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

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

2012

Open to public inspection

For calendar year 2012 or tax year beginning

, and ending

Name of foundation SUSAN R. AND JOHN W. SULLIVAN FOUNDATION		A Employer identification number 22-2612047
Number and street (or P O box number if mail is not delivered to street address) 851 SE MONTEREY COMMONS BLVD.	Room/suite	B Telephone number (772) 283-3838
City or town, state, and ZIP code STUART, FL 34996-3337		C If exemption application is pending, check here <input type="checkbox"/>
G Check all that apply: <input type="checkbox"/> Initial return <input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Final return <input type="checkbox"/> Amended return <input type="checkbox"/> Address change <input type="checkbox"/> Name change		D 1. Foreign organizations, check here <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/>
H Check type of organization: <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/>
I Fair market value of all assets at end of year (from Part II, col (c), line 16) \$ 6,731,847.	J Accounting method: <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____	F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>

Part I 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		200,000.		N/A	
2 Check <input type="checkbox"/> if the foundation is not required to attach Sch B					
3 Interest on savings and temporary cash investments					
4 Dividends and interest from securities		157,963.	157,963.		STATEMENT 1
5a Gross rents					
b Net rental income or (loss)					
6a Net gain or (loss) from sale of assets not on line 10		35,968.			
b Gross sales price for all assets on line 6a		3,832,483.			
7 Capital gain net income (from Part IV, line 2)			35,968.		
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		20,363.	862.		STATEMENT 2
12 Total. Add lines 1 through 11		414,294.	194,793.		
13 Compensation of officers, directors, trustees, etc		18,000.	9,000.		9,000.
14 Other employee salaries and wages					
15 Pension plans, employee benefits					
16a Legal fees					
b Accounting fees		1,931.	966.		965.
c Other professional fees		72,000.	36,000.		36,000.
17 Interest					
18 Taxes		<3,234.>	2,583.		0.
19 Depreciation and depletion					
20 Occupancy					
21 Travel, conferences, and meetings					
22 Printing and publications					
23 Other expenses		35,732.	35,268.		484.
24 Total operating and administrative expenses. Add lines 13 through 23		124,429.	83,817.		46,449.
25 Contributions, gifts, grants paid		417,790.			415,350.
26 Total expenses and disbursements. Add lines 24 and 25		542,219.	83,817.		461,799.
27 Subtract line 26 from line 12:					
a Excess of revenue over expenses and disbursements		<127,925.>			
b Net investment income (if negative, enter -0-)			110,976.		
c Adjusted net income (if negative, enter -0-)				N/A	

Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only		
		Beginning of year (a) Book Value	End of year (b) Book Value	(c) Fair Market Value
Assets	1 Cash - non-interest-bearing			
	2 Savings and temporary cash investments	299,310.	1,704,699.	1,704,699.
	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 7	1,689,431.	1,282,531.	1,707,129.
	c Investments - corporate bonds STMT 8	250,000.	250,000.	309,275.
Liabilities	11 Investments - land, buildings, and equipment basis ▶			
	Less accumulated depreciation ▶			
	12 Investments - mortgage loans			
	13 Investments - other STMT 9	3,942,173.	2,815,759.	3,010,744.
	14 Land, buildings, and equipment basis ▶			
	Less accumulated depreciation ▶			
	15 Other assets (describe ▶)			
	16 Total assets (to be completed by all filers)	6,180,914.	6,052,989.	6,731,847.
	17 Accounts payable and accrued expenses			
	18 Grants payable			
	19 Deferred revenue			
	20 Loans from officers, directors, trustees, and other disqualified persons			
	21 Mortgages and other notes payable			
	22 Other liabilities (describe ▶)			
	23 Total liabilities (add lines 17 through 22)	0.	0.	
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ <input type="checkbox"/>			
	and complete lines 24 through 26 and lines 30 and 31.			
	24 Unrestricted			
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ <input checked="" type="checkbox"/>			
	and complete lines 27 through 31.			
	27 Capital stock, trust principal, or current funds	6,180,914.	6,052,989.	
	28 Paid-in or capital surplus, or land, bldg., and equipment fund	0.	0.	
	29 Retained earnings, accumulated income, endowment, or other funds	0.	0.	
	30 Total net assets or fund balances	6,180,914.	6,052,989.	
	31 Total liabilities and net assets/fund balances	6,180,914.	6,052,989.	

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	6,180,914.
2 Enter amount from Part I, line 27a	2	<127,925.>
3 Other increases not included in line 2 (itemize) ▶	3	0.
4 Add lines 1, 2, and 3	4	6,052,989.
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	6,052,989.

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			
b SEE ATTACHED STATEMENTS			
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			
b			
c			
d			
e 3,832,483.		3,796,515.	35,968.

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
a			
b			
c			
d			
e			35,968.

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	35,968.
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter -0- in Part I, line 8	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 the instructions before making any entries.

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2011	425,503.	7,072,338.	.060164
2010	431,119.	6,961,349.	.061930
2009	388,829.	6,381,388.	.060932
2008	333,429.	6,296,169.	.052957
2007	307,530.	6,443,888.	.047724

2 Total of line 1, column (d)	2	.283707
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	.056741
4 Enter the net value of noncharitable-use assets for 2012 from Part X, line 5	4	6,565,699.
5 Multiply line 4 by line 3	5	372,544.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	1,110.
7 Add lines 5 and 6	7	373,654.
8 Enter qualifying distributions from Part XII, line 4 If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate. See the Part VI instructions.	8	461,799.

Part VI Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948 - see instructions)

1a Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1 Date of ruling or determination letter: _____ (attach copy of letter if necessary-see instructions)			
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input checked="" type="checkbox"/> and enter 1% of Part I, line 27b		1	1,110.
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b).			
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		2	0.
3 Add lines 1 and 2		3	1,110.
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		4	0.
5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-		5	1,110.
6 Credits/Payments:			
a 2012 estimated tax payments and 2011 overpayment credited to 2012	6a	4,750.	
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	4,750.	
8 Enter any penalty for underpayment of estimated tax. Check here <input type="checkbox"/> 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		
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	3,640.	
11 Enter the amount of line 10 to be: Credited to 2013 estimated tax <input checked="" type="checkbox"/> 0. Refunded <input type="checkbox"/>	11	3,640.	

Part VII-A Statements Regarding Activities

	Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		X
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for definition)? If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities		X
c Did the foundation file Form 1120-POL for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. <input checked="" type="checkbox"/> \$ 0. (2) On foundation managers. <input checked="" type="checkbox"/> \$ 0.		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. <input checked="" type="checkbox"/> \$ 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?	X	
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by General Instruction T.		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	X	
7 Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col. (c), and Part XV.	X	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) <input checked="" type="checkbox"/> FL		
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 2012 or the taxable year beginning in 2012 (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

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Part VII-A Statements Regarding Activities (continued)

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)	11		X
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► N/A	13	X	
14	The books are in care of ► JOHN W. SULLIVAN Telephone no. ► (772) 283-3838 Located at ► 851 SE MONTEREY COMMONS BLVD., STUART, FL ZIP+4 ► 34996-3337			
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 2012, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? See the instructions for exceptions and filing requirements for Form TD F 90-22.1 If "Yes," enter the name of the foreign country ►	16	Yes	No X

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

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

	Yes	No
1a During the year did the foundation (either directly or indirectly):		
(1) Engage in the sale or exchange, or leasing of property with a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? Organizations relying on a current notice regarding disaster assistance check here ► <input type="checkbox"/>	1b	X
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 2012?	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 2012, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2012? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b If "Yes," did it have excess business holdings in 2012 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 2012.) 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 2012?	4b	X

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

5a During the year did the foundation pay or incur any amount to:

(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?

☐ Yes ☒ No

(2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive?

☐ Yes ☒ No

(3) Provide a grant to an individual for travel, study, or other similar purposes?

☐ Yes ☒ No

(4) Provide a grant to an organization other than a charitable, etc., organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)?

☐ 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

6b

X

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?

If "Yes" to 6b, file Form 8870

☐ Yes ☒ No

7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?

N/A

7b

b If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction?

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
SEE STATEMENT 10		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

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Part X Minimum Investment Return (All domestic foundations must complete this part. Foreign foundations, see instructions)

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
a	Average monthly fair market value of securities	1a	5,627,033.
b	Average of monthly cash balances	1b	
c	Fair market value of all other assets	1c	1,038,651.
d	Total (add lines 1a, b, and c)	1d	6,665,684.
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	6,665,684.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	99,985.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	6,565,699.
6	Minimum investment return. Enter 5% of line 5	6	328,285.

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	328,285.
2a	Tax on investment income for 2012 from Part VI, line 5	2a	1,110.
b	Income tax for 2012. (This does not include the tax from Part VI.)	2b	43.
c	Add lines 2a and 2b	2c	1,153.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	327,132.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	327,132.
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	327,132.

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	461,799.
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	461,799.
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	1,110.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	460,689.

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.

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Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2011	(c) 2011	(d) 2012
1 Distributable amount for 2012 from Part XI, line 7				327,132.
2 Undistributed income, if any, as of the end of 2012				
a Enter amount for 2011 only			0.	
b Total for prior years:		0.		
3 Excess distributions carryover, if any, to 2012:				
a From 2007				
b From 2008	26,909.			
c From 2009	72,952.			
d From 2010	96,986.			
e From 2011	77,752.			
f Total of lines 3a through e	274,599.			
4 Qualifying distributions for 2012 from Part XII, line 4: ► \$ 461,799.				
a Applied to 2011, 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 2012 distributable amount				327,132.
e Remaining amount distributed out of corpus	134,667.			
5 Excess distributions carryover applied to 2012 (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	409,266.			
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 2011. Subtract line 4a from line 2a. Taxable amount - see instructions			0.	
f Undistributed income for 2012. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2013				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 2007 not applied on line 5 or line 7	0.			
9 Excess distributions carryover to 2013. Subtract lines 7 and 8 from line 6a	409,266.			
10 Analysis of line 9:				
a Excess from 2008	26,909.			
b Excess from 2009	72,952.			
c Excess from 2010	96,986.			
d Excess from 2011	77,752.			
e Excess from 2012	134,667.			

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

N/A

- 1 a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2012, enter the date of the ruling ▶
- b Check box to indicate whether the foundation is a private operating foundation described in section ☐ 4942(j)(3) or ☐ 4942(j)(5)

2 a	Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed	Prior 3 years				(e) Total
		(a) 2012	(b) 2011	(c) 2010	(d) 2009	
b	85% of line 2a					
	c Qualifying distributions from Part XII, line 4 for each year listed					
d	Amounts included in line 2c not used directly for active conduct of exempt activities					
	e Qualifying distributions made directly for active conduct of exempt activities					
3	Subtract line 2d from line 2c					
	Complete 3a, b, or c for the alternative test relied upon:					
a	"Assets" alternative test - enter:					
	(1) Value of all assets					
b	(2) Value of assets qualifying under section 4942(j)(3)(B)(i)					
	"Endowment" alternative test - enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed					
c	"Support" alternative test - enter:					
	(1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)					
	(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii)					
	(3) Largest amount of support from an exempt organization					
	(4) Gross investment income					

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

1 Information Regarding Foundation Managers:

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

SEE STATEMENT 11

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

NONE

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

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

- a** The name, address, and telephone number or e-mail of the person to whom applications should be addressed:

SEE STATEMENT 12

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

- c Any submission deadlines:**

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

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a Paid during the year				
AIM AT MELANOMA FOUNDATION 3040 CUTTING BLVD. RICHMOND, CA 94804	NONE.	PUBLIC CHARITY	MEDICAL SUPPORT	2,000.
ALLENDALE SHELTER CLUB 736 N. WESTERN AVE., #216 LAKE FOREST, IL 60045	NONE.	PUBLIC CHARITY	SUPPORT FOR CHILDREN IN NEED	660.
AMERICAN RED CROSS MARTIN COUNTY 2750 S. KANNER HWY. STUART, FL 34994	NONE.	PUBLIC CHARITY	FINANCIAL SUPPORT	18,000.
ART INSTITUTE OF CHICAGO, THE 111 S. MICHIGAN AVE. CHICAGO, IL 60603	NONE.	PUBLIC CHARITY	SUPPORT FOR THE ARTS	1,000.
ARTS COUNCIL, THE 80 E. OCEAN BLVD. STUART, FL 34994-2234	NONE.	PUBLIC CHARITY	SUPPORT FOR THE ARTS	250.
Total	SEE CONTINUATION SHEET(S)			415,350.
b Approved for future payment				
NONE				
Total				0.

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

2012

Name of the organization

SUSAN R. AND JOHN W. SULLIVAN FOUNDATION

Employer identification number

22-2612047

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 foundationCheck 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) (2012)

Name of organization

Employer identification number

SUSAN R. AND JOHN W. SULLIVAN FOUNDATION

22-2612047

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	SUSAN R. & JOHN W. SULLIVAN 7315 SE GOLFHOUSE DRIVE HOBE SOUND, FL 33455	\$ 200,000.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution.)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution.)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution.)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution.)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution.)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution.)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution.)

Name of organization

Employer identification number

SUSAN R. AND JOHN W. SULLIVAN FOUNDATION

22-2612047

Part II Noncash Property (see instructions) Use duplicate copies of Part II if additional space is needed

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	

Name of organization

Employer identification number

SUSAN R. AND JOHN W. SULLIVAN FOUNDATION

22-2612047

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

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	25 SHS PUT (SPY) SPDR S&P 500 ETF DEC 22 12	\$135		P	10/24/12	12/21/12
b	50 SHS PUT (SPY) SPDR S&P 500 ETF DEC 22 12	\$135		P	11/27/12	12/21/12
c	14 SHS CALL (ORCL) ORACLE CORPORATION JAN 18 14	\$		P	06/05/12	12/20/12
d	43 SHS GOOGLE INC CL A			P	10/11/12	12/19/12
e	700 SHS HALLIBURTON CO HOLDING CO FRMLY HALLIBURT			P	02/01/11	12/10/12
f	400 SHS HALLIBURTON CO HOLDING CO FRMLY HALLIBURT			P	12/13/11	12/10/12
g	11 SHS CALL (HAL) HALLIBURTON CO JAN 18 14	\$35 (1		P	06/05/12	12/10/12
h	0.088 SHS POTASH CORP OF SASKATCHEWAN COM NPVISIN			P	09/19/11	12/07/12
i	0.678 SHS APACHE CORP			P	11/21/12	12/06/12
j	400 SHS POTASH CORP OF SASKATCHEWAN COM NPVISIN #			P	09/19/11	12/04/12
k	300 SHS POTASH CORP OF SASKATCHEWAN COM NPVISIN #			P	12/05/11	12/04/12
l	3 SHS POTASH CORP OF SASKATCHEWAN COM NPVISIN #CA			P	11/05/12	12/04/12
m	7 SHS CALL (POT) POTASH CORP OF JAN 18 14	\$45 (10		P	06/05/12	12/04/12
n	200 SHS APACHE CORP			P	10/24/08	12/03/12
o	100 SHS APACHE CORP			P	02/24/09	12/03/12

(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		4,901.	<4,901.>
b		3,551.	<3,551.>
c	3,401.	6,440.	<3,039.>
d	30,995.	32,427.	<1,432.>
e	23,663.	31,705.	<8,042.>
f	13,522.	13,051.	471.
g	4,029.	4,455.	<426.>
h	3.	3.	0.
i	52.	51.	1.
j	15,575.	21,628.	<6,053.>
k	11,681.	12,763.	<1,082.>
l	117.	122.	<5.>
m	2,975.	1,435.	1,540.
n	15,354.	13,409.	1,945.
o	7,677.	6,058.	1,619.

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			<4,901.>
b			<3,551.>
c			<3,039.>
d			<1,432.>
e			<8,042.>
f			471.
g			<426.>
h			0.
i			1.
j			<6,053.>
k			<1,082.>
l			<5.>
m			1,540.
n			1,945.
o			1,619.

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

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

3

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	3 SHS CALL (APA) APACHE CORP JAN 18 14 \$90 (100 S			P	06/05/12	12/03/12
b	24 SHS PUT (SPY) SPDR S&P 500 ETF DEC 22 12 \$135			P	10/24/12	11/16/12
c	2 SHS CALL (AAPL) APPLE INC JAN 18 14 \$800 (100 S			P	04/13/12	11/13/12
d	5 SHS CALL (HOT) STARWOOD HOTELS & JAN 18 14 \$70			P	05/11/12	11/13/12
e	51 SHS PUT (EFA) ISHARES TR NOV 17 12 \$53 (100 SH			P	10/19/12	11/09/12
f	6 SHS CALL (FCX) FREEPORT MCMORAN JAN 18 14 \$40 (P	06/05/12	11/07/12
g	6 SHS CALL (FLR) FLUOR CORP NEW JAN 18 14 \$55 (10			P	06/05/12	11/07/12
h	6 SHS CALL (HES) HESS CORP COM JAN 18 14 \$50 (100			P	07/02/12	11/07/12
i	12 SHS CALL (LEN) LENNAR CORP JAN 18 14 \$35 (100			P	08/14/12	11/07/12
j	9 SHS CALL (MRO) MARATHON OIL CORP JAN 18 14 \$30			P	06/05/12	11/07/12
k	4 SHS CALL (WLK) WESTLAKE CHEM CORP JAN 19 13 \$60			P	06/05/12	10/26/12
l	6 SHS CALL (AMGN) AMGEN INC JAN 18 14 \$80 (100 SH			P	04/24/12	10/24/12
m	7 SHS CALL (GILD) GILEAD SCIENCES JAN 18 14 \$55 (P	02/28/12	10/24/12
n	51 SHS PUT (EFA) ISHARES TR NOV 17 12 \$53 (100 SH			P	10/19/12	10/23/12
o	16 SHS CALL (EMC) E M C CORP MASS JAN 18 14 \$30 (P	05/11/12	10/23/12

(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 3,162.		1,270.	1,892.
b 7,021.		4,705.	2,316.
c 10,800.		2,960.	7,840.
d 2,728.		975.	1,753.
e 2,905.		3,842.	<937.>
f 2,202.		3,234.	<1,032.>
g 3,538.		4,020.	<482.>
h 3,170.		5,707.	<2,537.>
i 5,439.		10,680.	<5,241.>
j 1,800.		3,285.	<1,485.>
k 1,360.		7,440.	<6,080.>
l 2,048.		8,100.	<6,052.>
m 3,344.		12,320.	<8,976.>
n 5,310.		3,842.	1,468.
o 3,828.		2,710.	1,118.

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			1,892.
b			2,316.
c			7,840.
d			1,753.
e			<937.>
f			<1,032.>
g			<482.>
h			<2,537.>
i			<5,241.>
j			<1,485.>
k			<6,080.>
l			<6,052.>
m			<8,976.>
n			1,468.
o			1,118.

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

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	360 SHS MCDONALDS CORP	P	08/08/12	10/23/12
b	23 SHS PUT (SPY) SPDR S&P 500 ETF OCT 20 12 \$135	P	08/14/12	10/19/12
c	23 SHS PUT (SPY) SPDR S&P 500 ETF OCT 20 12 \$135	P	08/03/12	10/19/12
d	1900 SHS JABIL CIRCUIT INC	P	07/09/12	10/11/12
e	19 SHS CALL (JBL) JABIL CIRCUIT INC JAN 18 14 \$27	P	07/09/12	10/11/12
f	900 SHS MICROSOFT CORP	P	01/03/12	10/11/12
g	9 SHS CALL (MSFT) MICROSOFT CORP JAN 18 14 \$35 (1	P	04/30/12	10/11/12
h	2000 SHS FORD MTR CO DEL COM	P	06/20/11	10/10/12
i	51 SHS APPLE INC	P	11/14/12	12/27/12
j	10050 SHS ALPS ETF TR ALERIAN MLP ETF	P	02/08/11	12/27/12
k	400 SHS ALPS ETF TR ALERIAN MLP ETF	P	11/10/11	12/27/12
l	167 SHS ALPS ETF TR ALERIAN MLP ETF	P	11/14/12	12/27/12
m	<1 SHS ALPS ETF TR ALERIAN MLP ETF	P	11/14/12	12/27/12
n	525 SHS AMERICAN TOWER CORPORATION COM USD0.01	P	01/12/12	12/27/12
o	1 SHS AMERICAN TOWER CORPORATION COM USD0.01	P	10/15/12	12/27/12

(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	31,693.		31,541.	152.
b			4,438.	<4,438.>
c			6,500.	<6,500.>
d	32,774.		37,010.	<4,236.>
e	2,945.		1,141.	1,804.
f	26,209.		24,129.	2,080.
g	2,013.		972.	1,041.
h	20,141.		25,968.	<5,827.>
i	25,824.		27,648.	<1,824.>
j	158,505.		145,368.	13,137.
k	6,309.		5,895.	414.
l	2,634.		2,675.	<41.>
m	8.			8.
n	39,640.		32,735.	6,905.
o	76.		73.	3.

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			152.
b			<4,438.>
c			<6,500.>
d			<4,236.>
e			1,804.
f			2,080.
g			1,041.
h			<5,827.>
i			<1,824.>
j			13,137.
k			414.
l			<41.>
m			8.
n			6,905.
o			3.

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

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

3

SUSAN R. AND JOHN W. SULLIVAN FOUNDATION

22-2612047

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Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.		(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a <1 SHS AMERICAN TOWER CORPORATION COM USD0.01		P	10/15/12	12/27/12
b 2365 SHS AVON PRODUCTS INC		P	12/20/12	12/27/12
c 125 SHS BLACKROCK INC		P	09/13/11	12/27/12
d <1 SHS BLACKROCK INC		P	12/27/12	12/27/12
e 1 SHS CALL (BLK) BLACKROCK INC JAN 19 13 \$220 (10		P	04/13/12	12/27/12
f 725 SHS BRISTOL MYERS SQUIBB		P	08/10/11	12/27/12
g 7 SHS BRISTOL MYERS SQUIBB		P	11/01/12	12/27/12
h <1 SHS BRISTOL MYERS SQUIBB		P	11/01/12	12/27/12
i 650 SHS BANK OF NOVA SCOTIA COM NPV ISIN #CA06414		P	01/10/12	12/27/12
j 5 SHS BANK OF NOVA SCOTIA COM NPV ISIN #CA0641491		P	10/29/12	12/27/12
k <1 SHS BANK OF NOVA SCOTIA COM NPV ISIN #CA064149		P	10/29/12	12/27/12
l 380 SHS BERKSHIRE HATHAWAY INC DEL CL B NEW		P	10/16/12	12/27/12
m 650 SHS CHINA MOBILE LTD SPON ADR REP 5 ORD HKD0.		P	01/10/12	12/27/12
n 6 SHS CALL (CHL) CHINA MOBILE LTD JAN 19 13 \$62.5		P	07/23/12	12/27/12
o 150 SHS CHEVRON CORP NEW		P	07/06/10	12/27/12

(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 51.		49.	2.
b 33,089.		34,755.	<1,666.>
c 25,541.		19,055.	6,486.
d 185.		188.	<3.>
e 800.		55.	745.
f 23,158.		19,473.	3,685.
g 224.		233.	<9.>
h 13.		14.	<1.>
i 38,065.		33,306.	4,759.
j 293.		273.	20.
k 45.		42.	3.
l 33,782.		34,152.	<370.>
m 37,662.		32,338.	5,324.
n 442.		85.	357.
o 16,147.		10,074.	6,073.

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col. (j), if any	(l) Losses (from col (h)) Gains (excess of col (h) gain over col. (k), but not less than "-0-")
a			2.
b			<1,666.>
c			6,486.
d			<3.>
e			745.
f			3,685.
g			<9.>
h			<1.>
i			4,759.
j			20.
k			3.
l			<370.>
m			5,324.
n			357.
o			6,073.

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

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

3

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	1.3864 SHS CHEVRON CORP NEW	P	09/10/10	12/27/12
b	1.2686 SHS CHEVRON CORP NEW	P	12/10/10	12/27/12
c	1.055 SHS CHEVRON CORP NEW	P	03/10/11	12/27/12
d	1.1973 SHS CHEVRON CORP NEW	P	06/10/11	12/27/12
e	1.2277 SHS CHEVRON CORP NEW	P	09/12/11	12/27/12
f	1.2124 SHS CHEVRON CORP NEW	P	12/12/11	12/27/12
g	1.1693 SHS CHEVRON CORP NEW	P	03/12/12	12/27/12
h	1.4521 SHS CHEVRON CORP NEW	P	06/11/12	12/27/12
i	1.0312 SHS CHEVRON CORP NEW	P	09/10/12	12/27/12
j	1 SHS CHEVRON CORP NEW	P	12/10/12	12/27/12
k	<1 SHS CHEVRON CORP NEW	P	12/10/12	12/27/12
l	800 SHS DOW CHEMICAL CO	P	12/13/11	12/27/12
m	665 SHS DOW CHEMICAL CO	P	06/06/12	12/27/12
n	15 SHS DOW CHEMICAL CO	P	10/30/12	12/27/12
o	<1 SHS DOW CHEMICAL CO	P	10/30/12	12/27/12

(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 149.		108.	41.
b 137.		109.	28.
c 114.		110.	4.
d 129.		120.	9.
e 132.		121.	11.
f 131.		126.	5.
g 126.		128.	<2.>
h 156.		143.	13.
i 111.		115.	<4.>
j 108.		105.	3.
k 41.		41.	0.
l 25,290.		20,735.	4,555.
m 21,023.		20,974.	49.
n 474.		444.	30.
o 27.		25.	2.

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			41.
b			28.
c			4.
d			9.
e			11.
f			5.
g			<2.>
h			13.
i			<4.>
j			3.
k			0.
l			4,555.
m			49.
n			30.
o			2.

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

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

3

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	14 SHS CALL (DOW) DOW CHEMICAL CO JAN 19 13 \$35 (P	07/03/12	12/27/12
b	328 SHS DUKE ENERGY CORP COMUSD0.001 ISIN #US2644	P	05/24/12	12/27/12
c	325 SHS DUKE ENERGY CORP COMUSD0.001 ISIN #US2644	P	07/31/12	12/27/12
d	7 SHS DUKE ENERGY CORP COMUSD0.001 ISIN #US26441C	P	12/17/12	12/27/12
e	<1 SHS DUKE ENERGY CORP COMUSD0.001 ISIN #US26441	P	12/17/12	12/27/12
f	1925 SHS ENCANA CORPORATION COM NPV ISIN #CA29250	P	07/12/12	12/27/12
g	19 SHS CALL (ECA) ENCANA CORPORATION JAN 19 13 \$2	P	07/23/12	12/27/12
h	255 SHS ENSCO PLC COM USD0.10 A	P	06/25/12	12/27/12
i	1 SHS ENSCO PLC COM USD0.10 A	P	12/21/12	12/27/12
j	<1 SHS ENSCO PLC COM USD0.10 A	P	12/21/12	12/27/12
k	2 SHS CALL (ESV) ENSCO PLC COM JAN 19 13 \$60 (100	P	07/23/12	12/27/12
l	1179 SHS EATON CORP PLC COM	P	12/03/12	12/27/12
m	<1 SHS EATON CORP PLC COM	P	12/03/12	12/27/12
n	600 SHS FREEPORT MCMORAN COPPER & GOLD INC.	P	10/05/11	12/27/12
o	315 SHS FREEPORT MCMORAN COPPER & GOLD INC.	P	06/06/12	12/27/12

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a 1,506.		56.	1,450.
b 20,725.		21,353.	<628.>
c 20,536.		22,037.	<1,501.>
d 442.		451.	<9.>
e 46.		48.	<2.>
f 37,599.		37,185.	414.
g 1,331.		96.	1,235.
h 14,688.		10,743.	3,945.
i 58.		60.	<2.>
j 35.		36.	<1.>
k 270.		118.	152.
l 62,440.		61,197.	1,243.
m 40.		39.	1.
n 20,054.		19,722.	332.
o 10,528.		10,505.	23.

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			1,450.
b			<628.>
c			<1,501.>
d			<9.>
e			<2.>
f			414.
g			1,235.
h			3,945.
i			<2.>
j			<1.>
k			152.
l			1,243.
m			1.
n			332.
o			23.

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

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

3

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	7 SHS FREEPORT MCMORAN COPPER & GOLD INC.	P	11/01/12	12/27/12
b	<1 SHS FREEPORT MCMORAN COPPER & GOLD INC.	P	11/01/12	12/27/12
c	202 SHS GOLUB CAP BDC INC COM	P	12/18/12	12/27/12
d	210 SHS GOLUB CAP BDC INC COM	P	12/21/12	12/27/12
e	1560 SHS GANNETT CO INC	P	08/06/12	12/27/12
f	15 SHS CALL (GCI) GANNETT CO INC JAN 19 13 \$20 (1	P	10/04/12	12/27/12
g	350 SHS HOME DEPOT INC	P	07/06/10	12/27/12
h	2.7619 SHS HOME DEPOT INC	P	09/16/10	12/27/12
i	2.4185 SHS HOME DEPOT INC	P	12/16/10	12/27/12
j	75 SHS HOME DEPOT INC	P	02/08/11	12/27/12
k	2.9587 SHS HOME DEPOT INC	P	03/24/11	12/27/12
l	300 SHS HOME DEPOT INC	P	04/06/11	12/27/12
m	5.2321 SHS HOME DEPOT INC	P	06/30/11	12/27/12
n	5.9069 SHS HOME DEPOT INC	P	09/15/11	12/27/12
o	5.415 SHS HOME DEPOT INC	P	12/15/11	12/27/12

(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 234.		274.	<40.>
b 11.		13.	<2.>
c 3,185.		3,178.	7.
d 3,311.		3,354.	<43.>
e 27,576.		22,841.	4,735.
f 750.		76.	674.
g 21,162.		9,547.	11,615.
h 167.		83.	84.
i 146.		83.	63.
j 4,535.		2,779.	1,756.
k 179.		108.	71.
l 18,139.		11,256.	6,883.
m 316.		183.	133.
n 357.		185.	172.
o 327.		216.	111.

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			<40.>
b			<2.>
c			7.
d			<43.>
e			4,735.
f			674.
g			11,615.
h			84.
i			63.
j			1,756.
k			71.
l			6,883.
m			133.
n			172.
o			111.

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

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

3

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	4.4487 SHS HOME DEPOT INC	P	03/22/12	12/27/12
b	4.1578 SHS HOME DEPOT INC	P	06/14/12	12/27/12
c	3.7004 SHS HOME DEPOT INC	P	09/13/12	12/27/12
d	3 SHS HOME DEPOT INC	P	12/13/12	12/27/12
e	<1 SHS HOME DEPOT INC	P	12/13/12	12/27/12
f	527 SHS JOHNSON CTLS INC	P	04/13/12	12/27/12
g	429 SHS JOHNSON CTLS INC	P	08/15/12	12/27/12
h	250 SHS JOHNSON & JOHNSON	P	06/08/12	12/27/12
i	2 SHS JOHNSON & JOHNSON	P	12/11/12	12/27/12
j	<1 SHS JOHNSON & JOHNSON	P	12/11/12	12/27/12
k	835 SHS JPMORGAN CHASE & CO	P	03/01/12	12/27/12
l	315 SHS JPMORGAN CHASE & CO	P	05/22/12	12/27/12
m	8 SHS JPMORGAN CHASE & CO	P	10/31/12	12/27/12
n	<1 SHS JPMORGAN CHASE & CO	P	10/31/12	12/27/12
o	845 SHS LILLY ELI & CO	P	03/02/12	12/27/12

(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 269.		217.	52.
b 251.		219.	32.
c 224.		212.	12.
d 181.		191.	<10.>
e 28.		30.	<2.>
f 15,789.		17,306.	<1,517.>
g 12,853.		11,308.	1,545.
h 17,468.		15,750.	1,718.
i 140.		140.	0.
j 12.		12.	0.
k 35,889.		33,378.	2,511.
l 13,539.		10,654.	2,885.
m 344.		329.	15.
n 16.		16.	0.
o 41,042.		33,316.	7,726.

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			52.
b			32.
c			12.
d			<10.>
e			<2.>
f			<1,517.>
g			1,545.
h			1,718.
i			0.
j			0.
k			2,511.
l			2,885.
m			15.
n			0.
o			7,726.

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

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

3

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	8 SHS LILLY ELI & CO	P	12/10/12	12/27/12
b	<1 SHS LILLY ELI & CO	P	12/10/12	12/27/12
c	8 SHS CALL (LLY) LILLY ELI & CO JAN 19 13 \$50 (10	P	07/23/12	12/27/12
d	695 SHS M D C HLDGS INC FRMLY M D C CRP COLO	P	07/31/12	12/27/12
e	5 SHS M D C HLDGS INC FRMLY M D C CRP COLO	P	11/21/12	12/27/12
f	<1 SHS M D C HLDGS INC FRMLY M D C CRP COLO	P	11/21/12	12/27/12
g	822 SHS NAVIOS MARITIME PARTNERS L.P. COM UNITS R	P	11/21/12	12/27/12
h	1273 SHS NAVIOS MARITIME PARTNERS L.P. COM UNITS	P	11/26/12	12/27/12
i	650 SHS PFIZER INC	P	07/06/10	12/27/12
j	7.3286 SHS PFIZER INC	P	09/01/10	12/27/12
k	7.1277 SHS PFIZER INC	P	12/01/10	12/27/12
l	175 SHS PFIZER INC	P	02/08/11	12/27/12
m	7.0837 SHS PFIZER INC	P	03/01/11	12/27/12
n	8.0335 SHS PFIZER INC	P	06/07/11	12/27/12
o	280 SHS PFIZER INC	P	07/28/11	12/27/12

(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 389.		394.	<5.>
b 20.		20.	0.
c 766.		344.	422.
d 24,066.		22,209.	1,857.
e 173.		168.	5.
f 6.		6.	0.
g 9,921.		10,948.	<1,027.>
h 15,364.		17,132.	<1,768.>
i 16,153.		9,262.	6,891.
j 182.		117.	65.
k 177.		118.	59.
l 4,349.		3,346.	1,003.
m 176.		133.	43.
n 200.		169.	31.
o 6,958.		5,472.	1,486.

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

(i) F M.V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			<5.>
b			0.
c			422.
d			1,857.
e			5.
f			0.
g			<1,027.>
h			<1,768.>
i			6,891.
j			65.
k			59.
l			1,003.
m			43.
n			31.
o			1,486.

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

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	11.9436 SHS PFIZER INC	P	09/06/11	12/27/12
b	11.4364 SHS PFIZER INC	P	12/06/11	12/27/12
c	12.1021 SHS PFIZER INC	P	03/06/12	12/27/12
d	11.6428 SHS PFIZER INC	P	06/05/12	12/27/12
e	10.3016 SHS PFIZER INC	P	09/05/12	12/27/12
f	10 SHS PFIZER INC	P	12/04/12	12/27/12
g	260 SHS PPG INDUSTRIES	P	11/19/12	12/27/12
h	245 SHS ROYAL DUTCH SHELL ADR EA REP 2 CL A EUR0.	P	12/13/12	12/27/12
i	1130 SHS STARWOOD PPTY TR INCCOM	P	12/15/11	12/27/12
j	21 SHS STARWOOD PPTY TR INCCOM	P	10/15/12	12/27/12
k	<1 SHS STARWOOD PPTY TR INCCOM	P	10/15/12	12/27/12
l	450 SHS VODAFONE GROUP SPON ADR REP 10 ORD USD0.1	P	07/06/10	12/27/12
m	6.9913 SHS VODAFONE GROUP SPON ADR REP 10 ORD USD	P	02/04/11	12/27/12
n	100 SHS VODAFONE GROUP SPON ADR REP 10 ORD USD0.1	P	02/08/11	12/27/12
o	19.5227 SHS VODAFONE GROUP SPON ADR REP 10 ORD US	P	08/05/11	12/27/12

(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 297.		227.	70.
b 284.		229.	55.
c 301.		255.	46.
d 289.		257.	32.
e 256.		247.	9.
f 249.		249.	0.
g 34,375.		30,841.	3,534.
h 16,926.		16,807.	119.
i 25,752.		21,157.	4,595.
j 479.		477.	2.
k 20.		20.	0.
l 11,319.		9,584.	1,735.
m 176.		201.	<25.>
n 2,515.		2,909.	<394.>
o 491.		539.	<48.>

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			70.
b			55.
c			46.
d			32.
e			9.
f			0.
g			3,534.
h			119.
i			4,595.
j			2.
k			0.
l			1,735.
m			<25.>
n			<394.>
o			<48.>

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

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	665 SHS VODAFONE GROUP SPON ADR REP 10 ORD USD0.1	P	11/03/11	12/27/12
b	27.7567 SHS VODAFONE GROUP SPON ADR REP 10 ORD US	P	02/09/12	12/27/12
c	20.7174 SHS VODAFONE GROUP SPON ADR REP 10 ORD US	P	02/09/12	12/27/12
d	44.0119 SHS VODAFONE GROUP SPON ADR REP 10 ORD US	P	08/01/12	12/27/12
e	400 SHS VODAFONE GROUP SPON ADR REP 10 ORD USD0.1	P	10/10/12	12/27/12
f	0.428 SHS COCA COLA CO	P	12/17/12	12/21/12
g	19 SHS PUT (SPY) SPDR S&P 500 ETF DEC 22 12 \$135	P	10/22/12	12/21/12
h	38 SHS PUT (SPY) SPDR S&P 500 ETF DEC 22 12 \$135	P	11/27/12	12/21/12
i	685 SHS NEWMONT MNG CORP HLDG CO	P	05/21/12	12/20/12
j	6 SHS CALL (NEM) NEWMONT MNG CORP JAN 19 13 \$57.5	P	07/03/12	12/20/12
k	950 SHS COCA COLA CO	P	03/12/12	12/18/12
l	6 SHS COCA COLA CO	P	12/17/12	12/18/12
m	250 SHS OCCIDENTAL PETROLEUMCORP	P	07/26/12	12/13/12
n	2 SHS CALL (OXY) OCCIDENTAL PETROLEUMJAN 19 13 \$1	P	08/17/12	12/13/12
o	6 SHS CALL (BNS) BANK OF NOVA SCOTIA DEC 22 12 \$5	P	07/23/12	12/12/12

(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 16,727.		18,660.	<1,933.>
b 698.		771.	<73.>
c 521.		576.	<55.>
d 1,107.		1,260.	<153.>
e 10,061.		11,497.	<1,436.>
f 16.		16.	0.
g		2,810.	<2,810.>
h		2,699.	<2,699.>
i 29,538.		32,178.	<2,640.>
j 931.		20.	911.
k 35,362.		33,245.	2,117.
l 223.		226.	<3.>
m 18,925.		21,310.	<2,385.>
n 372.		8.	364.
o 510.		1,650.	<1,140.>

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			<1,933.>
b			<73.>
c			<55.>
d			<153.>
e			<1,436.>
f			0.
g			<2,810.>
h			<2,699.>
i			<2,640.>
j			911.
k			2,117.
l			<3.>
m			<2,385.>
n			364.
o			<1,140.>

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

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	920 SHS EATON CORP EXCHANGED FOR ONE SHARE OF CUS	P	05/01/12	12/03/12
b	250 SHS EATON CORP EXCHANGED FOR ONE SHARE OF CUS	P	05/22/12	12/03/12
c	9.758 SHS EATON CORP EXCHANGED FOR ONE SHARE OF C	P	10/19/12	12/03/12
d	11 SHS CALL (ETN) EATON CORP JAN 19 13 \$50 (100 S	P	08/14/12	11/29/12
e	1175 SHS MICROSOFT CORP	P	01/10/12	11/19/12
f	11 SHS CALL (MSFT) MICROSOFT CORP JAN 19 13 \$34 (P	07/23/12	11/19/12
g	19 SHS PUT (SPY) SPDR S&P 500 ETF DEC 22 12 \$135	P	10/22/12	11/16/12
h	46 SHS PUT (EFA) ISHARES TR NOV 17 12 \$53 (100 SH	P	10/19/12	11/14/12
i	500 SHS INTEL CORP	P	07/06/10	11/14/12
j	4.3174 SHS INTEL CORP	P	09/01/10	11/14/12
k	3.7396 SHS INTEL CORP	P	12/01/10	11/14/12
l	225 SHS INTEL CORP	P	02/08/11	11/14/12
m	4.363 SHS INTEL CORP	P	03/01/11	11/14/12
n	575 SHS INTEL CORP	P	04/06/11	11/14/12
o	10.5226 SHS INTEL CORP	P	06/01/11	11/14/12

(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 47,753.		44,495.	3,258.
b 12,976.		10,588.	2,388.
c 507.		445.	62.
d 1,295.		3,304.	<2,009.>
e 31,325.		32,841.	<1,516.>
f 385.		11.	374.
g 5,559.		2,810.	2,749.
h 3,415.		4,582.	<1,167.>
i 10,025.		9,669.	356.
j 87.		79.	8.
k 75.		79.	<4.>
l 4,511.		4,848.	<337.>
m 87.		92.	<5.>
n 11,528.		11,408.	120.
o 211.		238.	<27.>

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col. (j), if any	(l) Losses (from col (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			3,258.
b			2,388.
c			62.
d			<2,009.>
e			<1,516.>
f			374.
g			2,749.
h			<1,167.>
i			356.
j			8.
k			<4.>
l			<337.>
m			<5.>
n			120.
o			<27.>

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

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

3

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	13.9332 SHS INTEL CORP	P	09/01/11	11/14/12
b	12.0645 SHS INTEL CORP	P	12/01/11	11/14/12
c	10.6777 SHS INTEL CORP	P	03/01/12	11/14/12
d	10.9885 SHS INTEL CORP	P	06/01/12	11/14/12
e	12.3935 SHS INTEL CORP	P	09/04/12	11/14/12
f	13 SHS CALL (INTC) INTEL CORP JAN 19 13 \$30 (100	P	08/14/12	11/14/12
g	46 SHS PUT (EFA) ISHARES TR NOV 17 12 \$53 (100 SH	P	10/19/12	11/13/12
h	6 SHS CALL (MDC) M D C HLDGS INC DEC 22 12 \$40 (1	P	08/16/12	11/01/12
i	5 SHS CALL (AMT) AMERICAN TOWER JAN 19 13 \$74.65	P	07/23/12	10/31/12
j	1 SHS CALL (CVX) CHEVRON CORP NEW JAN 19 13 \$110	P	04/16/12	10/31/12
k	9 SHS CALL (FCX) FREEPORT MCMORAN JAN 19 13 \$40 (P	07/03/12	10/31/12
l	7 SHS CALL (HD) HOME DEPOT INC JAN 19 13 \$55 (100	P	04/16/12	10/31/12
m	478 SHS JOHNSON CTLS INC	P	04/13/12	10/31/12
n	10 SHS CALL (JCI) JOHNSON CTLS INC JAN 19 13 \$32	P	07/02/12	10/31/12
o	11 SHS CALL (JPM) JPMORGAN CHASE & CO JAN 19 13 \$	P	07/23/12	10/31/12

(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 279.		278.	1.
b 242.		281.	<39.>
c 214.		283.	<69.>
d 220.		286.	<66.>
e 248.		307.	<59.>
f 390.		13.	377.
g 3,412.		3,412.	0.
h 415.		1,620.	<1,205.>
i 1,069.		1,275.	<206.>
j 390.		342.	48.
k 1,474.		1,806.	<332.>
l 1,645.		4,815.	<3,170.>
m 12,220.		15,696.	<3,476.>
n 604.		99.	505.
o 886.		3,091.	<2,205.>

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			1.
b			<39.>
c			<69.>
d			<66.>
e			<59.>
f			377.
g			0.
h			<1,205.>
i			<206.>
j			48.
k			<332.>
l			<3,170.>
m			<3,476.>
n			505.
o			<2,205.>

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

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

3

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	45 SHS PUT (EFA) ISHARES TR NOV 17 12	\$53	(100 SH			P	10/19/12	10/23/12
b	20 SHS PUT (SPY) SPDR S&P 500 ETF OCT 20 12	\$135				P	08/03/12	10/19/12
c	20 SHS PUT (SPY) SPDR S&P 500 ETF OCT 20 12	\$135				P	08/14/12	10/19/12
d	104 SHS PUT (QQQ) POWERSHARES QQQ TR NOV 17 12	\$6				P	10/08/12	10/17/12
e	51 SHS PUT (QQQ) POWERSHARES QQQ TR NOV 17 12	\$66				P	10/08/12	10/10/12
f	37377.049 SHS LORD ABBETT INCOME CLASS A					P	09/22/11	11/07/12
g	27916.344 SHS LORD ABBETT SHORT DURATION INCOME C					P	12/05/11	11/07/12
h	128.278 SHS LORD ABBETT SHORT DURATION INCOME CL					P	12/30/11	11/07/12
i	163.157 SHS LORD ABBETT SHORT DURATION INCOME CL					P	01/31/12	11/07/12
j	162.446 SHS LORD ABBETT SHORT DURATION INCOME CL					P	02/29/12	11/07/12
k	157.259 SHS LORD ABBETT SHORT DURATION INCOME CL					P	03/30/12	11/07/12
l	154.124 SHS LORD ABBETT SHORT DURATION INCOME CL					P	04/30/12	11/07/12
m	150.302 SHS LORD ABBETT SHORT DURATION INCOME CL					P	05/31/12	11/07/12
n	149.614 SHS LORD ABBETT SHORT DURATION INCOME CL					P	06/29/12	11/07/12
o	146.234 SHS LORD ABBETT SHORT DURATION INCOME CL					P	07/31/12	11/07/12

(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	4,685.		3,390.	1,295.
b			5,620.	<5,620.>
c			3,859.	<3,859.>
d	5,736.		7,699.	<1,963.>
e	5,812.		3,775.	2,037.
f	114,000.		108,020.	5,980.
g	129,811.		126,461.	3,350.
h	596.		582.	14.
i	759.		747.	12.
j	755.		747.	8.
k	731.		723.	8.
l	717.		709.	8.
m	699.		687.	12.
n	696.		687.	9.
o	680.		674.	6.

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			1,295.
b			<5,620.>
c			<3,859.>
d			<1,963.>
e			2,037.
f			5,980.
g			3,350.
h			14.
i			12.
j			8.
k			8.
l			8.
m			12.
n			9.
o			6.

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

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

3

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	120.128 SHS LORD ABBETT SHORT DURATION INCOME CL	P	08/31/12	11/07/12
b	18.795 SHS LORD ABBETT SHORT DURATION INCOME CL A	P	09/28/12	11/07/12
c	93.763 SHS LORD ABBETT SHORT DURATION INCOME CL A	P	10/31/12	11/07/12
d	100000 SHS METROPOLITAN LIFE GLOBAL FDG I 2.62500	P	03/03/11	12/03/12
e	21 SHS BAYER AG SPON ADR-EACH REPR 1 ORD NPV	P	11/15/10	10/10/12
f	90 SHS BAYER AG SPON ADR-EACH REPR 1 ORD NPV	P	08/24/09	10/08/12
g	26 SHS BAYER AG SPON ADR-EACH REPR 1 ORD NPV	P	11/15/10	10/08/12
h	5 SHS BHP BILLITON LIMITEDADR EACH REP 2 ORD NPV(P	06/11/10	10/08/12
i	19 SHS BHP BILLITON LIMITEDADR EACH REP 2 ORD NPV	P	06/15/10	10/08/12
j	302 SHS CIA ENERGETICA MINASGERAIS-CEMIG SPON ADR	P	08/12/09	11/30/12
k	4 SHS DIAGEO ADR EACH REPR4 ORD GBX28.935185	P	08/12/09	10/10/12
l	14 SHS DIAGEO ADR EACH REPR4 ORD GBX28.935185	P	05/04/10	10/10/12
m	46 SHS DIAGEO ADR EACH REPR4 ORD GBX28.935185	P	08/12/09	10/08/12
n	145 SHS GDF SUEZ SPON ADR EACH REPR 1 ORD	P	11/09/10	11/30/12
o	20 SHS GDF SUEZ SPON ADR EACH REPR 1 ORD	P	10/09/12	11/30/12

(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 559.		555.	4.
b 87.		87.	0.
c 436.		436.	0.
d 100,020.		103,728.	<3,708.>
e 1,829.		1,606.	223.
f 7,955.		5,692.	2,263.
g 2,298.		1,988.	310.
h 341.		323.	18.
i 1,294.		1,274.	20.
j 3,628.		3,338.	290.
k 451.		248.	203.
l 1,578.		939.	639.
m 5,297.		2,848.	2,449.
n 3,259.		5,683.	<2,424.>
o 449.		449.	0.

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
a			4.
b			0.
c			0.
d			<3,708.>
e			223.
f			2,263.
g			310.
h			18.
i			20.
j			290.
k			203.
l			639.
m			2,449.
n			<2,424.>
o			0.

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

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Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.		(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a	429 SHS MTN GROUP LTD ADR EACH REPR 1 ORD ZAR0.00	P	12/22/10	12/31/12
b	265 SHS ORANGE ADR EACH REPR1 ORD EUR4	P	11/09/10	11/13/12
c	50 SHS RECKITT BENCKISER GROUP PLC SPONSORED ADR	P	05/24/12	12/26/12
d	235 SHS RECKITT BENCKISER GROUP PLC SPONSORED ADR	P	05/25/12	12/26/12
e	525 SHS RECKITT BENCKISER GROUP PLC SPONSORED ADR	P	05/29/12	12/26/12
f	303 SHS RECKITT BENCKISER GROUP PLC SPONSORED ADR	P	10/10/12	12/26/12
g	162 SHS RECKITT BENCKISER GROUP PLC SPONSORED ADR	P	11/30/12	12/26/12
h	2 SHS ROYAL DUTCH SHELL ADR EA REP 2 CL A EUR0.07	P	12/20/12	12/26/12
i	29 SHS ROYAL DUTCH SHELL ADR EA REP 2 CL B EUR0.0	P	10/15/10	11/30/12
j	180 SHS STATOIL ASA SPON ADREACH REP 1 ORD NOK2.5	P	05/15/12	12/04/12
k	291 SHS STATOIL ASA SPON ADREACH REP 1 ORD NOK2.5	P	01/19/12	12/04/12
l	64 SHS STATOIL ASA SPON ADREACH REP 1 ORD NOK2.50	P	01/19/12	11/30/12
m	87 SHS TESCO ADR EACH REPR 3 ORD (JPM)	P	11/09/10	10/08/12
n	295 SHS TAIWAN SEMICONDUCTORMANUFACTURING ADS EAC	P	08/12/09	12/31/12
o	91 SHS TAIWAN SEMICONDUCTORMANUFACTURING ADS EACH	P	11/09/10	12/31/12

(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 9,086.		8,467.	619.
b 2,785.		6,346.	<3,561.>
c 640.		534.	106.
d 3,007.		2,523.	484.
e 6,719.		5,706.	1,013.
f 3,878.		3,466.	412.
g 2,073.		2,039.	34.
h 138.		132.	6.
i 2,005.		1,796.	209.
j 4,364.		4,526.	<162.>
k 7,055.		7,418.	<363.>
l 1,559.		1,631.	<72.>
m 1,336.		1,750.	<414.>
n 5,025.		3,059.	1,966.
o 1,550.		1,021.	529.

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			619.
b			<3,561.>
c			106.
d			484.
e			1,013.
f			412.
g			34.
h			6.
i			209.
j			<162.>
k			<363.>
l			<72.>
m			<414.>
n			1,966.
o			529.

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

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

3

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Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.		(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a	209 SHS TREASURY WINE ESTATES LTD SPON ADREACH RE	P	11/09/10	11/13/12
b	519 SHS TREASURY WINE ESTATES LTD SPON ADREACH RE	P	11/30/11	11/13/12
c	370 SHS TREASURY WINE ESTATES LTD SPON ADREACH RE	P	09/22/09	10/08/12
d	413 SHS TREASURY WINE ESTATES LTD SPON ADREACH RE	P	09/23/09	10/08/12
e	8 SHS TREASURY WINE ESTATES LTD SPON ADREACH REPR	P	11/09/10	10/08/12
f	1313 SHS CANADIAN DOLLAR CURRENCY	P	06/04/12	08/08/12
g	1313 SHS CANADIAN DOLLAR CURRENCY	P	12/05/11	08/08/12
h	1313 SHS CANADIAN DOLLAR CURRENCY	P	06/02/11	08/08/12
i	170 SHS COMPANHIA ENERGETICA	P	08/12/09	09/04/12
j	70 SHS NITTO DENKO CORP ADR	P	03/16/11	08/17/12
k	15 SHS TESCO PLC SPON ADR	P	11/09/10	05/24/12
l	110 SHS TESCO PLC SPON ADR	P	09/24/10	05/24/12
m	130 SHS TESCO PLC SPON ADR	P	08/25/10	05/24/12
n	190 SHS TELEFONICA S A ADR	P	11/09/10	04/17/12
o	15 SHS GDF SUEZ SPON ADR	P	11/09/10	04/13/12

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a 1,058.		664.	394.
b 2,627.		2,075.	552.
c 2,008.		993.	1,015.
d 2,241.		1,127.	1,114.
e 43.		25.	18.
f 1,315.		1,262.	53.
g 1,316.		1,293.	23.
h 1,316.		1,341.	<25.>
i 2,875.		1,879.	996.
j 3,261.		3,602.	<341.>
k 218.		302.	<84.>
l 1,596.		2,341.	<745.>
m 1,886.		2,470.	<584.>
n 2,858.		4,889.	<2,031.>
o 351.		588.	<237.>

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			394.
b			552.
c			1,015.
d			1,114.
e			18.
f			53.
g			23.
h			<25.>
i			996.
j			<341.>
k			<84.>
l			<745.>
m			<584.>
n			<2,031.>
o			<237.>

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

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

3

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 150 SHS GDF SUEZ SPON ADR		P	12/16/09	04/13/12
b 385 SHS QBE INS GROUP LTD		P	04/27/11	01/19/12
c 100 SHS ENERPLUS CORP COM		P	11/09/10	01/19/12
d 35 SHS ENERPLUS CORP COM		P	08/12/09	01/19/12
e 16233.766 SHS LORD ABBETT SHORT DUR		P	12/05/11	08/10/12
f 0.631 SHS VODAFONE GROUP PLC SPON		P	08/01/12	09/28/12
g 0.562 SHS PFIZER INC COM		P	09/05/12	09/28/12
h 0.047 SHS INTEL CORP COM		P	09/04/12	09/28/12
i 0.134 SHS HOME DEPOT INC COM		P	09/13/12	09/28/12
j 0.259 SHS CHEVRON CORP NEW COM		P	09/10/12	09/28/12
k 675 SHS ANNALY CAP MGMT INC COM		P	01/11/12	08/07/12
l 675 SHS ANNALY CAP MGMT INC COM		P	01/10/12	08/07/12
m 1350 SHS ANNALY CAP MGMT INC COM		P	01/10/12	08/06/12
n -5 SHS CALL VERIZON COMM 01-19-13		P	05/01/12	07/31/12
o 575 SHS VERIZON COMMUNICATIONS		P	08/10/11	07/31/12

(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 3,515.		6,358.	<2,843.>
b 4,488.		8,091.	<3,603.>
c 2,318.		2,924.	<606.>
d 811.		742.	69.
e 75,000.		73,539.	1,461.
f 18.		18.	0.
g 14.		13.	1.
h 1.		1.	0.
i 8.		8.	0.
j 30.		29.	1.
k 11,144.		10,962.	182.
l 11,144.		10,962.	182.
m 22,856.		21,924.	932.
n 455.		1,574.	<1,119.>
o 26,025.		19,740.	6,285.

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			<2,843.>
b			<3,603.>
c			<606.>
d			69.
e			1,461.
f			0.
g			1.
h			0.
i			0.
j			1.
k			182.
l			182.
m			932.
n			<1,119.>
o			6,285.

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

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

3

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	50 SHS CMS ENERGY CORP	P	02/08/11	07/31/12
b	1600 SHS CMS ENERGY CORP	P	01/27/11	07/31/12
c	200 SHS PHILLIPS 66 COM	P	06/16/11	07/26/12
d	400 SHS CONOCOPHILLIPS COM	P	06/16/11	07/26/12
e	9 SHS PUT SPDR S&P 500 ET 08-18-12	P	06/26/12	07/13/12
f	19 SHS PUT SPDR S&P 500 ET 08-18-12	P	06/22/12	07/13/12
g	6 SHS CALL YUM BRANDS 01-19-13	P	07/02/12	07/12/12
h	600 SHS YUM BRANDS INC COM	P	01/13/12	07/12/12
i	0.333 SHS DUKE ENERGY CORP NEW COM	P	05/24/12	07/03/12
j	28 SHS PUT SPDR S&P 500 ET 08-18-12	P	06/28/12	06/29/12
k	700 SHS SPDR S&P EMERGIG MARKETS	P	12/13/11	06/01/12
l	26 SHS CALL SPDR S&P 500 06-16-12	P	05/17/12	05/30/12
m	25 SHS CALL SPDR S&P 500 06-16-12	P	05/17/12	05/29/12
n	4 SHS CALL COCA COLA CO 01-19-13	P	04/03/12	05/24/12
o	6 SHS CALL CHINA MOBILE 01-19-13	P	04/24/12	05/24/12

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a 1,242.		978.	264.
b 39,730.		31,534.	8,196.
c 7,163.		6,549.	614.
d 21,360.		22,035.	<675.>
e 974.		2,677.	<1,703.>
f 2,057.		5,367.	<3,310.>
g 1,795.		1,745.	50.
h 37,472.		36,655.	817.
i 23.		22.	1.
j 2,856.		1,344.	1,512.
k 29,891.		32,258.	<2,367.>
l 1,222.		2,704.	<1,482.>
m 2,175.		2,600.	<425.>
n 616.		880.	<264.>
o 1,185.		870.	315.

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			264.
b			8,196.
c			614.
d			<675.>
e			<1,703.>
f			<3,310.>
g			50.
h			817.
i			1.
j			1,512.
k			<2,367.>
l			<1,482.>
m			<425.>
n			<264.>
o			315.

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

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

3

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	6 SHS CALL YUM BRANDS 01-19-13	P	04/24/12	05/17/12
b	13 SHS CALL INTEL CORP 01-19-13	P	04/13/12	05/17/12
c	8 SHS CALL JP MORGAN CH 01-19-13	P	04/03/12	05/17/12
d	11 SHS CALL MICROSOFT CO 01-19-13	P	04/16/12	05/17/12
e	19 SHS PUT ISHARES TR MSCI 06-16-12	P	04/11/12	05/17/12
f	6 SHS CALL FREEPORT MC 01-19-13	P	04/24/12	05/17/12
g	18 SHS PUT ISHARES TR MSCI 06-16-12	P	04/11/12	05/16/12
h	355 SHS ISHARES INC MSCI BRAZIL	P	01/10/12	05/16/12
i	18 SHS PUT ISHARES TR MSCI 06-16-12	P	04/11/12	05/14/12
j	8 SHS CALL DOW CHEM CO 01-19-13	P	01/11/12	05/09/12
k	55 SHS PUT ISHARES TR MSCI 06-16-12	P	04/11/12	05/08/12
l	3 SHS CALL ISHARES INC 06-16-12	P	01/26/12	05/01/12
m	7 SHS CALL BRISTOL MYERS 06-16-12	P	01/09/12	05/01/12
n	4 SHS CALL CONOCOPHILLI 05-19-12	P	01/25/12	05/01/12
o	5 SHS CALL VERIZON 07- 07-21-12	P	01/10/12	05/01/12

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a 1,776.		1,116.	660.
b 1,014.		650.	364.
c 1,440.		216.	1,224.
d 1,022.		891.	131.
e 6,270.		3,856.	2,414.
f 1,152.		616.	536.
g 5,580.		3,653.	1,927.
h 19,266.		21,753.	<2,487.>
i 4,539.		3,653.	886.
j 2,114.		1,388.	726.
k 9,012.		11,163.	<2,151.>
l 813.		15.	798.
m 579.		56.	523.
n 400.		133.	267.
o 517.		711.	<194.>

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			660.
b			364.
c			1,224.
d			131.
e			2,414.
f			536.
g			1,927.
h			<2,487.>
i			886.
j			726.
k			<2,151.>
l			798.
m			523.
n			267.
o			<194.>

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

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

3

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	29 SHS CALL SPDR TR S&P 01-19-13	P	04/16/12	04/30/12
b	750 SHS SPDR SER S&P REGL BKG ETF	P	12/21/11	04/30/12
c	2180 SHS SPDR SER S&P REGL BKG ETF	P	12/19/11	04/30/12
d	110 SHS PUT ISHARES TR MSCI 06-16-12	P	04/11/12	04/25/12
e	6 SHS CALL FREEPORT MC 05-19-12	P	01/25/12	04/24/12
f	51 SHS PUT SPDR S&P 500 ET 04-21-12	P	03/22/12	04/21/12
g	51 SHS PUT SPDR S&P 500 ET 04-21-12	P	03/06/12	04/21/12
h	2 SHS CALL ISHARES INC 06-16-12	P	01/26/12	04/17/12
i	170 SHS ISHARES INC MSCI BRAZIL	P	01/10/12	04/17/12
j	29 SHS CALL SPDR SER S&P 06-16-12	P	01/13/12	04/16/12
k	7 SHS CALL HOME DEPOT 05-19-12	P	01/26/12	04/16/12
l	11 SHS CALL MICROSOFT CO 07-21-12	P	01/20/12	04/16/12
m	13 SHS CALL INTEL CORP 07-21-12	P	01/25/12	04/13/12
n	1 SHS CALL BLACKROCK INC 04-21-12	P	01/25/12	04/13/12
o	19 SHS CALL NOKIA CORP SP 07-21-12	P	01/10/12	04/12/12

(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 3,805.		4,411.	<606.>
b 21,083.		17,800.	3,283.
c 61,282.		49,637.	11,645.
d 6,270.		4,010.	2,260.
e 744.		24.	720.
f		2,362.	<2,362.>
g		10,812.	<10,812.>
h 542.		38.	504.
i 10,622.		10,417.	205.
j 3,097.		2,649.	448.
k 602.		2,870.	<2,268.>
l 601.		1,023.	<422.>
m 910.		1,274.	<364.>
n 380.		320.	60.
o 762.		108.	654.

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			<606.>
b			3,283.
c			11,645.
d			2,260.
e			720.
f			<2,362.>
g			<10,812.>
h			504.
i			205.
j			448.
k			<2,268.>
l			<422.>
m			<364.>
n			60.
o			654.

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

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

3

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	22 SHS CALL NOKIA CORP SP 07-21-12	P	01/09/12	04/12/12
b	4100 SHS NOKIA CORP SPONSORED ADR	P	01/09/12	04/12/12
c	23 SHS PUT SPDR S&P 500 ET 03-17-12	P	02/24/12	03/06/12
d	23 SHS PUT SPDR S&P 500 ET 03-17-12	P	02/24/12	03/06/12
e	47 SHS PUT SPDR S&P 500 ET 03-17-12	P	02/24/12	03/06/12
f	41 SHS PUT SPDR S&P 500 ET 03-17-12	P	02/22/12	03/06/12
g	82 SHS PUT SPDR S&P 500 ET 03-17-12	P	02/13/12	03/06/12
h	17 SHS CALL SELECT SECTOR 06-16-12	P	01/26/12	03/01/12
i	40 SHS CALL SELECT SECTOR 06-16-12	P	01/13/12	03/01/12
j	1690 SHS SELECT SECTOR SPDR TR	P	01/13/12	03/01/12
k	4050 SHS SELECT SECTOR SPDR TR	P	11/10/11	03/01/12
l	50 SHS PUT CURENCYSHARE 06-16-12	P	01/19/12	02/29/12
m	25 SHS PUT CURENCYSHARES 6-16-12	P	01/11/12	02/29/12
n	25 SHS PUT CURENCYSHARE 06-16-12	P	01/06/12	02/29/12
o	310 SHS SPDR DOW JONES INTL RE	P	10/05/11	02/28/12

(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 858.		125.	733.
b 16,646.		21,443.	<4,797.>
c 4,889.		2,785.	2,104.
d 4,227.		2,785.	1,442.
e 7,772.		5,691.	2,081.
f 2,026.		2,583.	<557.>
g 4,053.		11,152.	<7,099.>
h 850.		1,105.	<255.>
i 1,722.		2,600.	<878.>
j 25,153.		23,271.	1,882.
k 60,277.		52,326.	7,951.
l 5,041.		14,150.	<9,109.>
m 2,520.		10,371.	<7,851.>
n 2,520.		10,625.	<8,105.>
o 11,370.		9,821.	1,549.

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			733.
b			<4,797.>
c			2,104.
d			1,442.
e			2,081.
f			<557.>
g			<7,099.>
h			<255.>
i			<878.>
j			1,882.
k			7,951.
l			<9,109.>
m			<7,851.>
n			<8,105.>
o			1,549.

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

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

3

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	800 SHS SPDR DOW JONES INTL RE	P	05/20/11	02/28/12
b	7 SHS CALL HOME DEPOT 03-17-12	P	01/25/12	01/26/12
c	25 SHS PUT SPDR S&P 500 ET 01-21-12	P	12/19/11	01/21/12
d	50 SHS PUT SPDR S&P 500 ET 01-21-12	P	12/14/11	01/21/12
e	50 SHS SIMON PPTY GROUP INC	P	02/08/11	01/13/12
f	50 SHS SIMON PPTY GROUP INC	P	03/31/10	01/13/12
g	200 SHS SIMON PPTY GROUP INC	P	02/17/10	01/13/12
h	125 SHS BLACKROCK INC COM	P	09/13/11	01/13/12
i	7 SHS BP PLC SPONS ADR	P	12/19/11	01/13/12
j	820 SHS BP PLC SPONS ADR	P	10/06/11	01/13/12
k	350 SHS ALPS ETF TR ALERIAN MLP ETF	P	02/08/11	01/09/12
l	12800 SHS ALPS ETF TR ALERIAN MLP ETF	P	11/23/10	01/09/12
m	950 SHS LEGGETT & PLATT INC	P	04/13/11	01/06/12
n	6 SHS CALL VERIZON COMM01-18-14	P	07/03/12	08/15/12
o	600 SHS VERIZON COMMUN	P	12/13/11	08/15/12

(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 29,342.		32,251.	<2,909.>
b 210.		203.	7.
c		3,950.	<3,950.>
d		10,317.	<10,317.>
e 6,319.		5,291.	1,028.
f 6,319.		4,226.	2,093.
g 25,276.		15,202.	10,074.
h 23,281.		19,055.	4,226.
i 306.		312.	<6.>
j 35,887.		29,921.	5,966.
k 5,811.		5,410.	401.
l 212,522.		191,778.	20,744.
m 21,718.		21,520.	198.
n 690.		690.	0.
o 26,556.		23,059.	3,497.

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			<2,909.>
b			7.
c			<3,950.>
d			<10,317.>
e			1,028.
f			2,093.
g			10,074.
h			4,226.
i			<6.>
j			5,966.
k			401.
l			20,744.
m			198.
n			0.
o			3,497.

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

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

3

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Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.		(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a	20 SHS CALL FORD MOTOR 01-18-14	P	06/05/12	08/14/12
b	11 SHS CALL MARATHON PE 01-19-13	P	01/03/12	08/14/12
c	12 SHS CALL LENNAR CORP 01-19-13	P	01/04/12	08/14/12
d	6 SHS CALL TARGET CORP 01-19-13	P	12/05/11	08/14/12
e	7 SHS CALL ARCHER DANLS 01-18-14	P	07/02/12	08/08/12
f	700 SHS ARCHER DANIELS MIDLAND	P	11/13/08	08/08/12
g	10 SHS CALL CVS CAREMARK 01-19-13	P	12/16/11	08/07/12
h	1000 SHS CVS CAREMARK CORP	P	10/26/11	08/07/12
i	400 SHS WINTRUST FINL CORP COM	P	10/27/09	07/26/12
j	16 SHS PUT SPDR S&P 500 ET 08-18-12	P	07/06/12	07/13/12
k	11 SHS PUT SPDR S&P 500 ET 08-18-12	P	06/26/12	07/13/12
l	22 SHS PUT SPDR S&P 500 ET 08-18-12	P	06/22/12	07/13/12
m	26 SHS CALL CISCO SYSTEMS 01-18-14	P	06/05/12	07/09/12
n	500 SHS CISCO SYSTEMS INC	P	07/08/11	07/09/12
o	400 SHS CISCO SYSTEMS INC	P	07/08/11	07/09/12

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a	1,040.	480.	560.
b	2,805.	11,368.	<8,563.>
c	2,040.	9,420.	<7,380.>
d	2,700.	5,400.	<2,700.>
e	1,085.	490.	595.
f	18,470.	17,213.	1,257.
g	1,270.	2,000.	<730.>
h	44,165.	36,189.	7,976.
i	14,701.	11,637.	3,064.
j	1,732.	2,384.	<652.>
k	1,191.	3,272.	<2,081.>
l	2,382.	6,214.	<3,832.>
m	3,023.	2,964.	59.
n	8,298.	7,809.	489.
o	6,638.	6,246.	392.

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			560.
b			<8,563.>
c			<7,380.>
d			<2,700.>
e			595.
f			1,257.
g			<730.>
h			7,976.
i			3,064.
j			<652.>
k			<2,081.>
l			<3,832.>
m			59.
n			489.
o			392.

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

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

3

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	700 SHS CISCO SYSTEMS INC	P	02/24/09	07/09/12
b	800 SHS CISCO SYSTEMS INC	P	02/18/09	07/09/12
c	200 SHS CISCO SYSTEMS INC	P	10/24/08	07/09/12
d	2 SHS CALL INTERNATIONAL 01-19-13	P	10/14/11	07/03/12
e	6 SHS CALL VERIZON COMM01-19-13	P	12/13/11	07/03/12
f	6 SHS CALL AETNA INC 01-19-13	P	12/05/11	07/02/12
g	7 SHS CALL ARCHER DANLS 01-19-13	P	12/05/11	07/02/12
h	7 SHS CALL PNC FINL SVCS 01-19-13	P	11/02/11	07/02/12
i	3 SHS CALL BOEING CO 01-19-13	P	10/18/11	07/02/12
j	12 SHS CALL PENNEY J C CO 01-18-14	P	05/24/12	06/21/12
k	1200 SHS PENNEY J C INC	P	05/23/12	06/21/12
l	9 SHS CALL MARATHON OIL 01-19-13	P	12/16/11	06/05/12
m	14 SHS CALL ORACLE SYS 01-19-13	P	01/17/12	06/05/12
n	4 SHS CALL NORFOLK SO 01-19-13	P	06/20/11	06/05/12
o	8 SHS CALL METLIFE INC 01-19-13	P	12/13/11	06/05/12

(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 11,617.		10,486.	1,131.
b 13,276.		12,519.	757.
c 3,319.		3,316.	3.
d 2,740.		1,340.	1,400.
e 354.		888.	<534.>
f 1,544.		276.	1,268.
g 1,427.		266.	1,161.
h 1,750.		1,869.	<119.>
i 945.		643.	302.
j 3,480.		2,280.	1,200.
k 27,283.		31,805.	<4,522.>
l 1,638.		153.	1,485.
m 3,403.		1,918.	1,485.
n 2,080.		380.	1,700.
o 1,920.		320.	1,600.

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			1,131.
b			757.
c			3.
d			1,400.
e			<534.>
f			1,268.
g			1,161.
h			<119.>
i			302.
j			1,200.
k			<4,522.>
l			1,485.
m			1,485.
n			1,700.
o			1,600.

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

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

3

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Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.		(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a	5 SHS CALL SCHLUMBER 01-19-13	P	01/17/12	06/05/12
b	3 SHS CALL APACHE CORP 01-19-13	P	11/02/11	06/05/12
c	6 SHS CALL FLUOR CORP 01-19-13	P	12/05/11	06/05/12
d	11 SHS CALL HALLIBURTON 01-19-13	P	01/17/12	06/05/12
e	6 SHS CALL FREEPORT MC01-19-13	P	12/13/11	06/05/12
f	7 SHS CALL POTASH CO 01-19-13	P	12/16/11	06/05/12
g	105 SHS CME GROUP INC COM	P	05/23/12	06/01/12
h	29 SHS CALL SPDR S&P 500 06-16-12	P	05/17/12	05/30/12
i	29 SHS CALL SPDR S&P 500 06-16-12	P	05/17/12	05/29/12
j	15 SHS CALL GENERAL MTRS 01-19-13	P	12/16/11	05/23/12
k	8 SHS CALL US BANCORP 01-19-13	P	04/03/12	05/23/12
l	860 SHS US BANCORP DEL COM	P	03/12/12	05/23/12
m	600 SHS GENERAL MTRS CO COM	P	12/05/11	05/23/12
n	900 SHS GENERAL MTRS CO COM	P	07/12/11	05/23/12
o	22 SHS PUT ISHARES TR MSCI 06-16-12	P	05/03/12	05/17/12

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a 1,750.		460.	1,290.
b 2,128.		102.	2,026.
c 2,640.		240.	2,400.
d 3,850.		704.	3,146.
e 2,100.		180.	1,920.
f 1,946.		623.	1,323.
g 26,767.		26,342.	425.
h 1,363.		3,016.	<1,653.>
i 2,523.		3,016.	<493.>
j 2,835.		2,250.	585.
k 792.		960.	<168.>
l 26,511.		25,536.	975.
m 13,032.		13,107.	<75.>
n 19,548.		27,593.	<8,045.>
o 7,260.		2,653.	4,607.

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			1,290.
b			2,026.
c			2,400.
d			3,146.
e			1,920.
f			1,323.
g			425.
h			<1,653.>
i			<493.>
j			585.
k			<168.>
l			975.
m			<75.>
n			<8,045.>
o			4,607.

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

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

3

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	21 SHS PUT ISHARES TR MSCI 06-16-12	P	05/03/12	05/16/12
b	20 SHS CALL FORD MTR CO 01-19-13	P	12/16/11	05/11/12
c	5 SHS CALL STARWOOD HO 01-19-13	P	12/13/11	05/11/12
d	6 SHS CALL QUALCOMM 01-19-13	P	10/14/11	05/11/12
e	16 SHS CALL EMC CORP 01-19-13	P	01/17/12	05/11/12
f	26 SHS CALL CISCO SYS 01-19-13	P	12/16/11	05/11/12
g	42 SHS PUT ISHARES TR MSCI 06-16-12	P	05/03/12	05/09/12
h	85 SHS PUT ISHARES TR MSCI 06-16-12	P	04/11/12	05/08/12
i	9 SHS CALL MICROSOFT 01-19-13	P	01/03/12	04/30/12
j	6 SHS CALL CELGENE CORP 01-19-13	P	04/25/11	04/30/12
k	85 SHS PUT ISHARES TR MSCI 06-16-12	P	04/11/12	04/25/12
l	6 SHS CALL AMGEN COM 01-19-13	P	11/02/11	04/24/12
m	118 SHS PUT SPDR S&P 500 ET 04-21-12	P	03/22/12	04/21/12
n	59 SHS PUT SPDR S&P 500 ET 04-21-12	P	03/12/12	04/21/12
o	59 SHS PUT SPDR S&P 500 ET 04-21-12	P	03/06/12	04/21/12

(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 6,510.		2,533.	3,977.
b 800.		240.	560.
c 1,900.		2,675.	<775.>
d 2,340.		2,610.	<270.>
e 2,363.		5,031.	<2,668.>
f 2,600.		572.	2,028.
g 9,114.		5,066.	4,048.
h 13,927.		17,252.	<3,325.>
i 1,107.		2,970.	<1,863.>
j 2,986.		7,200.	<4,214.>
k 4,845.		3,098.	1,747.
l 2,040.		6,420.	<4,380.>
m		5,465.	<5,465.>
n		5,820.	<5,820.>
o		12,508.	<12,508.>

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			3,977.
b			560.
c			<775.>
d			<270.>
e			<2,668.>
f			2,028.
g			4,048.
h			<3,325.>
i			<1,863.>
j			<4,214.>
k			1,747.
l			<4,380.>
m			<5,465.>
n			<5,820.>
o			<12,508.>

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

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

3

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	2 SHS CALL APPLE INC COM 01-19-13	P	12/16/11	04/13/12
b	15 SHS PUT SPDR S&P 500 ET 05-19-12	P	04/04/12	04/12/12
c	15 SHS PUT SPDR S&P 500 ET 05-19-12	P	04/04/12	04/10/12
d	30 SHS PUT SPDR S&P 500 ET 05-19-12	P	04/04/12	04/10/12
e	15 SHS CALL CHESAPEAKE 01-19-13	P	12/22/11	04/04/12
f	1500 SHS CHESAPEAKE ENERGY CORP	P	12/13/11	04/04/12
g	118 SHS PUT SPDR S&P 500 ET 03-17-12	P	02/02/12	03/17/12
h	21 SHS CALL SPDR S&P 01-19-13	P	01/06/12	03/12/12
i	2135 SHS SPDR SER TR S&P BKG ETF	P	12/21/11	03/12/12
j	5 SHS CALL PHILIP MORRIS I 01-19-13	P	07/20/11	03/06/12
k	27 SHS PUT SPDR S&P 500 ET 03-17-12	P	02/24/12	03/06/12
l	27 SHS PUT SPDR S&P 500 ET 03-17-12	P	02/24/12	03/06/12
m	54 SHS PUT SPDR S&P 500 ET 03-17-12	P	02/24/12	03/06/12
n	300 SHS PHILIP MORRIS INTL INC COM	P	02/18/09	03/06/12
o	200 SHS PHILIP MORRIS INTL INC COM	P	10/24/08	03/06/12

(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 6,106.		35,620.	<29,514.>
b 3,454.		3,180.	274.
c 5,303.		3,180.	2,123.
d 8,430.		6,360.	2,070.
e 2,835.		1,230.	1,605.
f 33,240.		35,963.	<2,723.>
g		12,717.	<12,717.>
h 2,520.		2,653.	<133.>
i 57,869.		50,880.	6,989.
j 1,385.		5,825.	<4,440.>
k 5,740.		3,270.	2,470.
l 4,963.		3,270.	1,693.
m 8,929.		6,539.	2,390.
n 25,468.		10,610.	14,858.
o 16,978.		8,110.	8,868.

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			<29,514.>
b			274.
c			2,123.
d			2,070.
e			1,605.
f			<2,723.>
g			<12,717.>
h			<133.>
i			6,989.
j			<4,440.>
k			2,470.
l			1,693.
m			2,390.
n			14,858.
o			8,868.

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

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

3

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	40 SHS CALL SELECT SECTS 01-19-13	P	01/06/12	03/01/12
b	2600 SHS SELECT SECTOR SPDR TR FIN	P	11/10/11	03/01/12
c	1400 SHS SELECT SECTOR SPDR TR FIN	P	09/19/11	03/01/12
d	28 SHS PUT CURENCYSH 06-16-12	P	01/19/12	02/29/12
e	28 SHS PUT CURENCYSH 06-16-12	P	01/06/12	02/29/12
f	8 SHS CALL ABBOTT LABS 01-19-13	P	12/16/11	02/28/12
g	400 SHS ABBOTT LABS COM	P	07/08/11	02/28/12
h	100 SHS ABBOTT LABS COM	P	06/24/10	02/28/12
i	200 SHS ABBOTT LABS COM	P	02/24/09	02/28/12
j	100 SHS ABBOTT LABS COM	P	10/24/08	02/28/12
k	56 SHS PUT SPDR S&P 500 ET 01-21-12	P	12/14/11	01/21/12
l	11 SHS CALL HALLIBURTON 01-19-13	P	12/16/11	01/17/12
m	14 SHS CALL ORACLE SYS 01-19-13	P	10/14/11	01/17/12
n	5 SHS CALL SCHLUMBERG 01-19-13	P	11/02/11	01/17/12
o	16 SHS CALL EMC CORP C 01-19-13	P	04/25/11	01/17/12

(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 2,288.		3,120.	<832.>
b 38,619.		33,618.	5,001.
c 20,795.		17,472.	3,323.
d 2,823.		7,924.	<5,101.>
e 2,823.		11,900.	<9,077.>
f 1,240.		1,352.	<112.>
g 22,772.		21,199.	1,573.
h 5,693.		4,764.	929.
i 11,386.		10,950.	436.
j 5,693.		5,306.	387.
k		11,555.	<11,555.>
l 1,782.		1,506.	276.
m 4,830.		1,498.	3,332.
n 3,000.		1,315.	1,685.
o 4,960.		684.	4,276.

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			<832.>
b			5,001.
c			3,323.
d			<5,101.>
e			<9,077.>
f			<112.>
g			1,573.
h			929.
i			436.
j			387.
k			<11,555.>
l			276.
m			3,332.
n			1,685.
o			4,276.

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

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

3

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 395 SHS BERKSHIRE HATHAWAY		P	09/29/11	01/03/12
b CAPITAL GAINS DIVIDENDS				
c				
d				
e				
f				
g				
h				
i				
j				
k				
l				
m				
n				
o				

(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 30,778.		28,139.	2,639.
b 2,678.			2,678.
c			
d			
e			
f			
g			
h			
i			
j			
k			
l			
m			
n			
o			

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			2,639.
b			2,678.
c			
d			
e			
f			
g			
h			
i			
j			
k			
l			
m			
n			
o			

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	35,968.
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter "-0-" in Part I, line 8 }	3	N/A

Part XV Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)				
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
BARNES FOUNDATION, THE 2025 BENJAMIN FRANKLIN PARKWAY PHILADELPHIA, PA 19130	NONE.	PUBLIC CHARITY	SUPPORT FOR THE ARTS	1,000.
BEN TOWNE PEDIATRIC CANCER RESEARCH FOUNDATION 4538 47TH AVE, NE SEATTLE, WA 98105	NONE.	PUBLIC CHARITY	MEDICAL SUPPORT	5,000.
BEST BUDDIES ILLINOIS 740 N. RUSH ST., 2ND FLOOR SOUTH CHICAGO, IL 60611	NONE.	PUBLIC CHARITY	SUPPORT FOR PEOPLE WITH INTELLECTUAL DISABILITIES	3,000.
BOYS & GIRLS CLUB OF MARTIN COUNTY 11500 SE LARES AVE. HOBE SOUND, FL 33475	NONE.	PUBLIC CHARITY	COMMUNITY ENHANCEMENT	10,000.
BRAIN RESEARCH FOUNDATION 111 W. WASHINGTON ST., SUITE 1710 CHICAGO, IL 60602	NONE.	PUBLIC CHARITY	SUPPORT FOR BRAIN DISORDER RESEARCH	1,000.
CATHOLIC CHURCH EXTENSION SOCIETY 150 S. WACKER DR., SUITE 2000 CHICAGO, IL 60606	NONE.	PUBLIC CHARITY	SPIRITUAL SUPPORT	1,000.
CHICAGO BOTANIC GARDEN 1000 LAKE COOK RD. GLENCOE, IL 60022	NONE.	PUBLIC CHARITY	ENVIRONMENTAL SUPPORT	1,000.
COLLEGE OF THE HOLY CROSS ONE COLLEGE ST. WORCESTER, MA 01610-2395	NONE.	PUBLIC CHARITY	EDUCATIONAL SUPPORT	10,000.
CORPUS CHRISTI SCHOOL 535 W. 121ST ST. NEW YORK, NY 10027	NONE.	PUBLIC CHARITY	EDUCATIONAL SUPPORT	1,000.
COUNCIL ON AGING OF MARTIN COUNTY, INC. 900 SE SALERNO RD. STUART, FL 34997	NONE.	PUBLIC CHARITY	FINANCIAL SUPPORT	5,000.
Total from continuation sheets				393,440.

Part XV Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)				
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
CRISIS MINISTRIES P.O. BOX 20038 CHARLESTON, SC 29413-0038	NONE.	PUBLIC CHARITY	FOOD AND SHELTER FOR THE NEEDY	10,000.
CRISTO REY JESUIT HIGH SCHOOL 1852 W. 22ND PLACE CHICAGO, IL 60608	NONE.	PUBLIC CHARITY	EDUCATIONAL SUPPORT	10,000.
CRISTO REY NETWORK 14 E. JACKSON BLVD., SUITE 1200 CHICAGO, IL 60604	NONE.	PUBLIC CHARITY	EDUCATIONAL SUPPORT	1,000.
DEERFIELD ACADEMY - ANNUAL FUND P.O. BOX 306 DEERFIELD, MA 01342	NONE.	PUBLIC CHARITY	EDUCATIONAL SUPPORT	2,500.
DESERT VOICES ORAL LEARNING CENTER 3426 E. SHEA BLVD. PHOENIX, AZ 85028-3327	NONE.	PUBLIC CHARITY	EDUCATION SUPPORT FOR THE HEARING IMPAIRED	1,000.
DIOCESE OF PALM BEACH 9995 N. MILITARY TRAIL PALM BEACH GARDENS, FL 33410-9650	NONE.	PUBLIC CHARITY	SPIRITUAL/FINANCIAL SUPPORT	3,000.
EAST COOPER COMMUNITY OUTREACH 1145 SIX MILE RD. MOUNT PLEASANT, SC 29466	NONE.	PUBLIC CHARITY	COMMUNITY ENHANCEMENT	5,000.
FENIX FAMILY HEALTH CENTER 130 WASHINGTON AVE. HIGHWOOD, IL 60040	NONE.	PUBLIC CHARITY	MEDICAL SUPPORT	50,000.
FIRST UNITED METHODIST CHURCH OF STUART 1500 S. KANNER HWY. STUART, FL 34994	NONE.	PUBLIC CHARITY	FOOD FOR THE NEEDY & COMMUNITY ENHANCEMENT	2,000.
FLORIDA OCEANOGRAPHIC SOCIETY 890 NE OCEAN BLVD. STUART, FL 34996-1627	NONE.	PUBLIC CHARITY	SUPPORT FOR FLORIDA'S OCEAN & COASTAL ECOSYSTEMS	2,000.
Total from continuation sheets				

Part XV Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)				
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
FOUNDATION FOR HOMAN SQUARE 3517 W. ARTHINGTON CHICAGO, IL 60624	NONE.	PUBLIC CHARITY	COMMUNITY ENHANCEMENT	1,000.
FRIENDS AT LOBLOLLY - THE DUNBAR CENTER 7407 SE HILL TERR. HOBE SOUND, FL 33455	NONE.	PUBLIC CHARITY	SUPPORT FOR THE NEEDY	600.
GEORGETOWN UNIVERSITY - MAIN CAMPUS GEORGETOWN FUND BOX 0734 WASHINGTON, DC 20073-0734	NONE.	PUBLIC CHARITY	EDUCATIONAL SUPPORT	6,000.
GREATER CHICAGO FOOD DEPOSITORY 4100 W. ANN LURIE PLACE CHICAGO, IL 60632	NONE.	PUBLIC CHARITY	FOOD FOR THE NEEDY	6,000.
HABITAT FOR HUMANITY OF MARTIN COUNTY, INC. 2555 SE BONITA ST. STUART, FL 34997	NONE.	PUBLIC CHARITY	HOUSING ASSISTANCE	3,000.
HOBE SOUND COMMUNITY CHEST, INC. P.O. BOX 511 HOBE SOUND, FL 33475-0511	NONE.	PUBLIC CHARITY	COMMUNITY ENHANCEMENT	20,000.
HOBE SOUND NATURE CENTER P.O. BOX 214 HOBE SOUND, FL 33475	NONE.	PUBLIC CHARITY	EDUCATIONAL & ENVIRONMENTAL SUPPORT	1,000.
HOPE RURAL SCHOOL 15929 SW 150TH ST. INDIANTOWN, FL 34956	NONE.	PUBLIC CHARITY	EDUCATIONAL SUPPORT	2,000.
HORIZON HOSPICE & PALLIATIVE CARE 833 W. CHICAGO AVE. CHICAGO, IL 60642	NONE.	PUBLIC CHARITY	MEDICAL SUPPORT	1,000.
HOUSE OF HOPE 2484 SE BONITA ST. STUART, FL 34997	NONE.	PUBLIC CHARITY	FOOD FOR THE NEEDY	10,000.
Total from continuation sheets				

Part XV Supplementary Information**3 Grants and Contributions Paid During the Year (Continuation)**

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
INDIAN HILL CLUB SCHOLARSHIP FOUNDATION 1 INDIAN HILL RD. WINNETKA, IL 60093	NONE.	PUBLIC CHARITY	EDUCATIONAL SUPPORT	3,500.
INSTITUTE FOR ETHNOMEDICINE, THE 240 E. DELONEY AVE., BOX 3464 JACKSON HOLE, WY 83001-3464	NONE.	PUBLIC CHARITY	MEDICAL SUPPORT	2,000.
JOHN G. SHEDD AQUARIUM - THE AQUARIUM COUNCIL 1200 S. LAKE SHORE DR. CHICAGO, IL 60605	NONE.	PUBLIC CHARITY	AQUATIC CONSERVATION	1,000.
JOSEPH SEARS SCHOOL BOOSTER CLUB 542 ABBOTSFORD RD. KENILWORTH, IL 60043	NONE.	PUBLIC CHARITY	EDUCATIONAL SUPPORT	1,000.
JOSEPH SEARS SCHOOL PARENT VOLUNTEER ASSOCIATION 542 ABBOTSFORD RD. KENILWORTH, IL 60043	NONE.	PUBLIC CHARITY	EDUCATIONAL SUPPORT	3,500.
JUPITER MEDICAL CENTER FOUNDATION 1210 S. OLD DIXIE HWY. JUPITER, FL 33458	NONE.	PUBLIC CHARITY	MEDICAL SUPPORT	5,000.
KELLOGG SCHOOL ALUMNI FUND-NORTHWESTERN UNIVERSITY 1201 DAVIS ST. EVANSTON, IL 60208-4410	NONE.	PUBLIC CHARITY	EDUCATIONAL ASSISTANCE	3,000.
LAWRENCEVILLE SCHOOL P.O. BOX 6125 LAWRENCEVILLE, NJ 08648-9987	NONE.	PUBLIC CHARITY	EDUCATIONAL SUPPORT	1,000.
LINCOLN PARK ZOO 2001 N. CLARK ST. CHICAGO, IL 60614	NONE.	PUBLIC CHARITY	ANIMAL SUPPORT	1,000.
LOBLLOLYPOP FOUNDATION, INC. 7407 SE HILL TERR. HOBE SOUND, FL 33455	NONE.	PUBLIC CHARITY	COMMUNITY ENHANCEMENT	5,000.
Total from continuation sheets				

Part XV Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)

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
LOVE AND HOPE IN ACTION, INC. (LAHIA) P.O. BOX 1385 PORT SALERNO, FL 34992	NONE.	PUBLIC CHARITY	SUPPORT FOR THE HOMELESS AND HUNGARY	500.
LOYOLA ACADEMY 1100 LARAMIE AVE. WILMETTE, IL 60091-1089	NONE.	PUBLIC CHARITY	EDUCATIONAL ASSISTANCE	2,000.
LUMEN CORDIUM SOCIETY 835 N. RUSH ST. CHICAGO, IL 60611	NONE.	PUBLIC CHARITY	SPIRITUAL SUPPORT	1,000.
MALTZ JUPITER THEATRE FOUNDATION 1001 E. INDIANTOWN RD. JUPITER, FL 33477	NONE.	PUBLIC CHARITY	SUPPORT FOR THE ARTS	6,000.
MANHATTANVILLE COLLEGE 2900 PURCHASE ST. PURCHASE, NY 10577	NONE.	PUBLIC CHARITY	EDUCATIONAL ASSISTANCE	1,000.
MARTIN HEALTH FOUNDATION P.O. BOX 9010 STUART, FL 34995-9010	NONE.	PUBLIC CHARITY	MEDICAL SUPPORT	10,000.
MERCER ISLAND SCHOOLS FOUNDATION P.O. BOX 1243 MERCER ISLAND, WA 98040	NONE.	PUBLIC CHARITY	EDUCATIONAL SUPPORT	1,000.
MISS, INC. 4434 SE CLECKLEY WAY STUART, FL 34997	NONE.	PUBLIC CHARITY	FINANCIAL SUPPORT	10,000.
MUSC HOLLINGS CANCER CENTER 18 BEE ST., MSC 450 CHARLESTON, SC 29425-4500	NONE.	PUBLIC CHARITY	MEDICAL SUPPORT AND ASSISTANCE	20,000.
MUSEUM OF SCIENCE & INDUSTRY 57TH ST. & LAKE SHORE DR. CHICAGO, IL 60637-2093	NONE.	PUBLIC CHARITY	MUSEUM SUPPORT	1,000.
Total from continuation sheets				

Part XV Supplementary Information**3** Grants and Contributions Paid During the Year (Continuation)

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
NURTURE P.O. BOX 612 HIGHLAND PARK, IL 60035	NONE.	PUBLIC CHARITY	COMMUNITY ENHANCEMENT	1,000.
PACIFIC NORTHWEST BALLET 301 MERCER ST. SEATTLE, WA 98109	NONE.	PUBLIC CHARITY	SUPPORT FOR THE ARTS	1,000.
PORTER GAUD SCHOOL 300 ALBEMARLE RD. CHARLESTON, SC 29407	NONE.	PUBLIC CHARITY	EDUCATIONAL SUPPORT	5,000.
PRINCETON UNIVERSITY - FRIENDS OF WOMEN'S LACROSSE P.O. BOX 5357 PRINCETON, NJ 08543-5357	NONE.	PUBLIC CHARITY	EDUCATIONAL SUPPORT	2,500.
PROVIDENCE ENGLEWOOD CHARTER SCHOOL FOUNDATION 6515 S. ASHLAND AVE. CHICAGO, IL 60636	NONE.	PUBLIC CHARITY	EDUCATIONAL SUPPORT	1,000.
REDEEMER LUTHERAN CHURCH AND SCHOOL 2450 SE OCEAN BLVD. STUART, FL 34996	NONE.	PUBLIC CHARITY	FOOD FOR THE NEEDY	5,000.
RIVERS COALITION P.O. BOX 2627 STUART, FL 34995	NONE.	PUBLIC CHARITY	ENVIRONMENTAL SUPPORT	2,000.
ROONEY'S GOLF FOUNDATION, INC. 1111 N. CONGRESS AVE. WEST PALM BEACH, FL 33409	NONE.	PUBLIC CHARITY	COMMUNITY ENHANCEMENT	300.
SALVATION ARMY OF MARTIN COUNTY, THE P.O. BOX 270848 TAMPA, FL 33618	NONE.	PUBLIC CHARITY	SUPPORT FOR HOMELESS AND HUNGRY	17,000.
SARCOMA RESEARCH FOUNDATION 124 ROBSART RD. KENILWORTH, IL 60043	NONE.	PUBLIC CHARITY	MEDICAL SUPPORT	3,000.
Total from continuation sheets				

Part XV Supplementary Information**3 Grants and Contributions Paid During the Year (Continuation)**

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
SAVE THE CHILDREN 52 WILTON RD. WESTPORT, CT 06880	NONE.	PUBLIC CHARITY	EDUCATION AND MEDICAL SUPPORT	1,000.
SHAMROCK FOUNDATION, INC. P.O. BOX 24033 LOUISVILLE, KY 40224	NONE.	PUBLIC CHARITY	ANIMAL SUPPORT	2,000.
SINSINAWA DOMINICANS 585 COUNTY RD. Z SINSINAWA, WI 53824-9701	NONE.	PUBLIC CHARITY	SPIRITUAL SUPPORT	1,000.
SISTERS OF THE HOLY NAMES OF JESUS AND MARY P.O. BOX 248 JONESTOWN, MS 38639	NONE.	PUBLIC CHARITY	SPIRITUAL & EDUCATIONAL SUPPORT	5,000.
SNO-KING AMATEUR HOCKEY ASSOC., INC. 14326 124TH AVE. NE KIRLAND, WA 98034	NONE.	PUBLIC CHARITY	ATHLETIC SUPPORT IN THE COMMUNITY	1,000.
SPRINGBOARD FOUNDATION - THE CHICAGO COMMUNITY TRUST 333 N. MICHIGAN AVE., SUITE 510 CHICAGO, IL 60601	NONE.	PUBLIC CHARITY	COMMUNITY ENHANCEMENT	1,000.
SS. FAITH, HOPE & CHARITY CHURCH 191 LINDEN ST. WINNETKA, IL 60093	NONE.	PUBLIC CHARITY	SPIRITUAL & EDUCATIONAL SUPPORT	2,500.
ST. CHRISTOPHER'S CHURCH 12001 SE FEDERAL HWY. HOBE SOUND, FL 33455	NONE.	PUBLIC CHARITY	SPIRITUAL SUPPORT	3,000.
ST. JOSEPH CATHOLIC CHURCH 732 18TH AVE. E. SEATTLE, WA 98112	NONE.	PUBLIC CHARITY	SPIRITUAL SUPPORT	4,840.
ST. JOSEPH SCHOOL 700 18TH AVE. E. SEATTLE, WA 98112	NONE.	PUBLIC CHARITY	EDUCATIONAL SUPPORT	3,000.
Total from continuation sheets				

Part XV Supplementary Information**3** Grants and Contributions Paid During the Year (Continuation)

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
ST. VINCENT DEPAUL SOCIETY 12001 SE FEDERAL HWY., SUITE D HOBE SOUND, FL 33455	NONE.	PUBLIC CHARITY	SPIRITUAL SUPPORT	10,000.
TEA TIME GOLF CLASSIC - SOUTH FLORIDA COALITION AGAINST SUBSTANCE ABUSE 1211 PINE POINT RD. SINGER ISLAND, FL 33404	NONE.	PUBLIC CHARITY	SUBSTANCE ABUSE	1,000.
TREASURE COAST FOOD BANK 3051 INDUSTRIAL 25TH ST. FORT PIERCE, FL 34946	NONE.	PUBLIC CHARITY	FOOD FOR THE NEEDY	10,000.
TREASURE COAST HOSPICE 1201 SE INDIAN ST. STUART, FL 34997-5688	NONE.	PUBLIC CHARITY	MEDICAL AND FINANCIAL SUPPORT	1,000.
TREASURE COAST WILDLIFE CENTER 8626 SW CITRUS BLVD. PALM CITY, FL 34990	NONE.	PUBLIC CHARITY	ENVIRONMENTAL SUPPORT	1,200.
UNITED WAY OF MARTIN COUNTY 50 KINDRED ST., SUITE 207 STUART, FL 34994	NONE.	PUBLIC CHARITY	ASSISTANCE TO AREA HUMAN CARE AGENCIES	35,000.
UNIVERSITY OF WASHINGTON FOUNDATION BOX 359505 SEATTLE, WA 98195-9505	NONE.	PUBLIC CHARITY	EDUCATIONAL SUPPORT	2,000.
VISITING NURSE FOUNDATION 2400 SE MONTEREY RD., SUITE 300 STUART, FL 34996	NONE.	PUBLIC CHARITY	MEDICAL SUPPORT	1,500.
WINGS FOR KIDS, INC. 476 MEETING ST., SUITE E CHARLESTON, SC 29403	NONE.	PUBLIC CHARITY	DEVELOPS EMOTIONAL COMPETENCY IN CHILDREN	5,000.
WINTERTHUR 5105 KENNETT PIKE WINTERTHUR, DE 19735	NONE.	PUBLIC CHARITY	SUPPORT FOR THE ARTS	3,000.
Total from continuation sheets				

3 Grants and Contributions Paid During the Year (Continuation)

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05-01-12

FORM 990-PF	DIVIDENDS AND INTEREST FROM SECURITIES	STATEMENT	1
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SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	COLUMN (A) AMOUNT
APACHE PARTNERS, LLC	31,145.	0.	31,145.
CANDLEWOOD SPECIAL SITUATIONS FUND	3,732.	0.	3,732.
CELLME, LLC	65.	0.	65.
CREDIT SUISSE - DIVIDENDS	80,706.	541.	80,165.
CREDIT SUISSE - INTEREST	1,323.	0.	1,323.
FIDELITY INVESTMENTS - DIVIDENDS	30,423.	2,137.	28,286.
FIDELITY INVESTMENTS - INTEREST	1,321.	0.	1,321.
PHOENIX DISTRESSED OPPORTUNITY FUND, LP	2,342.	0.	2,342.
TANGO NETWORKS, INC.	3,246.	0.	3,246.
WH ASIA INVESTORS, LLC	6,338.	0.	6,338.
TOTAL TO FM 990-PF, PART I, LN 4	160,641.	2,678.	157,963.

FORM 990-PF	OTHER INCOME	STATEMENT	2
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DESCRIPTION	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
CELLME, LLC	<1,688.>	<1,688.>	
CREDIT SUISSE CANDLEWOOD SPECIAL SITUATIONS FUND, L.P.	0.	73,640.	
CREDIT SUISSE CANDLEWOOD SPECIAL SITUATIONS FUND, L.P.	92,746.	0.	
PHOENIX DISTRESSED OPPORTUNTIES FUND, L.P.	0.	<17,758.>	
PHOENIX DISTRESSED OPPORTUNTIES FUND, L.P.	<17,363.>	0.	
WH ASIA INVESTORS, LLC	<52,820.>	<52,820.>	
APACHE PARTNERS, LLC	<409.>	<409.>	
JAX-ISQ HOLDINGS, LLC	<103.>	<103.>	
TOTAL TO FORM 990-PF, PART I, LINE 11	20,363.	862.	

FORM 990-PF	ACCOUNTING FEES	STATEMENT	3
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ACCOUNTING FEES	1,931.	966.		965.
TO FORM 990-PF, PG 1, LN 16B	1,931.	966.		965.

FORM 990-PF	OTHER PROFESSIONAL FEES	STATEMENT	4
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ADMINISTRATIVE/MANAGEMENT FEES	72,000.	36,000.		36,000.
TO FORM 990-PF, PG 1, LN 16C	72,000.	36,000.		36,000.

FORM 990-PF	TAXES	STATEMENT	5
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FEDERAL TAXES ON INVESTMENT INCOME	4,750.	0.		0.
FOREIGN TAX PAID ON DIVIDENDS	2,583.	2,583.		0.
REFUND OF STATE INCOME TAXES ON UBTI	<1,500.>	0.		0.
REFUND OF FEDERAL TAXES ON UBTI	<5,000.>	0.		0.
REFUND FROM 2011 FORM 990-PF	<4,067.>	0.		0.
TO FORM 990-PF, PG 1, LN 18	<3,234.>	2,583.		0.

FORM 990-PF	OTHER EXPENSES	STATEMENT	6
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
DUES AND SUBSCRIPTIONS	695.	358.		357.
INVESTMENT MANAGEMENT FEES	33,693.	33,693.		0.
CERTIFICATION & TRANSFER FEES	554.	554.		0.
ANNUAL REPORT FEE	61.	30.		31.
MARGIN INTEREST	537.	537.		0.
BANK CHARGES	192.	96.		96.
TO FORM 990-PF, PG 1, LN 23	35,732.	35,268.		484.

FORM 990-PF	CORPORATE STOCK	STATEMENT	7
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DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
EQUITY SECURITIES	1,282,531.	1,707,129.
TOTAL TO FORM 990-PF, PART II, LINE 10B	1,282,531.	1,707,129.

FORM 990-PF	CORPORATE BONDS	STATEMENT	8
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DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
CORPORATE BONDS	250,000.	309,275.
TOTAL TO FORM 990-PF, PART II, LINE 10C	250,000.	309,275.

FORM 990-PF	OTHER INVESTMENTS	STATEMENT	9
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DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
APACHE PARTNERS, LLC	FMV	204,753.	202,585.
CELLME, LLC	COST	313,037.	313,037.
CONVERTIBLE NOTE	FMV	28,246.	28,246.
GOLD	FMV	48,280.	97,212.
HEDGE FUNDS	FMV	1,084,377.	1,161,940.
JAX-ISQ, LLC	COST	100,614.	100,614.
MUTUAL FUNDS	FMV	652,375.	690,437.
REAL ESTATE INVESTMENT TRUSTS	FMV	13,636.	15,524.
SAGIL LATIN AMERICAN OPPORTUNITY FUND	FMV	100,000.	104,199.
WH ASIA INVESTORS, LLC	FMV	241,663.	268,172.
DUE FROM PHOENIX DISTRESS OPPORT. FD.	COST	28,778.	28,778.
TOTAL TO FORM 990-PF, PART II, LINE 13		2,815,759.	3,010,744.

FORM 990-PF	PART VIII - LIST OF OFFICERS, DIRECTORS TRUSTEES AND FOUNDATION MANAGERS	STATEMENT	10
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NAME AND ADDRESS	TITLE AND AVRG HRS/WK	COMPEN-SATION	EMPLOYEE BEN PLAN CONTRIB	EXPENSE ACCOUNT
JOHN W. SULLIVAN 851 SE MONTEREY COMMONS BLVD. STUART, FL 349963337	PRESIDENT/DIRECTOR 2.00	0.	0.	0.
SUSAN R. SULLIVAN 851 SE MONTEREY COMMONS BLVD. STUART, FL 349963337	SEC./TREAS./DIRECTOR 2.00	0.	0.	0.
BOLTON SULLIVAN, II 851 SE MONTEREY COMMONS BLVD. STUART, FL 349963337	DIRECTOR 1.00	0.	0.	0.
JENNIFER S. SANFORD 851 SE MONTEREY COMMONS BLVD. STUART, FL 349963337	DIRECTOR 1.00	0.	0.	0.
GIERIET S. BOWEN 851 SE MONTEREY COMMONS BLVD. STUART, FL 349963337	DIRECTOR 1.00	0.	0.	0.

SUSAN R. AND JOHN W. SULLIVAN FOUNDATION

22-2612047

JOHN W. SULLIVAN, JR.	DIRECTOR			
851 SE MONTEREY COMMONS BLVD.	1.00	0.	0.	0.
STUART, FL 349963337				

JS CAPITAL MANAGEMENT, INC.	ADMINISTRATIVE SERVICES			
851 SE MONTEREY COMMONS BLVD.	10.00	0.	0.	0.
STUART, FL 349963337				

TOTALS INCLUDED ON 990-PF, PAGE 6, PART VIII		0.	0.	0.
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FORM 990-PF

PART XV - LINE 1A
LIST OF FOUNDATION MANAGERS

STATEMENT 11

NAME OF MANAGER

JOHN W. SULLIVAN
SUSAN R. SULLIVAN

FORM 990-PF

GRANT APPLICATION SUBMISSION INFORMATION
PART XV, LINES 2A THROUGH 2D

STATEMENT 12

NAME AND ADDRESS OF PERSON TO WHOM APPLICATIONS SHOULD BE SUBMITTED

JOHN W. SULLIVAN, PRESIDENT
851 SE MONTEREY COMMONS BLVD.
STUART, FL 34996-3337

TELEPHONE NUMBER

(772) 283-3838

FORM AND CONTENT OF APPLICATIONS

SEND PRINTED MATERIALS REGARDING CHARITABLE ORGANIZATION ALONG WITH CURRENT
FINANCIAL STATEMENTS.

ANY SUBMISSION DEADLINES

NOVEMBER 15TH OF EACH YEAR.

RESTRICTIONS AND LIMITATIONS ON AWARDS

NONE.

• If you are filing for an **Additional (Not Automatic) 3-Month Extension**, complete only **Part II** and check this box ☒ **X**

Note. Only complete Part II if you have already been granted an automatic 3-month extension on a previously filed Form 8868.

• If you are filing for an **Automatic 3-Month Extension**, complete only **Part I** (on page 1).

Part II Additional (Not Automatic) 3-Month Extension of Time. Only file the original (no copies needed).

Enter filer's identifying number, see instructions

Type or print File by the due date for filing your return. See instructions.	Name of exempt organization or other filer, see instructions		Employer identification number (EIN) or
	SUSAN R. AND JOHN W. SULLIVAN FOUNDATION		22-2612047
	Number, street, and room or suite no. If a P.O. box, see instructions.		Social security number (SSN)
	851 SE MONTEREY COMMONS BLVD.		
	City, town or post office, state, and ZIP code. For a foreign address, see instructions		
	STUART, FL 34996-3337		

Enter the Return code for the return that this application is for (file a separate application for each return)

04

Application Is For	Return Code	Application Is For	Return Code
Form 990 or Form 990-EZ	01		
Form 990-BL	02	Form 1041-A	08
Form 4720 (individual)	03	Form 4720	09
Form 990-PF	04	Form 5227	10
Form 990-T (sec. 401(a) or 408(a) trust)	05	Form 6069	11
Form 990-T (trust other than above)	06	Form 8870	12

STOP! Do not complete Part II if you were not already granted an automatic 3-month extension on a previously filed Form 8868.

JOHN W. SULLIVAN

• The books are in the care of **851 SE MONTEREY COMMONS BLVD. - STUART, FL 34996-3337**

Telephone No. **(772) 283-3838**

FAX No. **(772) 283-4946**

• If the organization does not have an office or place of business in the United States, check this box ☐

• If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) ☐. If this is for the whole group, check this box ☐. If it is for part of the group, check this box ☐ and attach a list with the names and EINs of all members the extension is for.

4 I request an additional 3-month extension of time until **NOVEMBER 15, 2013.**

5 For calendar year **2012**, or other tax year beginning _____, and ending _____.

6 If the tax year entered in line 5 is for less than 12 months, check reason: ☐ Initial return ☐ Final return

☐ Change in accounting period

7 State in detail why you need the extension

THE ENTITY IS STILL MISSING SCHEDULE K-1'S NEEDED TO FILE AN ACCURATE RETURN.

8a	If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions.	8a	\$	4,750.
b	If this application is for Form 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit and any amount paid previously with Form 8868	8b	\$	4,750.
c	Balance due. Subtract line 8b from line 8a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions	8c	\$	0.

Signature and Verification must be completed for Part II only.

Under penalties of perjury, I declare that I have examined this form, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete, and that I am authorized to prepare this form.

Signature

Title

CPA

Date

7/26/13

Form 8868 (Rev. 1-2013)

Application for Extension of Time To File an Exempt Organization Return

OMB No. 1545-1709

► File a separate application for each return.

- If you are filing for an **Automatic 3-Month Extension**, complete only **Part I** and check this box ☒ **X**
- If you are filing for an **Additional (Not Automatic) 3-Month Extension**, complete only **Part II** (on page 2 of this form).

Do not complete Part II unless you have already been granted an automatic 3-month extension on a previously filed Form 8868.

Electronic filing (e-file). You can electronically file Form 8868 if you need a 3-month automatic extension of time to file (6 months for a corporation required to file Form 990-T), or an additional (not automatic) 3-month extension of time. You can electronically file Form 8868 to request an extension of time to file any of the forms listed in Part I or Part II with the exception of Form 8870, Information Return for Transfers Associated With Certain Personal Benefit Contracts, which must be sent to the IRS in paper format (see instructions). For more details on the electronic filing of this form, visit www.irs.gov/efile and click on **e-file for Charities & Nonprofits**.

Part I Automatic 3-Month Extension of Time. Only submit original (no copies needed).

A corporation required to file Form 990-T and requesting an automatic 6-month extension - check this box and complete Part I only ☐

All other corporations (including 1120-C filers), partnerships, REMICs, and trusts must use Form 7004 to request an extension of time to file income tax returns.

Type or print	Name of exempt organization or other filer, see instructions.	Employer identification number (EIN) or
	SUSAN R. AND JOHN W. SULLIVAN FOUNDATION	22-2612047
	Number, street, and room or suite no. If a P O box, see instructions.	Social security number (SSN)
	851 SE MONTEREY COMMONS BLVD.	
File by the due date for filing your return. See instructions.	City, town or post office, state, and ZIP code. For a foreign address, see instructions.	
	STUART, FL 34996-3337	

Enter the Return code for the return that this application is for (file a separate application for each return)

04

Application Is For	Return Code	Application Is For	Return Code
Form 990 or Form 990-EZ	01	Form 990-T (corporation)	07
Form 990-BL	02	Form 1041-A	08
Form 4720 (individual)	03	Form 4720	09
Form 990-PF	04	Form 5227	10
Form 990-T (sec. 401(a) or 408(a) trust)	05	Form 6069	11
Form 990-T (trust other than above)	06	Form 8870	12

JOHN W. SULLIVAN

- The books are in the care of ► **851 SE MONTEREY COMMONS BLVD. - STUART, FL 34996-3337**
Telephone No. ► **(772) 283-3838** FAX No. ► **(772) 283-4946**

- If the organization does not have an office or place of business in the United States, check this box ☐
- If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) ☐. If this is for the whole group, check this box ☐. If it is for part of the group, check this box ☐ and attach a list with the names and EINs of all members the extension is for.

- 1 I request an automatic 3-month (6 months for a corporation required to file Form 990-T) extension of time until **AUGUST 15, 2013**, to file the exempt organization return for the organization named above. The extension is for the organization's return for
► ☒ calendar year **2012** or
► ☐ tax year beginning _____, and ending _____

- 2 If the tax year entered in line 1 is for less than 12 months, check reason: ☐ Initial return ☐ Final return
☐ Change in accounting period

3a If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions.	3a	\$ 4,750.
b If this application is for Form 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit.	3b	\$ 4,750.
c Balance due. Subtract line 3b from line 3a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System) See instructions.	3c	\$ 0.

Caution. If you are going to make an electronic fund withdrawal with this Form 8868, see Form 8453-EO and Form 8879-EO for payment instructions.

LHA For Privacy Act and Paperwork Reduction Act Notice, see instructions.

Form **8868** (Rev. 1-2013)

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