5000	05/14/2012	10/03/2012	423 79	612 94	423 79	189 15	
	6726/20 1	18 0000	06/21/2012	10/03/2012	601 31	817 25	601 31	215 94	
	6726/20 1	21 0000	08/08/2012	10/03/2012	836 85	953 46	836 85	116 61	
	PSX Totals	64 5000			2,171 23	2,921 52	2,171 23	521 73	228 56
RAI	Reynolds American Inc								
	6726/20 1	2 0000	12/06/2010	05/14/2012	65 38	80 96	65 38		15 58
	6726/20 1	13 0000	05/03/2011	05/14/2012	484 80	526 24	484 80	41 44	
	6726/20 1	12 0000	12/03/2010	05/15/2012	387 13	485 80	387 13	98 67	
	6726/20 1	9 0000	12/06/2010	05/15/2012	294 23	364 35	294 23	70 12	
	6726/20 1	7 0000	05/03/2011	05/15/2012	261 05	283 38	261 05	22 33	
	6726/20 1	8 0000	12/14/2011	05/15/2012	324 30	323 87	324 30	(0 43)	
	RAI Totals	51 0000			1,816 89	2,064 60	1,816 89	(0 43)	248 14
RCI	Rogers Communications- B								
	6726/20 1	2 0000	08/13/2012	10/03/2012	81 31	81 74	81 31	0 43	
	6726/20 1	5 0000	08/10/2012	10/03/2012	202 30	204 34	202 30	2 04	
	6726/20 1	4 0000	08/09/2012	10/03/2012	161 16	163 47	161 16	2 31	
	6726/20 1	5 0000	08/08/2012	10/03/2012	199 89	204 34	199 89	4 45	

Rockefeller & Co
Realized Gain/Loss Report
David Bruce Smith Family Fdn (6726)

Symbol	Security Name	Shares	Acquisition Date	Liquidation Date	Original Cost	Proceeds	Cost	Realized Gain/Loss ST LT
RCI	Rogers Communications- B (cont'd) 6726/20 1	3 0000	08/14/2012	10/03/2012	122 11	122 61	122 11	0 50
	RCI Totals	19 0000			766 77	776 50	766 77	9 73
RF	Regions Financial Corporation 6726/20 1	154 0000	02/23/2012	10/03/2012	909 82	1,128 79	909 82	218 97
	6726/20 1	66 0000	03/21/2012	10/03/2012	432 01	483 77	432 01	51 76
	RF Totals	220 0000			1,341 83	1,612 56	1,341 83	270 73
RHT	Red Hat Inc 6726/21 01	4 0000	10/26/2012	11/07/2012	200 25	195 94	200 25	(4 31)
	6726/21 01	3 0000	10/26/2012	11/30/2012	150 19	148 08	150 19	(2 11)
	RHT Totals	7 0000			350 44	344 02	350 44	(6 42)
RL	Ralph Lauren Corporation 6726/21 01	1 0000	10/26/2012	11/07/2012	151 95	156 99	151 95	5 04
SBUX	Starbucks Corporation 6726/21 01	4 0000	10/26/2012	10/31/2012	182 14	180 35	182 14	(1 79)
	6726/21 01	9 0000	10/26/2012	11/02/2012	409 82	462 05	409 82	52 23
	SBUX Totals	13 0000			591 96	642 40	591 96	50 44
SLB	Schlumberger Ltd 6726/20 1	11 0000	03/21/2012	10/03/2012	814 96	783 44	814 96	(31 52)
	6726/20 1	7 0000	06/29/2012	10/03/2012	451 89	498 56	451 89	46 67
	SLB Totals	18 0000			1,266 85	1,282 00	1,266 85	15 15
SPG	Simon Property Group, Inc 6726/20 1	3 0000	12/14/2011	04/20/2012	363 30	450 75	363 30	87 45
	6726/20 1	1 0000	02/16/2011	05/14/2012	107 66	155 38	107 66	47 72
	6726/20 1	2 0000	05/03/2011	05/14/2012	229 66	310 75	229 66	81 09
	6726/20 1	2 0000	02/16/2011	07/12/2012	215 32	314 96	215 32	99 64
	6726/20 1	3 0000	08/25/2011	07/12/2012	350 65	472 43	350 65	121 78
	6726/20 1	1 0000	02/15/2011	08/08/2012	106 89	158 13	106 89	51 24
	6726/20 1	4 0000	02/16/2011	08/08/2012	430 63	632 52	430 63	201 89
	SPG Totals	16 0000			1,804 11	2,494 92	1,804 11	209 23
SRE	Sempra Energy 6726/20 1	27 0000	08/25/2010	10/03/2012	1,380 51	1,782 77	1,380 51	402 26
	6726/20 1	6 0000	05/03/2011	10/03/2012	333 36	396 17	333 36	62 81
	SRE Totals	33 0000			1,713 87	2,178 94	1,713 87	465 07

Rockefeller & Co.
Realized Gain/Loss Report
David Bruce Smith Family Fdn (6726)

Symbol	Security Name	Shares	Acquisition Date	Liquidation Date	Original Cost	Proceeds	Cost	Realized Gain/Loss S/T	L/T
STT	State Street Corp 6726/20 1	4 0000	01/12/2012	10/03/2012	174 48	167 62	174 48	(6 86)	
	6726/20 1	13 0000	01/13/2012	10/03/2012	559 35	544 75	559 35	(14 60)	
	6726/20 1	11 0000	08/27/2012	10/03/2012	453 64	460 94	453 64	7 30	
	Totals	28 0000			1,187 47	1,173 31	1,187 47	(14 16)	0 00
T	AT&T Inc								
	6726/20 1	4 0000	05/03/2011	06/21/2012	127 36	140 69	127 36		13 33
	6726/20 1	5 0000	11/17/2011	06/21/2012	142 85	175 86	142 85	33 01	
	6726/20 1	13 0000	12/14/2011	06/21/2012	378 45	457 24	378 45	78 79	
	6726/20 1	12 0000	05/14/2012	06/21/2012	402 23	422 07	402 23	19 84	
	6726/20 1	5 0000	09/12/2011	06/29/2012	137 24	178 08	137 24	40 84	
	6726/20 1	12 0000	11/17/2011	06/29/2012	342 84	427 39	342 84	84 55	
	6726/20 1	4 0000	08/25/2010	08/08/2012	107 19	149 09	107 19		41 90
	6726/20 1	17 0000	09/12/2011	08/08/2012	466 63	633 62	466 63	166 99	
	Totals	72 0000			2,104 79	2,584 04	2,104 79	424 02	55 23
TDC	Teradata Corporation 6726/21 01	3 0000	10/26/2012	11/07/2012	202 21	190 71	202 21	(11 50)	
TGT	Target Corporation 6726/20 1	7 0000	08/25/2010	10/03/2012	359 71	442 50	359 71		82 79
	6726/20 1	6 0000	09/21/2010	10/03/2012	297 25	379 28	297 25		82 03
	6726/20 1	9 0000	02/29/2012	10/03/2012	504 41	568 92	504 41	64 51	
	6726/20 1	7 0000	06/01/2012	10/03/2012	401 05	442 50	401 05	41 45	
	Totals	29 0000			1,562 42	1,833 20	1,562 42	105 96	164 82
TJX	The TJX Companies, Inc 6726/20 1	6 0000	08/25/2010	05/14/2012	122 94	241 89	122 94		118 95
	6726/20 1	10 0000	05/03/2011	05/14/2012	266 86	403 16	266 86		136 30
	6726/20 1	18 0000	08/25/2010	06/01/2012	368 82	737 62	368 82		368 80
	6726/20 1	6 0000	05/03/2011	06/01/2012	160 12	245 87	160 12		85 75
	6726/20 1	10 0000	11/17/2011	06/01/2012	295 95	409 79	295 95	113 84	
	6726/20 1	36 0000	08/25/2010	06/21/2012	737 64	1,528 71	737 64		791 07
	6726/21 01	237 0000	03/21/2012	10/26/2012	4,309 94	9,639 57	4,309 94	5,329 63	
	Totals	323 0000			6,262 27	13,206 61	6,262 27	5,443 47	1,500 87

Rockefeller & Co
Realized Gain/Loss Report
David Bruce Smith Family Fdn (6726)

Symbol	Security Name	Shares	Acquisition Date	Liquidation Date	Original Cost	Proceeds	Cost	Realized Gain/Loss S/T	L/T
TMO	Thermo Fisher Scientific Inc 6726/20 1	15 0000	08/25/2010	10/03/2012	649 65	897 36	649 65	247 71	
	6726/20 1	3 0000	05/03/2011	10/03/2012	181 80	179 47	181 80	(2 33)	
	TMO Totals	18 0000			831 45	1,076 83	831 45	0 00	245 38
TWC	Time Warner Cable, Inc 6726/20 1	6 0000	05/03/2011	01/12/2012	458 16	388 93	458 16	(69 23)	
	6726/20 1	10 0000	02/15/2011	01/13/2012	712 45	647 72	712 45	(64 73)	
	TWC Totals	16 0000			1,170 61	1,036 65	1,170 61	(133 96)	0 00
TWX	Time Warner Inc 6726/20 1	7 0000	11/11/2011	03/21/2012	246 07	250 69	246 07	4 62	
	6726/20 1	12 0000	01/27/2012	03/21/2012	451 92	429 76	451 92	(22 16)	
	6726/20 1	11 0000	11/11/2011	08/27/2012	386 68	461 48	386 68	74 80	
	6726/20 1	19 0000	11/11/2011	10/03/2012	667 89	871 23	667 89	203 34	
	TWX Totals	49 0000			1,752 56	2,013 16	1,752 56	260 60	0 00
UNH	UnitedHealth Group Inc 6726/20 1	11 0000	05/03/2011	08/27/2012	546 10	602 77	546 10	56 67	
	6726/20 1	23 0000	08/25/2010	10/03/2012	736 69	1,304 49	736 69	567 80	
	6726/20 1	13 0000	02/04/2011	10/03/2012	553 69	737 32	553 69	183 63	
	6726/20 1	1 0000	05/03/2011	10/03/2012	49 64	56 72	49 64	7 08	
	6726/20 1	17 0000	08/09/2011	10/03/2012	745 96	964 19	745 96	218 23	
	6726/21 01	133 0000	03/21/2012	10/26/2012	3,245 40	7,392 56	3,245 40	4,147 16	
	6726/21 01	70 0000	03/21/2012	10/26/2012	2,155 29	3,890 82	2,155 29	1,735 53	
	UNH Totals	268 0000			8,032 77	14,948 87	8,032 77	5,882 69	1,033 41
UNP	Union Pacific Corp 6726/20 1	5 0000	05/03/2011	06/01/2012	518 15	542 13	518 15	23 98	
	6726/20 1	22 0000	08/25/2010	10/03/2012	1,584 22	2,640 93	1,584 22	1,056 71	
	UNP Totals	27 0000			2,102 37	3,183 06	2,102 37	0 00	1,080 69
USB	US Bancorp 6726/20 1	45 0000	08/09/2011	10/03/2012	999 48	1,545 86	999 48	546 38	
UTX	United Technologies Corp 6726/20 1	4 0000	08/25/2010	06/01/2012	260 60	288 31	260 60	27 71	
	6726/20 1	7 0000	05/03/2011	06/01/2012	627 33	504 55	627 33	(122 78)	
	6726/20 1	2 0000	08/24/2011	06/01/2012	142 85	144 15	142 85	1 30	
	6726/20 1	2 0000	08/25/2011	06/01/2012	144 35	144 16	144 35	(0 19)	

Rockefeller & Co
Realized Gain/Loss Report
David Bruce Smith Family Fdn (6726)

Symbol	Security Name	Shares	Acquisition Date	Liquidation Date	Original Cost	Proceeds	Cost	Realized Gain/Loss S/T	L/T
UTX	United Technologies Corp (cont'd) 6726/20 1	20 0000	08/25/2010	10/03/2012	1,303 00	1,569 83	1,303 00		266 83
	UTX Totals	35 0000			2,478 13	2,651 00	2,478 13	1 11	171 76
VOD	Vodafone Group PLC - SP ADR 6726/20 1	20 0000	02/16/2011	03/21/2012	588 85	546 64	588 85		(42 21)
	6726/20 1	1 0000	04/06/2011	03/21/2012	29 24	27 33	29 24	(1 91)	
	VOD Totals	21 0000			618 09	573 97	618 09	(1 91)	(42 21)
VZ	Verizon Communications 6726/20 1	38 0000	08/25/2010	02/10/2012	1,125 48	1,427 27	1,125 48		301 79
	6726/20 1	5 0000	05/03/2011	02/10/2012	188 52	187 80	188 52	(0 72)	
	VZ Totals	43 0000			1,314 00	1,615 07	1,314 00	(0 72)	301 79
WFC	Wells Fargo Company 6726/20 1	5 0000	05/03/2011	03/21/2012	147 36	170 98	147 36	23 62	
	6726/20 1	105 0000	08/25/2010	10/03/2012	2,445 45	3,720 30	2,445 45		1,274 85
	6726/20 1	22 0000	05/03/2011	10/03/2012	648 39	779 49	648 39		131 10
	WFC Totals	132 0000			3,241 20	4,670 77	3,241 20	23 62	1,405 95
WMT	Wal-Mart Stores, Inc 6726/20 1	12 0000	08/25/2010	02/29/2012	616 88	707 66	616 88		90 78
XOM	Exxon Mobil Corporation 6726/20 1	6 0000	05/03/2011	07/12/2012	513 03	505 33	513 03		(7 70)
	6726/20 1	35 0000	08/25/2010	10/03/2012	2,054 38	3,200 14	2,054 38		1,145 76
	6726/20 1	13 0000	06/21/2012	10/03/2012	1,073 47	1,188 62	1,073 47	115 15	
	XOM Totals	54 0000			3,640 88	4,894 09	3,640 88	115 15	1,138 06
	Regular Gain/Loss Totals						35,398 77		28,250 00
	Merger Gain/Loss								
AVB	Avalonbay Communities, Inc 6726/20 1	0 0000			0 00	6 00	0 00		6 00
BXP	Boston Properties, Inc 6726/20 1	0 0000			0 00	0 00	0 00		0 00
	Merger Gain/Loss Totals							0 00	6 00
	Report Totals				291,431 40	308,314 87	291,431 40	35,398 77	(18,509 00)
						(A)	(B)		

David Fm Fdn EV

Account Number:

07380

YOUR EMA TRANSACTIONS

REALIZED GAINS/(LOSSES)

Description	Quantity	Acquired Date	Liquidation Date	Sale Amount	Cost Basis	This Statement	Gains/(Losses) * Year to Date
APACHE CORP	6 0000	08/25/10	12/14/11	537.12	518.43	18.69	
CONOCOPHILLIPS	4 0000	08/25/10	12/13/11	279.37	212.98	66.39	
CONOCOPHILLIPS	4 0000	08/25/10	12/14/11	278.07	212.98	65.09	
FIFTH THIRD BANCORP	34 0000	08/25/10	12/14/11	402.83	368.75	34.08	
GOLDMAN SACHS GROUP INC	3 0000	08/25/10	12/13/11	284.61	432.69	(148.08)	
GOLDMAN SACHS GROUP INC	1 0000	08/25/10	12/14/11	94.02	144.23	(50.21)	
MCDONALDS CORP COM	9 0000	08/25/10	12/13/11	882.04	658.17	223.87	
NESTLE S A REP RG SH ADR	14 0000	08/25/10	12/14/11	757.03	708.12	48.91	
PRUDENTIAL FINANCIAL INC	11 0000	08/25/10	12/14/11	519.75	546.10	(26.35)	
PNG FINCL SERVICES GROUP	12 0000	08/25/10	12/14/11	645.88	599.76	46.12	
PEPSICO INC	7 0000	08/25/10	12/14/11	450.77	452.27	(1.50)	
TARGET CORP COM	16 0000	08/25/10	12/14/11	838.74	822.20	16.54	
TARGET CORP COM	2 0000	09/21/10	12/14/11	104.85	99.08	5.77	
WAL-MART STORES INC	17 0000	08/25/10	12/14/11	981.85	873.91	107.94	
Subtotal (Long-Term)						407.26	
MCDONALDS CORP COM	6 0000	05/03/11	12/13/11	588.04	473.40	114.64	
PPG INDUSTRIES INC SHS	9.0000	08/09/11	12/14/11	725.16	672.67	52.49	
TYCO INTL LTD NAMEN-AKT	20 0000	08/24/11	12/14/11	900.98	803.24	97.74	
ACE LIMITED	6 0000	04/28/11	12/14/11	400.83	403.78	(2.95)	
ACE LIMITED	2 0000	04/29/11	12/14/11	133.62	135.01	(1.39)	
Subtotal (Short-Term)						260.53	
TOTAL				9,805.56	9,137.77	667.79	
Total From page 16				(A) 308,321	(B) 291,431	16,890	
Total Gain Loss				318,127	300,563	17,564	

