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Form

990-PF

Department of the Treasury
Internal Revenue Service

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

OMB No 1545-0052

2012

Open to Public Inspection

For calendar year 2012, or tax year beginning 05-01-2012 , and ending 04-30-2013







Name of foundation STANLEY AND CATHERINE MAAS FOUNDATI		A Employer identification number 11-2690167	
Number and street (or P O box number if mail is not delivered to street address) 19 TURKEY HILL CIRCLE		B Telephone number (see instructions) (203) 254-0516	
City or town, state, and ZIP code WESTPORT, CT 06880		C If exemption application is pending, check here <input type="checkbox"/>	
G Check all that apply <div><input type="checkbox"/> Initial return <input type="checkbox"/> Final return <input type="checkbox"/> Address change</div> <div><input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Amended return <input type="checkbox"/> Name change</div>		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) \$ 2,778,942	J Accounting method <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) (Part I, column (d) must be on cash basis.)	F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>	

Part I Analysis of Revenue and Expenses <small>(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions))</small>		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc , received (attach schedule)				
	2 Check <input checked="" type="checkbox"/> if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments	14,889	9,076		
	4 Dividends and interest from securities.	70,389	70,389		
	5a Gross rents				
	b Net rental income or (loss) _____				
	6a Net gain or (loss) from sale of assets not on line 10	90,677			
	b Gross sales price for all assets on line 6a _____ 826,194				
	7 Capital gain net income (from Part IV , line 2)		90,677		
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less returns and allowances				
Operating and Administrative Expenses	b Less Cost of goods sold				
	c Gross profit or (loss) (attach schedule)				
	11 Other income (attach schedule)				
	12 Total. Add lines 1 through 11	175,955	170,142		
	13 Compensation of officers, directors, trustees, etc				
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees (attach schedule)				
	b Accounting fees (attach schedule)	5,200			
	c Other professional fees (attach schedule)	35,410	34,277		
	17 Interest				
	18 Taxes (attach schedule) (see instructions)	4,230	114		
	19 Depreciation (attach schedule) and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses (attach schedule)	396			
	24 Total operating and administrative expenses. Add lines 13 through 23	45,236	34,391		0
	25 Contributions, gifts, grants paid	120,000			120,000
	26 Total expenses and disbursements. Add lines 24 and 25	165,236	34,391		120,000
	27 Subtract line 26 from line 12				
	a Excess of revenue over expenses and disbursements	10,719			
	b Net investment income (if negative, enter -0-)		135,751		
	c Adjusted net income (if negative, enter -0-)				

Part II

Balance Sheets

Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)

		Beginning of year	End of year		
		(a) Book Value	(b) Book Value	(c) Fair Market Value	
Assets	1	Cash—non-interest-bearing	13,605	14,278	14,278
	2	Savings and temporary cash investments	93,805	90,038	90,038
	3	Accounts receivable ▶ _____ Less allowance for doubtful accounts ▶ _____			
	4	Pledges receivable ▶ _____ Less allowance for doubtful accounts ▶ _____			
	5	Grants receivable			
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see page 15 of the instructions)			
	7	Other notes and loans receivable (attach schedule) ▶ _____ Less allowance for doubtful accounts ▶ _____			
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges			
	10a	Investments—U S and state government obligations (attach schedule)	360,105	 267,325	273,578
	b	Investments—corporate stock (attach schedule)	1,292,606	 1,294,671	1,741,277
	c	Investments—corporate bonds (attach schedule).	478,398	 582,079	658,153
	11	Investments—land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
	12	Investments—mortgage loans			
	13	Investments—other (attach schedule)			
	14	Land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
15	Other assets (describe ▶ _____)	 771	 1,618	 1,618	
16	Total assets (to be completed by all filers—see the instructions Also, see page 1, item I)	2,239,290	2,250,009	2,778,942	
Liabilities	17	Accounts payable and accrued expenses			
	18	Grants payable			
	19	Deferred revenue			
	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable (attach schedule)			
	22	Other liabilities (describe ▶ _____)			
	23	Total liabilities (add lines 17 through 22)		0	
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			
	28	Paid-in or capital surplus, or land, bldg , and equipment fund			
	29	Retained earnings, accumulated income, endowment, or other funds	2,239,290	2,250,009	
	30	Total net assets or fund balances (see page 17 of the instructions)	2,239,290	2,250,009	
31	Total liabilities and net assets/fund balances (see page 17 of the instructions)	2,239,290	2,250,009		

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	2,239,290
2	Enter amount from Part I, line 27a	2	10,719
3	Other increases not included in line 2 (itemize) ▶ _____	3	
4	Add lines 1, 2, and 3	4	2,250,009
5	Decreases not included in line 2 (itemize) ▶ _____	5	
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	2,250,009

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	See Additional Data Table			
b				
c				
d				
e				

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a See Additional Data Table			
b			
c			
d			
e			

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 See Additional Data Table			
b			
c			
d			
e			

2	Capital gain net income or (net capital loss)	<div>If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7</div>	2	90,677
3	Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) <div>If gain, also enter in Part I, line 8, column (c) (see instructions) If (loss), enter -0- in Part I, line 8</div>		3	6,550

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 page 18 of 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	110,000	2,546,166	0 043202
2010	62,300	2,434,848	0 025587
2009	62,300	1,365,546	0 045623
2008	69,122	1,047,944	0 065960
2007	64,081	1,352,252	0 047388

2	Total of line 1, column (d).	2	0 227760
3	Average distribution ratio for the 5-year base period—divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years	3	0 045552
4	Enter the net value of noncharitable-use assets for 2012 from Part X, line 5.	4	2,614,658
5	Multiply line 4 by line 3.	5	119,103
6	Enter 1% of net investment income (1% of Part I, line 27b).	6	1,358
7	Add lines 5 and 6.	7	120,461
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	120,000

Part VIExcise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948—see page 18 of the 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 type="checkbox"/> and enter 1% of Part I, line 27b		1	2,715
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	
3		Add lines 1 and 2.		3	2,715
4		Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)		4	
5		Tax based on investment income. Subtract line 4 from line 3 If zero or less, enter -0-		5	2,715
6		Credits/Payments			
a		2012 estimated tax payments and 2011 overpayment credited to 2012	6a	3,200	
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	3,200
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	485
11		Enter the amount of line 10 to be Credited to 2013 estimated tax 485	Refunded	11	

Part VII-AStatements Regarding Activities

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?		Yes	No
		1a		No
b	Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see page 19 of the instructions for definition)?			No
	If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.			
c	Did the foundation file Form 1120-POL for this year?	1c		No
d	Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year (1) On the foundation \$ (2) On foundation managers \$			
e	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers \$			
2	Has the foundation engaged in any activities that have not previously been reported to the IRS?	2		No
	If "Yes," attach a detailed description of the activities.			
3	Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes	3		No
4a	Did the foundation have unrelated business gross income of \$1,000 or more during the year?	4a		No
b	If "Yes," has it filed a tax return on Form 990-T for this year?	4b		
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year?	5		No
	If "Yes," attach the statement required by General Instruction T.			
6	Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either <ul style="list-style-type: none">By language in the governing instrument, orBy state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	6	Yes	
7	Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col (c), and Part XV	7	Yes	
8a	Enter the states to which the foundation reports or with which it is registered (see instructions) NY			
b	If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation .	8b	Yes	
9	Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2012 or the taxable year beginning in 2012 (see instructions for Part XIV)? If "Yes," complete Part XIV	9		No
10	Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses	10		No

Part VII-A

Statements Regarding Activities *(continued)*

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions).	11		No
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		No
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	Yes	
Website address ▶N/A				
14	The books are in care of ▶CATHERINE NOLAN Telephone no ▶(203) 254-0516 Located at ▶19 TURKEY HILL CIRCLE WESTPORT CT ZIP +4 ▶06880			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 —Check here ▶ <input type="checkbox"/> and enter the amount of tax-exempt interest received or accrued during the year ▶	15		
16	At any time during calendar year 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?	16		No
See instructions for exceptions and filing requirements for Form TD F 90-22.1 If "Yes", enter the name of the foreign country ▶				

Part VII-B

Statements Regarding Activities for Which Form 4720 May Be Required

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.			Yes	No
1a	During the year did the foundation (either directly or indirectly)			
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?. <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
	(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)?. <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
	(6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days). <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
b	If any answer is "Yes" to 1a(1)–(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see page 20 of the instructions)?. . . Organizations relying on a current notice regarding disaster assistance check here. ▶ <input type="checkbox"/>	1b		
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2012?.	1c		No
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))			
a	At the end of tax year 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 ▶ 20____, 20____, 20____, 20____			
b	Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement—see instructions).	2b		
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here ▶ 20____, 20____, 20____, 20____			
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?. <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? (<i>Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2012.</i>).	3b		
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a		No
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2012?	4b		No



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))?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
	(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
	(3) Provide a grant to an individual for travel, study, or other similar purposes?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
	(4) Provide a grant to an organization other than a charitable, etc , organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? (see instructions).	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
	(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b	If any answer is "Yes" to 5a(1)–(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)?		5b	
	Organizations relying on a current notice regarding disaster assistance check here.	<input checked="" type="checkbox"/>		
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?	<input type="checkbox"/> Yes <input type="checkbox"/> No		
	<i>If "Yes," attach the statement required by Regulations section 53.4945–5(d).</i>			
6a	Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b	Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?		6b	No
	<i>If "Yes" to 6b, file Form 8870.</i>			
7a	At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b	If yes, did the foundation receive any proceeds or have any net income attributable to the transaction?		7b	

Part VIII

Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors

1 List all officers, directors, trustees, foundation managers and their compensation (see instructions).				
(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
CATHERINE NOLAN  19 TURKEY HILL CIRCLE WESTPORT, CT 06880	PRESIDENT 2 00	0	0	0
MATTHEW SPIEGEL  19 TURKEY HILL CIRCLE WESTPORT, CT 06880	TREASURER 1 00	0	0	0
2 Compensation of five highest-paid employees (other than those included on line 1—see instructions). If none, enter "NONE."				
(a) Name and address of each employee paid more than \$50,000	(b) Title, and average hours per week devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
NONE				
Total number of other employees paid over \$50,000.				

Part VIII

[illegible]

Part IX-A Summary of Direct Charitable Activities

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

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2	Amount
1 N/A	
2	
All other program-related investments See page 24 of the instructions	
3	

Form **990-PF** (2012)

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	2,611,241
b	Average of monthly cash balances.	1b	43,234
c	Fair market value of all other assets (see instructions).	1c	0
d	Total (add lines 1a, b, and c).	1d	2,654,475
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation).	1e	
2	Acquisition indebtedness applicable to line 1 assets.	2	
3	Subtract line 2 from line 1d.	3	2,654,475
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	39,817
5	Net value of noncharitable-use assets. Subtract line 4 from line 3 Enter here and on Part V, line 4	5	2,614,658
6	Minimum investment return. Enter 5% of line 5.	6	130,733

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	130,733
2a	Tax on investment income for 2012 from Part VI, line 5.	2a	2,715
b	Income tax for 2012 (This does not include the tax from Part VI).	2b	
c	Add lines 2a and 2b.	2c	2,715
3	Distributable amount before adjustments Subtract line 2c from line 1.	3	128,018
4	Recoveries of amounts treated as qualifying distributions.	4	
5	Add lines 3 and 4.	5	128,018
6	Deduction from distributable amount (see instructions).	6	
7	Distributable amount as adjusted Subtract line 6 from line 5 Enter here and on Part XIII, line 1.	7	128,018

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	120,000
b	Program-related investments—total from Part IX-B.	1b	
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc , purposes.	2	
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	120,000
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income Enter 1% of Part I, line 27b (see instructions).	5	
6	Adjusted qualifying distributions. Subtract line 5 from line 4.	6	120,000
Note: The amount on line 6 will be used in Part V, column (b), in subsequent years when calculating whether the foundation qualifies for the section 4940(e) reduction of tax in those years			

Part XIII

Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2011	(c) 2011	(d) 2012
1 Distributable amount for 2012 from Part XI, line 7				128,018
2 Undistributed income, if any, as of the end of 2012				
a Enter amount for 2011 only.			119,219	
b Total for prior years 20____, 20____, 20____				
3 Excess distributions carryover, if any, to 2012				
a From 2007.				
b From 2008.				
c From 2009.				
d From 2010.				
e From 2011.				
f Total of lines 3a through e.				
4 Qualifying distributions for 2012 from Part XII, line 4 ▶ \$ 120,000				
a Applied to 2011, but not more than line 2a			119,219	
b Applied to undistributed income of prior years (Election required—see instructions).				
c Treated as distributions out of corpus (Election required—see instructions).				
d Applied to 2012 distributable amount.				781
e Remaining amount distributed out of corpus				
5 Excess distributions carryover applied to 2012 (If an amount appears in column (d), the same amount must be shown in column (a).)				
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5				
b Prior years' undistributed income Subtract line 4b from line 2b.				
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.				
d Subtract line 6c from line 6b Taxable amount—see instructions				
e Undistributed income for 2011 Subtract line 4a from line 2a Taxable amount—see instructions				
f Undistributed income for 2012 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2013.				127,237
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions).				
8 Excess distributions carryover from 2007 not applied on line 5 or line 7 (see instructions). . . .				
9 Excess distributions carryover to 2013. Subtract lines 7 and 8 from line 6a.				
10 Analysis of line 9				
a Excess from 2008. . . .				
b Excess from 2009. . . .				
c Excess from 2010. . . .				
d Excess from 2011. . . .				
e Excess from 2012. . . .				

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

1a

If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2012, enter the date of the ruling.

b

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

☐ 4942(j)(3) or ☐ 4942(j)(5)

2a	Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed.	Tax year	Prior 3 years			(e) Total
		(a) 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. Subtract line 2d from line 2c.					
3	Complete 3a, b, or c for the alternative test relied upon					
a	"Assets" alternative test—enter					
	(1) Value of all assets					
	(2) Value of assets qualifying under section 4942(j)(3)(B)(i)					
b	"Endowment" alternative test— enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed.					
c	"Support" alternative test—enter					
	(1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties).					
	(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii).					
	(3) Largest amount of support from an exempt organization					
	(4) Gross investment income					

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

1

Information Regarding Foundation Managers:

a

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

b

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

2

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

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

a

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

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	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a Paid during the year See Additional Data Table				
Total			3a	120,000
b Approved for future payment				
Total			3b	

Enter gross amounts unless otherwise indicated

Part XVI-B Relationship of Activities to the Accomplishment of Exempt Purposes


Form **990-PF** (2012)

1 Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?		Yes	No
a Transfers from the reporting foundation to a noncharitable exempt organization of			
(1) Cash.	1a(1)		No
(2) Other assets.	1a(2)		No
b Other transactions			
(1) Sales of assets to a noncharitable exempt organization.	1b(1)		No
(2) Purchases of assets from a noncharitable exempt organization.	1b(2)		No
(3) Rental of facilities, equipment, or other assets.	1b(3)		No
(4) Reimbursement arrangements.	1b(4)		No
(5) Loans or loan guarantees.	1b(5)		No
(6) Performance of services or membership or fundraising solicitations.	1b(6)		No
c Sharing of facilities, equipment, mailing lists, other assets, or paid employees.	1c		No
d If the answer to any of the above is "Yes," complete the following schedule. Column (b) should always show the fair market value of the goods, other assets, or services given by the reporting foundation. If the foundation received less than fair market value in any transaction or sharing arrangement, show in column (d) the value of the goods, other assets, or services received.			

[illegible]

2a Is the foundation directly or indirectly affiliated with, or related to, one or more tax-exempt organizations described in section 501(c) of the Code (other than section 501(c)(3)) or in section 527? . . . ☐ Yes ☒ No

b If "Yes," complete the following schedule		
(a) Name of organization	(b) Type of organization	(c) Description of relationship

Sign Here	Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than taxpayer or fiduciary) is based on all information of which preparer has any knowledge.		
	***** _____ Signature of officer or trustee	2013-09-12 _____ Date	***** _____ Title

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

Paid Preparer Use Only	Print/Type preparer's name	Preparer's Signature	Date	Check if self-employed <input checked="checked" type="checkbox"/>	PTIN
	CARL ROTH CPA	CARL ROTH CPA	2013-09-12		
	Firm's name <input type="checkbox"/>	ROTH & SPELLMAN LLP CPA		Firm's EIN <input type="checkbox"/>	
		730 RIVER ROAD			
	Firm's address <input type="checkbox"/>	NEW MILFORD, NJ 07646		Phone no (201) 261-4700	

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

(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)
24 EMC CORP MASS	P	2010-09-30	2012-05-01
50 ABB LTD SPON ADR	P	2010-03-04	2012-05-16
34 TARGET CORP	P	2011-01-12	2012-06-06
95 CISCO SYSTEMS INC	P	2006-01-03	2012-07-10
228 CITIGROUP CAP XII 8 500% DUE 03/	P	2011-05-03	2012-07-18
1 NEXEN INC CAD	P	2011-12-13	2012-07-24
54 VODAFONE GROUP PLC NEW SPO	P	2008-07-22	2012-08-07
7 BANK OF NEW YORK MELLON CORP	P	2008-10-08	2012-08-15
200 CARREFOUR SA SPON ADR	P	2009-10-22	2012-08-31
0 07 RTS LIBERTY VENTURES E	P	2008-03-17	2012-09-14
15 NIPPON TELEG & TEL CORP SPO	P	2007-05-30	2012-09-20
98 WESTERN UNION CO	P	2012-01-11	2012-09-26
91 KINROSS GOLD CORP NEW CAD	P	2009-07-10	2012-10-08
16 NIKE INC CL B	P	2009-10-06	2012-10-23
15 EATON VANCE SENIOR INC	P	2010-06-11	2012-11-02
53 MERCK & CO INC NEW COM	P	2012-06-20	2012-11-09
44 EATON CORP MERGER EFF 12/	P	2012-03-14	2012-11-29
37 MARINE HARVEST ASA ADR	P	2011-08-25	2012-12-06
10 ACE LTD CHF	P	2010-09-08	2012-12-14
5 BORG WARNER INC	P	2010-06-22	2012-12-14
11 DANAHER CORP	P	2011-03-02	2012-12-14
25 GENL MILLS INC	P	2009-10-19	2012-12-14
15 LIBERTY MEDIA CORP COM N	P	2009-02-27	2012-12-14
14 PFIZER INC	P	2009-04-09	2012-12-14
1 STANLEY BLACK & DECKER INC	P	2011-05-04	2012-12-14
7 URBAN OUTFITTERS INC	P	2012-10-23	2012-12-14
15 ALLIANZ FIXED INCOME SHA	P	2009-04-01	2012-12-18
6 PULTE GROUP INC	P	2010-02-16	2012-12-20
5 EATON VANCE SENIOR INCO	P	2010-06-11	2013-01-07
14 EATON VANCE SENIOR INC	P	2010-06-11	2013-01-09

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7 EATON VANCE SENIOR INCO	P	2010-06-11	2013-01-14
10 EATON VANCE SENIOR INC	P	2010-06-11	2013-01-14
37 CAMECO CORP CANADA CAD	P	2010-03-03	2013-01-16
6 EATON VANCE SENIOR INCO	P	2010-06-11	2013-01-17
26 INTEL CORP	P	2008-10-07	2013-01-17
6 EATON VANCE SENIOR INCO	P	2010-12-17	2013-01-18
1 EATON VANCE SENIOR INCO	P	2011-11-18	2013-01-18
3 EATON VANCE SENIOR INCO	P	2012-07-19	2013-01-22
34 MARINE HARVEST ASA ADR	P	2011-09-09	2013-01-23
7 CELGENE CORP	P	2008-12-02	2013-01-30
2 BARCLAYS BANK PLC SER 3 7 10	P	2012-10-15	2013-02-13
1 BARCLAYS BANK PLC SER 3 7 10	P	2012-10-15	2013-02-13
2 BARCLAYS BANK PLC SER 3 7 10	P	2012-10-15	2013-02-14
6 GOLDMAN SACHS GROUP INC	P	2009-03-11	2013-02-21
33 5 SIBANYE GOLD LTD SPON A	P	2008-02-05	2013-03-01
5 BARCLAYS BANK PLC 8 125% SER	P	2011-03-09	2013-03-06
2 COACH INC	P	2013-01-11	2013-03-11
4 NEWFIELD EXPLORATION COS	P	2009-02-18	2013-03-11
15000 AMER INTL GROUP INC B/E	P	2012-06-28	2013-03-19
838 SUMITOMO MITSUI TRUST HO	P	2011-04-01	2013-04-09
3 EOG RESOURCES INC	P	2011-10-04	2013-04-18
7 ORACLE CORP	P	2010-02-19	2012-05-01
8 APACHE CORP	P	2008-10-07	2012-05-16
15 MEDTRONIC INC	P	2009-09-09	2012-06-13
8 ASML HOLDING NV NY REG SHS	P	2011-08-10	2012-07-12
147 CITIGROUP CAP XII 8 500% DUE 03/	P	2011-05-04	2012-07-18
18 PPG INDUSTRIES INC	P	2008-10-07	2012-07-25
61 ORACLE CORP	P	2008-10-07	2012-08-08
6 LIBERTY VENTURES SER A	P	2009-02-27	2012-08-17
83 CARREFOUR SA SPON ADR	P	2009-10-28	2012-08-31

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2 93 RTS LIBERTY VENTURES E	P	2009-02-27	2012-09-14
43 NIPPON TELEG & TEL CORP SPO	P	2007-06-18	2012-09-20
24 WESTERN UNION CO	P	2012-01-19	2012-09-26
8 KINROSS GOLD CORP NEW CAD	P	2009-10-30	2012-10-08
14 HACHIJUNI BANK LTD ADR	P	2008-06-12	2012-10-24
15 EATON VANCE SENIOR INC	P	2010-06-11	2012-11-02
30 ADVANCE AUTO PARTS INC	P	2012-05-23	2012-11-15
5 HACHIJUNI BANK LTD ADR	P	2009-10-06	2012-11-29
9000 US TSY NOTE 02 000 % D	P	2012-01-26	2012-12-07
14 5 ADT CORP COM	P	2006-01-03	2012-12-14
11 BROADCOM CORP CL A	P	2010-06-24	2012-12-14
5 DEERE AND CO	P	2011-12-21	2012-12-14
6 GOLDMAN SACHS GROUP INC	P	2008-10-07	2012-12-14
8 LOCKHEED MARTIN CORP	P	2008-05-09	2012-12-14
44 PFIZER INC	P	2009-08-05	2012-12-14
12 TARGET CORP	P	2011-02-04	2012-12-14
6 US BANCORP DEL (NEW)	P	2012-07-18	2012-12-14
5000 FHLMC PL A97046 04 5000 D	P	2011-02-09	2012-12-18
928 PULTE GROUP INC	P	2011-04-04	2012-12-20
7 EATON VANCE SENIOR INCO	P	2010-06-11	2013-01-07
14 EATON VANCE SENIOR INC	P	2010-06-11	2013-01-09
48 EATON VANCE SENIOR INC	P	2010-06-11	2013-01-14
25000 LAKELAND CENTL SCH DST	P	2008-01-24	2013-01-14
41 CAMECO CORP CANADA CAD	P	2010-04-07	2013-01-16
7 EATON VANCE SENIOR INCO	P	2010-06-11	2013-01-17
4 INTEL CORP	P	2009-02-06	2013-01-17
10 EATON VANCE SENIOR INC	P	2011-01-07	2013-01-18
6 EATON VANCE SENIOR INCO	P	2011-11-18	2013-01-18
4 EATON VANCE SENIOR INCO	P	2012-07-19	2013-01-22
14 ALLERGAN INC	P	2010-04-09	2013-01-28

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65 ERICSSON SEK 10 NEW 2002 ADR	P	2012-02-08	2013-01-31
2 BARCLAYS BANK PLC SER 3 7 10	P	2012-10-15	2013-02-13
76 WESTERN UNION CO	P	2012-02-08	2013-02-13
2 BARCLAYS BANK PLC SER 3 7 10	P	2012-10-15	2013-02-14
4 GOLDMAN SACHS GROUP INC	P	2010-03-31	2013-02-21
14 5 SIBANYE GOLD LTD SPON A	P	2008-04-07	2013-03-01
51 DELPHI AUTOMOTIVE PLC	P	2012-05-16	2013-03-06
4 COVANCE INC	P	2005-07-26	2013-03-11
2 ONEOK INC NEW	P	2009-12-10	2013-03-11
8 DIAGEO PLC NEW GB SPON ADR	P	2011-05-03	2013-03-19
22 NINTENDO LTD ADR NEW JAP	P	2009-08-03	2013-04-11
2 EOG RESOURCES INC	P	2012-06-15	2013-04-18
16 ORACLE CORP	P	2010-10-29	2012-05-01
22 APACHE CORP	P	2009-10-19	2012-05-16
1 MEDTRONIC INC	P	2010-02-16	2012-06-13
44 ASML HOLDING NV NY REG SHS	P	2011-08-17	2012-07-12
69 COMPANHIA DE BEBIDAS DAS AME	P	2009-03-26	2012-07-18
30 ASTRAZENECA PLC SPON ADR	P	2010-01-11	2012-07-27
38 VIACOM INC NEW CL B	P	2011-03-16	2012-08-08
28 TRANSOCEAN LTD CHF	P	2011-12-07	2012-08-17
125 CISCO SYSTEMS INC	P	2012-03-26	2012-08-31
5000 US TSY NOTE 02 000 % D	P	2012-02-28	2012-09-14
86 NOKIA CORP SPONS ADR FIN	P	2009-01-30	2012-09-21
0 5 ADT CORP COM	P	2006-01-03	2012-10-01
31 ABBOTT LABS	P	2009-05-20	2012-10-10
18 HACHIJUNI BANK LTD ADR	P	2008-07-28	2012-10-24
10 EATON VANCE SENIOR INC	P	2010-06-11	2012-11-02
9 NETEASE INC SPON ADR	P	2011-04-06	2012-11-16
221 CENTRAIS ELETRICAS BRAS SA	P	2012-09-26	2012-12-03
3000 US TSY NOTE 02 000 % D	P	2012-01-27	2012-12-07

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3 5 ADT CORP COM	P	2006-02-02	2012-12-14
9 CAMERON INTL CORP	P	2009-03-26	2012-12-14
26 DELPHI AUTOMOTIVE PLC	P	2012-05-16	2012-12-14
4 GOLDMAN SACHS GROUP INC	P	2009-03-11	2012-12-14
9 LOCKHEED MARTIN CORP	P	2008-10-07	2012-12-14
20 PHILIP MORRIS INTL INC	P	2008-10-07	2012-12-14
5 THERMO FISHER SCIENTIFIC INC	P	2009-03-26	2012-12-14
5 VARIAN MEDICAL SYSTEMS INC	P	2009-03-26	2012-12-14
2000 FHLMC PL A97047 04 5000 D	P	2011-02-11	2012-12-18
6 PULTE GROUP INC	P	2012-03-01	2012-12-20
7 EATON VANCE SENIOR INCO	P	2010-06-11	2013-01-07
8000 FNMA PL AB4297 03 5000 D	P	2012-01-10	2013-01-09
6 EATON VANCE SENIOR INCO	P	2010-06-11	2013-01-14
25000 NEWYORK ST ENVIRONMENTA	P	2008-01-31	2013-01-14
15 EATON VANCE SENIOR INC	P	2010-06-11	2013-01-16
8 EATON VANCE SENIOR INCO	P	2010-06-11	2013-01-17
10 INTEL CORP	P	2009-03-27	2013-01-17
6 EATON VANCE SENIOR INCO	P	2011-02-17	2013-01-18
7 EATON VANCE SENIOR INCO	P	2011-12-19	2013-01-18
4 EATON VANCE SENIOR INCO	P	2012-08-20	2013-01-22
41 JEFFERIES GROUP INC NEW ME	P	2005-07-26	2013-01-29
1 BARCLAYS BANK PLC SER 3 7 10	P	2012-10-15	2013-02-06
1 BARCLAYS BANK PLC SER 3 7 10	P	2012-10-15	2013-02-13
114 WESTERN UNION CO	P	2012-02-22	2013-02-13
1 BARCLAYS BANK PLC SER 3 7 10	P	2012-10-15	2013-02-14
142 KIRIN HOLDINGS LTD SPON AD	P	2013-01-24	2013-02-21
39 75 SIBANYE GOLD LTD SPON	P	2008-05-21	2013-03-01
96 GOLD FIELDS LTD SPON ADR	P	2008-05-21	2013-03-06
14 CSX CORPORATION	P	2009-02-18	2013-03-11
6 PROGRESSIVE CORP OHIO	P	2010-05-17	2013-03-11

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68 ERICSSON SEK 10 NEW 2002 ADR	P	2012-02-08	2013-03-19
51 NINTENDO LTD ADR NEW JAP	P	2009-08-20	2013-04-11
3 ING GROEP N V 8 500% PREF	P	2011-02-09	2013-04-18
37 ORACLE CORP	P	2011-06-10	2012-05-01
20 MCDONALDS CORP	P	2009-03-26	2012-05-16
1 MEDTRONIC INC	P	2010-02-19	2012-06-13
8 ASML HOLDING NV NY REG SHS	P	2011-08-18	2012-07-12
0 67 ENGILITY HLDGS INC	P	2005-07-25	2012-07-18
8 ASTRAZENECA PLC SPON ADR	P	2010-01-14	2012-07-27
4000 FHLMC PL A97047 04 5000 D	P	2011-02-11	2012-08-09
42 TRANSOCEAN LTD CHF	P	2011-12-08	2012-08-17
2 PRICELINE COM INC NEW	P	2009-03-26	2012-08-31
4000 US TSY NOTE 02 000 % D	P	2012-02-29	2012-09-14
36 NOKIA CORP SPONS ADR FIN	P	2009-02-19	2012-09-21
0 79 PENTAIR LTD	P	2006-01-03	2012-10-01
8 BARCLAYS BANK PLC 8 125% SER	P	2011-03-09	2012-10-15
65 HOME RETAIL GROUP PLC SPO	P	2011-01-10	2012-10-24
8 EATON VANCE SENIOR INCO	P	2010-06-11	2012-11-02
21 NETEASE INC SPON ADR	P	2011-10-14	2012-11-16
20 EATON CORP MERGER EFF 12/	P	2011-06-07	2012-12-03
12000 US TSY NOTE 02 000 %	P	2012-01-31	2012-12-07
4 ADT CORP COM	P	2007-11-08	2012-12-14
1 CELGENE CORP	P	2010-04-09	2012-12-14
6 DIAGEO PLC NEW GB SPON ADR	P	2008-10-07	2012-12-14
2 GOOGLE INC CL A	P	2008-10-22	2012-12-14
8 LORILLARD INC	P	2012-02-29	2012-12-14
2 PIONEER NAT RES CO	P	2010-05-20	2012-12-14
8 THERMO FISHER SCIENTIFIC INC	P	2011-08-10	2012-12-14
10 VIACOM INC NEW CL B	P	2011-03-16	2012-12-14
6000 FNMA PL AB4297 03 5000 D	P	2012-01-10	2012-12-18

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40 GENL ELECTRIC CO	P	2009-02-27	2012-12-21
8 EATON VANCE SENIOR INCO	P	2010-06-11	2013-01-07
13000 FNMA PL AB5468 03 5000	P	2012-06-07	2013-01-09
8 EATON VANCE SENIOR INCO	P	2010-06-11	2013-01-14
25000 PORT AUTH NY & NJ	P	2008-04-02	2013-01-14
8 EATON VANCE SENIOR INCO	P	2010-06-11	2013-01-16
7 EATON VANCE SENIOR INCO	P	2010-06-11	2013-01-17
4 INTEL CORP	P	2010-02-16	2013-01-17
6 EATON VANCE SENIOR INCO	P	2011-03-17	2013-01-18
1 EATON VANCE SENIOR INCO	P	2012-01-06	2013-01-18
2 EATON VANCE SENIOR INCO	P	2012-08-20	2013-01-22
50 JEFFERIES GROUP INC NEW ME	P	2005-10-21	2013-01-29
1 BARCLAYS BANK PLC SER 3 7 10	P	2012-10-15	2013-02-06
2 BARCLAYS BANK PLC SER 3 7 10	P	2012-10-15	2013-02-13
1 BARCLAYS BANK PLC SER 3 7 10	P	2012-10-15	2013-02-14
2 BARCLAYS BANK PLC SER 3 7 10	P	2012-10-15	2013-02-14
0 5 SIBANYE GOLD LTD SPON AD	P	2008-02-05	2013-02-21
25 25 SIBANYE GOLD LTD SPON	P	2010-02-04	2013-03-01
101 GOLD FIELDS LTD SPON ADR	P	2010-02-04	2013-03-06
6 CUMMINS INC	P	2009-02-18	2013-03-11
4 REINSURANCE GROUP AMER INC	P	2009-12-10	2013-03-11
55 ERICSSON SEK 10 NEW 2002 ADR	P	2012-02-10	2013-03-19
61 NINTENDO LTD ADR NEW JAP	P	2009-08-27	2013-04-11
65 CISCO SYSTEMS INC	P	2006-01-03	2013-04-22
26 MEDTRONIC INC	P	2009-05-06	2012-05-02
32 PNC FINANCIAL SERVICES GRO	P	2011-05-11	2012-05-16
54 MEDTRONIC INC	P	2010-08-18	2012-06-13
19 SANOFI SPON ADR	P	2008-04-08	2012-07-13
30 HALLIBURTON CO (HO	P	2009-03-26	2012-07-18
90 GOODRICH CORP MERGER EFF	P	2010-05-17	2012-07-27

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(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)
82 NII HOLDINGS INC CL B	P	2011-08-04	2012-08-09
47 DU PONT DE NEMOURS	P	2011-08-12	2012-08-21
39 TYCO INTL LTD	P	2011-11-16	2012-09-05
1000 US TSY NOTE 02 000 % D	P	2012-03-01	2012-09-14
160 NOKIA CORP SPONS ADR FI	P	2009-02-19	2012-09-21
0 07 PENTAIR LTD	P	2011-11-16	2012-10-01
8 BARCLAYS BANK PLC 8 125% SER	P	2011-03-09	2012-10-15
48 HOME RETAIL GROUP PLC SPO	P	2011-03-10	2012-10-24
7 EATON VANCE SENIOR INCO	P	2010-06-11	2012-11-05
18 CATERPILLAR INC	P	2010-11-30	2012-11-23
25 EATON CORP MERGER EFF 12/	P	2011-06-17	2012-12-03
1000 US TSY NOTE 02 000 % D	P	2012-03-20	2012-12-07
3 ALLERGAN INC	P	2010-04-09	2012-12-14
3 CELGENE CORP	P	2010-04-22	2012-12-14
4 DIAGEO PLC NEW GB SPON ADR	P	2011-05-03	2012-12-14
9 HONEYWELL INTL INC	P	2010-05-26	2012-12-14
7 LULULEMON ATHLETICA INC	P	2012-06-08	2012-12-14
7 PNC FINANCIAL SERVICES GROU	P	2011-05-11	2012-12-14
3 TRAVELERS COS INC/THE	P	2009-04-02	2012-12-14
3 VMWARE INC CL A	P	2012-05-01	2012-12-14
1000 FNMA PL AB7079 03 0000 D	P	2012-11-07	2012-12-18
63 KOREA ELECTRIC POWER CRP SPO	P	2005-10-19	2012-12-21
7 EATON VANCE SENIOR INCO	P	2010-06-11	2013-01-07
2000 FNMA PL AP7488 03 5000 D	P	2012-10-05	2013-01-09
8 EATON VANCE SENIOR INCO	P	2010-06-11	2013-01-14
31 CREDIT SUISSE GROUP SPON ADR	P	2011-06-24	2013-01-15
8 EATON VANCE SENIOR INCO	P	2010-06-11	2013-01-16
8 EATON VANCE SENIOR INCO	P	2010-06-11	2013-01-17
1 INTEL CORP	P	2010-02-19	2013-01-17
2 EATON VANCE SENIOR INCO	P	2011-04-18	2013-01-18

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

(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)
4 EATON VANCE SENIOR INCO	P	2012-01-06	2013-01-18
6 EATON VANCE SENIOR INCO	P	2012-09-21	2013-01-22
10 JEFFERIES GROUP INC NEW ME	P	2006-03-07	2013-01-29
16 IMPALA PLATINUM HLDG LTD SPO	P	2012-03-06	2013-02-06
2 BARCLAYS BANK PLC SER 3 7 10	P	2012-10-15	2013-02-13
1 BARCLAYS BANK PLC SER 3 7 10	P	2012-10-15	2013-02-14
2 BARCLAYS BANK PLC SER 3 7 10	P	2012-10-15	2013-02-14
20 STANLEY BLACK & DECKER INC	P	2011-05-04	2013-02-21
12000 US TSY NOTE 00 750 %	P	2012-11-21	2013-03-01
16 BARCLAYS BANK PLC 8 125% SER	P	2011-03-09	2013-03-07
2 DARDEN RESTAURANTS INC	P	2009-02-18	2013-03-11
10 REPUBLIC SERVICES INC	P	2005-07-26	2013-03-11
15 BANK OF NEWYORK MELLON COR	P	2010-03-31	2013-03-20
10 NINTENDO LTD ADR NEW JAP	P	2010-10-04	2013-04-11
40 EAST JAPAN RAILWAY CO ADR	P	2011-02-24	2013-04-22
5 MEDTRONIC INC	P	2009-07-07	2012-05-02
9 INTL BUSINESS MACH	P	2010-06-23	2012-05-23
15 ORACLE CORP	P	2010-10-13	2012-06-14
1 SANOFI SPON ADR	P	2008-04-14	2012-07-13
31 HALLIBURTON CO (HO	P	2010-11-15	2012-07-18
28 MCDONALDS CORP	P	2009-03-26	2012-07-30
238 NII HOLDINGS INC CL B	P	2012-02-24	2012-08-09
5 NORTHROP GRUMMAN CORP	P	2008-10-07	2012-08-22
31 ASTRAZENECA PLC SPON ADR	P	2010-01-14	2012-09-07
18 NIKE INC CL B	P	2009-03-26	2012-09-17
90 NOKIA CORP SPONS ADR FIN	P	2009-07-20	2012-09-21
23 TEXAS INSTRUMENTS	P	2005-10-19	2012-10-01
7 BARCLAYS BANK PLC 8 125% SER	P	2011-03-09	2012-10-15
18 HOME RETAIL GROUP PLC SPO	P	2011-06-09	2012-10-24
8 EATON VANCE SENIOR INCO	P	2010-06-11	2012-11-05

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

(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)
20000 FNMA PL 735676 05 0000	P	2011-10-07	2012-11-26
5 EATON CORP MERGER EFF 12/1	P	2011-08-23	2012-12-03
0 34 BLACKROCK CREDIT A	P	2010-06-23	2012-12-11
3 AMAZON COM INC	P	2011-02-07	2012-12-14
3 CERNER CORP	P	2009-03-26	2012-12-14
7 DIRECTV	P	2009-03-26	2012-12-14
14 INTEL CORP	P	2008-04-25	2012-12-14
24 METLIFE INC	P	2008-10-07	2012-12-14
5 PPG INDUSTRIES INC	P	2008-10-07	2012-12-14
9 TRAVELERS COS INC/THE	P	2009-11-04	2012-12-14
21 VODAFONE GROUP PLC NEW SPO	P	2008-11-05	2012-12-14
3000 FNMA PL AD8033 04 0000 D	P	2012-08-07	2012-12-18
63 KOREA ELECTRIC POWER CRP SPO	P	2006-10-03	2012-12-21
8 EATON VANCE SENIOR INCO	P	2010-06-11	2013-01-07
18 EATON VANCE SENIOR INC	P	2010-06-11	2013-01-10
8 EATON VANCE SENIOR INCO	P	2010-06-11	2013-01-14
92 CREDIT SUISSE GROUP SPON ADR	P	2011-06-27	2013-01-15
7 EATON VANCE SENIOR INCO	P	2010-06-11	2013-01-16
8 EATON VANCE SENIOR INCO	P	2010-06-11	2013-01-17
9 EATON VANCE SENIOR INCO	P	2010-06-11	2013-01-18
4 EATON VANCE SENIOR INCO	P	2011-04-18	2013-01-18
5 EATON VANCE SENIOR INCO	P	2012-01-06	2013-01-22
5 EATON VANCE SENIOR INCO	P	2012-10-18	2013-01-22
85 JEFFERIES GROUP INC NEW ME	P	2008-01-15	2013-01-29
71 IMPALA PLATINUM HLDG LTD SPO	P	2012-08-23	2013-02-06
2 BARCLAYS BANK PLC SER 3 7 10	P	2012-10-15	2013-02-13
1 BARCLAYS BANK PLC SER 3 7 10	P	2012-10-15	2013-02-14
2 BARCLAYS BANK PLC SER 3 7 10	P	2012-10-15	2013-02-14
7 STANLEY BLACK & DECKER INC	P	2011-09-07	2013-02-21
213 ORKLA ASA A SHS SPON ADR	P	2012-08-28	2013-03-05

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

(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)
7 BARCLAYS BANK PLC 8 125% SER	P	2011-03-09	2013-03-07
4 EASTMAN CHEMICAL CO	P	2009-02-18	2013-03-11
2 SCOTTS MIRACLE-GRO CO CL A	P	2005-07-26	2013-03-11
116 BANK OF NEW YORK MELLON CO	P	2011-11-16	2013-03-20
14 NORTHROP GRUMMAN CORP	P	2009-03-27	2013-04-11
186 EAST JAPAN RAILWAY CO AD	P	2011-03-02	2013-04-22
24 MEDTRONIC INC	P	2009-08-19	2012-05-02
13 PHILIP MORRIS INTL INC	P	2008-10-07	2012-05-23
5 ORACLE CORP	P	2011-08-01	2012-06-14
34 VIVENDI SA ADR	P	2012-03-08	2012-07-13
6 ENGILITY HLDGS INC	P	2005-07-25	2012-07-19
3000 FHLMC NTS 0	P	2012-02-16	2012-08-03
15 SANOFI SPON ADR	P	2008-04-14	2012-08-09
5 NORTHROP GRUMMAN CORP	P	2009-02-06	2012-08-22
50 ASTRAZENECA PLC SPON ADR	P	2010-04-22	2012-09-07
10000 US TSY NOTE 02 125 %	P	2011-09-13	2012-09-17
103 NOKIA CORP SPONS ADR FI	P	2009-11-18	2012-09-21
55 TEXAS INSTRUMENTS	P	2005-10-28	2012-10-01
7 BARCLAYS BANK PLC 8 125% SER	P	2011-03-09	2012-10-15
2 HACHIJUNI BANK LTD ADR	P	2008-07-28	2012-10-25
8 EATON VANCE SENIOR INCO	P	2010-06-11	2012-11-05
28000 FNMA PL 735676 05 0000	P	2012-07-10	2012-11-26
34 EATON CORP MERGER EFF 12/	P	2012-03-14	2012-12-03
46 EATON CORP PLC	P	2012-12-03	2012-12-12
6 AMERIPRISE FINANCIAL INC	P	2010-04-01	2012-12-14
4 CHEVRON CORP	P	2008-06-26	2012-12-14
2 DOLLAR GEN CORP NEW	P	2012-08-10	2012-12-14
3 INTL BUSINESS MACH	P	2009-03-26	2012-12-14
8 MICHAEL KORS HLDGS LTD	P	2012-05-16	2012-12-14
2 PRECISION CASTPARTS CORP	P	2012-10-08	2012-12-14

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(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)
5 TRIMBLE NAVIGATION LTD	P	2012-11-29	2012-12-14
12 WALGREEN CO	P	2012-08-31	2012-12-14
1000 FNMA PL AL0789 04 0000 D	P	2012-10-12	2012-12-18
102 KOREA ELECTRIC POWER CRP SP	P	2008-03-17	2012-12-21
9 EATON VANCE SENIOR INCO	P	2010-06-11	2013-01-07
15 EATON VANCE SENIOR INC	P	2010-06-11	2013-01-10
8 EATON VANCE SENIOR INCO	P	2010-06-11	2013-01-14
18 MANPOWERGROUP INC	P	2012-07-20	2013-01-15
11 EATON VANCE SENIOR INC	P	2010-06-11	2013-01-17
11 EATON VANCE SENIOR INC	P	2010-06-11	2013-01-17
7 EATON VANCE SENIOR INCO	P	2010-06-11	2013-01-18
5 EATON VANCE SENIOR INCO	P	2011-05-18	2013-01-18
4 EATON VANCE SENIOR INCO	P	2012-02-20	2013-01-22
1 EATON VANCE SENIOR INCO	P	2012-10-18	2013-01-22
20 JEFFERIES GROUP INC NEW ME	P	2009-03-03	2013-01-29
20 TRAVELERS COS INC/THE	P	2009-11-04	2013-02-06
1 BARCLAYS BANK PLC SER 3 7 10	P	2012-10-15	2013-02-13
2 BARCLAYS BANK PLC SER 3 7 10	P	2012-10-15	2013-02-14
1 BARCLAYS BANK PLC SER 3 7 10	P	2012-10-15	2013-02-14
101 EAST JAPAN RAILWAY CO AD	P	2011-02-24	2013-02-28
9000 US TSY NOTE 00 750 % D	P	2012-11-21	2013-03-05
7 BARCLAYS BANK PLC 8 125% SER	P	2011-03-09	2013-03-07
6 EATON VANCE CORP NON VTG	P	2005-07-26	2013-03-11
12 SYNOPSYS INC	P	2012-12-28	2013-03-11
4 ING GROEP N V 8 500% PREF	P	2011-02-09	2013-03-22
41 NORTHROP GRUMMAN CORP	P	2009-07-29	2013-04-11
34 WALT DISNEY CO (HOLDING CO)	P	2012-08-08	2013-04-24
1 AIR PROD & CHEMICAL INC	P	2010-04-14	2012-05-09
90 CHESAPEAKE ENERGY CORP OKL	P	2009-02-18	2012-05-29
20 BED BATH & BEYOND INC	P	2008-01-02	2012-06-15

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

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5000 US TSY INFL PROT NOTE 03 000 %	P	2009-04-01	2012-07-15
63 NEXEN INC CAD	P	2009-10-28	2012-07-23
3000 FHLMC NTS 0	P	2012-02-22	2012-08-03
0 15 LIBERTY VENTURES SER A	P	2008-03-17	2012-08-10
17 NORTHROP GRUMMAN CORP	P	2009-03-24	2012-08-22
75 ASTRAZENECA PLC SPON ADR	P	2011-02-08	2012-09-07
4000 US TSY NOTE 02 125 % D	P	2011-09-20	2012-09-17
64 NOKIA CORP SPONS ADR FIN	P	2009-11-18	2012-09-25
25 ADT CORP COM	P	2011-11-16	2012-10-04
17 BARCLAYS BANK PLC 8 125% SER	P	2011-03-09	2012-10-15
20 COMCAST CORP NEW SPECIAL CL	P	2006-01-03	2012-10-26
9 EATON VANCE SENIOR INCO	P	2010-06-11	2012-11-05
35000 FNMA PL 745275 B/E	P	2009-04-01	2012-11-26
47 EATON CORP MERGER EFF 12/	P	2012-04-18	2012-12-03
42 ORACLE CORP	P	2008-10-07	2012-12-12
6 ANADARKO PETROLEUM CORP	P	2010-05-20	2012-12-14
4 CHEVRON CORP	P	2008-07-31	2012-12-14
9 EBAY INC	P	2011-03-17	2012-12-14
3 INTL BUSINESS MACH	P	2010-06-23	2012-12-14
4 MONSANTO CO NEW	P	2012-08-21	2012-12-14
8 PRUDENTIAL FINANCIAL INC	P	2009-12-16	2012-12-14
21 TYCO INTL LTD	P	2011-11-16	2012-12-14
3 WALT DISNEY CO (HOLDING CO)	P	2011-02-25	2012-12-14
1000 FNMA PL 932848 04 0000 D	P	2012-09-07	2012-12-18
74 HOME RETAIL GROUP PLC SPO	P	2011-06-09	2012-12-24
7 EATON VANCE SENIOR INCO	P	2010-06-11	2013-01-08
24 EATON VANCE SENIOR INC	P	2010-06-11	2013-01-10
23 EATON VANCE SENIOR INC	P	2010-06-11	2013-01-14
263 POLYUS GOLD INTL LTD SP	P	2011-08-03	2013-01-15
14 EATON VANCE SENIOR INC	P	2010-06-11	2013-01-17

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7 EATON VANCE SENIOR INCO	P	2010-06-11	2013-01-17
8 EATON VANCE SENIOR INCO	P	2010-06-11	2013-01-18
5 EATON VANCE SENIOR INCO	P	2011-06-17	2013-01-18
3 EATON VANCE SENIOR INCO	P	2012-02-20	2013-01-22
6 EATON VANCE SENIOR INCO	P	2012-11-20	2013-01-22
2 JEFFERIES GROUP INC NEW MER	P	2011-07-19	2013-01-29
7 TRAVELERS COS INC/THE	P	2009-11-10	2013-02-06
1 BARCLAYS BANK PLC SER 3 7 10	P	2012-10-15	2013-02-13
1 BARCLAYS BANK PLC SER 3 7 10	P	2012-10-15	2013-02-14
2 BARCLAYS BANK PLC SER 3 7 10	P	2012-10-15	2013-02-14
136 GOLD FIELDS LTD SPON ADR	P	2008-02-05	2013-02-28
2000 US TSY NOTE 00 750 % D	P	2012-11-28	2013-03-05
7 BARCLAYS BANK PLC 8 125% SER	P	2011-03-09	2013-03-07
4 EXPRESS SCRIPTS HLDG CO	P	2009-02-18	2013-03-11
6 TJX COS INC NEW	P	2009-02-18	2013-03-11
20 VMWARE INC CL A	P	2012-05-01	2013-03-25
4 NORTHROP GRUMMAN CORP	P	2010-02-19	2013-04-11
9 BIOGEN IDEC INC	P	2005-08-17	2013-04-30
27 AIR PROD & CHEMICAL INC	P	2010-04-28	2012-05-09
5 CHESAPEAKE ENERGY CORP OKLA	P	2009-03-03	2012-05-29
0 1 VIVENDI SA ADR	P	2012-03-08	2012-06-18
1000 US TSY INFL PROT NOTE 03 000 %	P	2009-09-10	2012-07-15
58 NEXEN INC CAD	P	2010-05-18	2012-07-23
5000 FNMA NTS 0	P	2011-01-11	2012-08-03
0 35 LIBERTY VENTURES SER A	P	2009-02-27	2012-08-10
2 NORTHROP GRUMMAN CORP	P	2009-03-27	2012-08-22
1 ASTRAZENECA PLC SPON ADR	P	2011-02-08	2012-09-11
11 BARRICK GOLD CORP CAD	P	2009-02-27	2012-09-18
74 NOKIA CORP SPONS ADR FIN	P	2010-04-30	2012-09-25
21 ADT CORP COM	P	2012-03-07	2012-10-04

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8 BARCLAYS BANK PLC 8 125% SER	P	2011-03-09	2012-10-15
5 HOME DEPOT INC	P	2008-01-02	2012-10-26
14 EATON VANCE SENIOR INC	P	2010-06-11	2012-11-05
78 ALLIANZ SE ADR	P	2010-05-21	2012-11-27
128 CENTRAIS ELETRICAS BRAS SA	P	2012-09-26	2012-12-04
18 ORACLE CORP	P	2009-02-06	2012-12-12
9 ANALOG DEVICES INC	P	2012-10-01	2012-12-14
3 CHEVRON CORP	P	2011-08-12	2012-12-14
18 EMC CORP MASS	P	2010-09-30	2012-12-14
20 JOHNSON & JOHNSON COM	P	2008-10-07	2012-12-14
9 MOODYS CORP	P	2012-10-10	2012-12-14
4 QUALCOMM INC	P	2012-08-03	2012-12-14
4 UNION PACIFIC CORP	P	2009-03-26	2012-12-14
15 WALT DISNEY CO (HOLDING CO)	P	2012-08-08	2012-12-14
6000 US TSY NOTE 00 750 % D	P	2012-11-21	2012-12-18
317 EATON VANCE SENIOR IN	P	2010-06-11	2012-12-26
23 EATON VANCE SENIOR INC	P	2010-06-11	2013-01-08
15 EATON VANCE SENIOR INC	P	2010-06-11	2013-01-10
15 EATON VANCE SENIOR INC	P	2010-06-11	2013-01-14
233 POLYUS GOLD INTL LTD SP	P	2011-08-12	2013-01-15
15 EATON VANCE SENIOR INC	P	2010-06-11	2013-01-17
8 EATON VANCE SENIOR INCO	P	2010-06-11	2013-01-17
1 EATON VANCE SENIOR INCO	P	2010-06-11	2013-01-18
1 EATON VANCE SENIOR INCO	P	2011-06-17	2013-01-18
3 EATON VANCE SENIOR INCO	P	2012-03-19	2013-01-22
2 EATON VANCE SENIOR INCO	P	2012-12-20	2013-01-22
146 JEFFERIES GROUP INC NEW M	P	2011-08-26	2013-01-29
20 MICROSOFT CORP	P	2005-07-25	2013-02-07
2 BARCLAYS BANK PLC SER 3 7 10	P	2012-10-15	2013-02-13
3 BARCLAYS BANK PLC SER 3 7 10	P	2012-10-15	2013-02-14

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(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)
3 NUVEEN CREDIT STRATEGIES INCO	P	2010-05-28	2013-02-14
58 GOLD FIELDS LTD SPON ADR	P	2008-04-07	2013-02-28
2000 US TSY NOTE 00 750 % D	P	2012-12-13	2013-03-05
7 BARCLAYS BANK PLC 8 125% SER	P	2011-03-09	2013-03-07
2 GENL DYNAMICS CORP	P	2009-02-18	2013-03-11
4 WHITING PETROLEUM CORP NEW	P	2012-08-23	2013-03-11
7 BLACKROCK INC	P	2011-06-08	2013-03-28
81 MS&AD INS GROUP HLDGS ADR	P	2007-11-28	2013-04-12
5 ANHEUSER BUSCH INBEV SPON	P	2010-12-02	2012-05-09
80 CHESAPEAKE ENERGY CORP OKL	P	2009-03-30	2012-05-29
41 ASML HOLDING NV NY REG SHS	P	2011-08-10	2012-06-20
4000 US TSY INFL PROT NOTE 03 000 %	P	2010-05-27	2012-07-15
36 NEXEN INC CAD	P	2010-05-19	2012-07-23
4000 FNMA NTS 0	P	2011-05-10	2012-08-03
16 PIONEER NAT RES CO	P	2010-05-20	2012-08-10
7 CNOOC LTD SPON ADR	P	2010-06-22	2012-08-27
16 PPG INDUSTRIES INC	P	2008-10-07	2012-09-12
11 BARRICK GOLD CORP CAD	P	2009-02-27	2012-09-18
61 NOKIA CORP SPONS ADR FIN	P	2010-05-24	2012-09-25
11 92 PENTAIR LTD	P	2011-11-16	2012-10-04
8 BARCLAYS BANK PLC 8 125% SER	P	2011-03-09	2012-10-15
25 MICROSOFT CORP	P	2011-04-06	2012-10-26
12 EATON VANCE SENIOR INC	P	2010-06-11	2012-11-05
16000 FNMA PL AE0115 05 5000	P	2011-04-19	2012-11-28
5 HOME DEPOT INC	P	2008-01-02	2012-12-04
2 ORACLE CORP	P	2009-12-02	2012-12-12
6 ANHEUSER BUSCH INBEV SPON	P	2012-07-18	2012-12-14
14 COCA-COLA ENTERPRISES INC	P	2012-10-31	2012-12-14
3 EQUINIX INC NEW	P	2011-08-29	2012-12-14
12 JOHNSON CONTROLS INC	P	2010-05-26	2012-12-14

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(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)
4 NESTLE S A SPONSORED ADR REPS	P	2008-10-07	2012-12-14
8 ROCKWELL AUTOMATION INC NEW	P	2012-02-27	2012-12-14
1 UNION PACIFIC CORP	P	2009-07-24	2012-12-14
11 WELLS FARGO & CO NEW	P	2012-12-12	2012-12-14
3000 US TSY NOTE 01 375 % D	P	2012-03-01	2012-12-18
8 KOREA ELECTRIC POWER CRP SPON	P	2008-03-17	2012-12-27
51 IMPALA PLATINUM HLDG LTD SPO	P	2012-02-22	2013-01-08
15 EATON VANCE SENIOR INC	P	2010-06-11	2013-01-10
24 EATON VANCE SENIOR INC	P	2010-06-11	2013-01-14
17 SANOFI SPON ADR	P	2008-04-14	2013-01-15
8 EATON VANCE SENIOR INCO	P	2010-06-11	2013-01-17
7 EATON VANCE SENIOR INCO	P	2010-06-11	2013-01-17
6 EATON VANCE SENIOR INCO	P	2010-07-19	2013-01-18
6 EATON VANCE SENIOR INCO	P	2011-07-18	2013-01-18
4 EATON VANCE SENIOR INCO	P	2012-03-19	2013-01-22
4 EATON VANCE SENIOR INCO	P	2012-12-20	2013-01-22
10 JEFFERIES GROUP INC NEW ME	P	2012-04-23	2013-01-29
56 SK TELECOM CO LTD ADR	P	2009-04-14	2013-02-07
2 BARCLAYS BANK PLC SER 3 7 10	P	2012-10-15	2013-02-13
2 BARCLAYS BANK PLC SER 3 7 10	P	2012-10-15	2013-02-14
3 NUVEEN CREDIT STRATEGIES INCO	P	2010-05-28	2013-02-14
63 GOLD FIELDS LTD SPON ADR	P	2008-05-21	2013-02-28
15 BANK OF NEW YORK MELLON COR	P	2009-10-07	2013-03-06
7 BARCLAYS BANK PLC 8 125% SER	P	2011-03-09	2013-03-07
1 GLOBAL PAYMENTS INC	P	2005-11-23	2013-03-11
6 XILINX INC	P	2010-02-18	2013-03-11
1 BLACKROCK INC	P	2011-06-10	2013-03-28
144 MS&AD INS GROUP HLDGS AD	P	2007-12-04	2013-04-12
20 ORACLE CORP	P	2010-10-13	2012-05-09
24 MEDTRONIC INC	P	2009-08-19	2012-05-30

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

(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)
101 MARINE HARVEST ASA ADR	P	2011-08-25	2012-06-20
2000 US TSY INFL PROT NOTE 03 000 %	P	2011-09-20	2012-07-15
44 NEXEN INC CAD	P	2010-10-20	2012-07-23
2000 FNMA NTS 0	P	2011-09-20	2012-08-03
104 YUM BRANDS INC	P	2009-02-18	2012-08-13
4 CNOOC LTD SPON ADR	P	2011-12-06	2012-08-27
26 TARGET CORP	P	2011-01-12	2012-09-12
15 BARRICK GOLD CORP CAD	P	2009-04-09	2012-09-18
218 NOKIA CORP SPONS ADR FI	P	2011-02-11	2012-09-25
10 08 PENTAIR LTD	P	2012-03-07	2012-10-04
8 BARCLAYS BANK PLC 8 125% SER	P	2011-03-09	2012-10-15
74 MICROSOFT CORP	P	2011-07-08	2012-10-26
173 KOREA ELECTRIC POWER CRP SP	P	2005-07-25	2012-11-05
40000 FNMA PL 735141 05 5000	P	2007-10-09	2012-11-28
14 MARINE HARVEST ASA ADR	P	2011-08-25	2012-12-05
1 ABBOTT LABS	P	2009-05-20	2012-12-14
8 ARM HOLDINGS PLC SPON ADR	P	2012-09-25	2012-12-14
7 COGNIZANT TECH SOLUTIONS CRP	P	2009-03-26	2012-12-14
7 EXPRESS SCRIPTS HLDG CO	P	2009-03-26	2012-12-14
20 JPMORGAN CHASE & CO	P	2008-11-12	2012-12-14
4 NESTLE S A SPONSORED ADR REPS	P	2008-10-08	2012-12-14
7 SCHEIN HENRY INC	P	2009-03-26	2012-12-14
7 UNITED PARCEL SERVICE INC	P	2012-07-05	2012-12-14
35 WESTERN UNION CO	P	2012-01-19	2012-12-14
14 DIAGEO PLC NEW GB SPON ADR	P	2008-10-07	2012-12-19
479 POLYUS GOLD INTL LTD SP	P	2011-07-22	2012-12-27
8 IMPALA PLATINUM HLDG LTD SPON	P	2012-03-06	2013-01-08
31 MOSAIC CO	P	2012-11-14	2013-01-11
16 EATON VANCE SENIOR INC	P	2010-06-11	2013-01-14
9 SANOFI SPON ADR	P	2008-05-22	2013-01-15

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

(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)
11 EATON VANCE SENIOR INC	P	2010-06-11	2013-01-17
8 EATON VANCE SENIOR INCO	P	2010-06-11	2013-01-17
6 EATON VANCE SENIOR INCO	P	2010-08-18	2013-01-18
7 EATON VANCE SENIOR INCO	P	2011-08-18	2013-01-18
1 EATON VANCE SENIOR INCO	P	2012-04-19	2013-01-22
4 EATON VANCE SENIOR INCO	P	2013-01-07	2013-01-22
28 AT&T INC	P	2008-10-07	2013-01-30
17 SK TELECOM CO LTD ADR	P	2009-05-20	2013-02-07
3 BARCLAYS BANK PLC SER 3 7 10	P	2012-10-15	2013-02-13
2 BARCLAYS BANK PLC SER 3 7 10	P	2012-10-15	2013-02-14
3 NUVEEN CREDIT STRATEGIES INCO	P	2010-05-28	2013-02-14
12 NUVEEN CREDIT STRATEGIES INC	P	2010-05-28	2013-02-28
61 BANK OF NEWYORK MELLON COR	P	2010-02-03	2013-03-06
7 BARCLAYS BANK PLC 8 125% SER	P	2011-03-09	2013-03-07
1 GLOBAL PAYMENTS INC	P	2006-07-06	2013-03-11
57 ERICSSON SEK 10 NEW 2002 ADR	P	2012-02-08	2013-03-13
25 LOCKHEED MARTIN CORP	P	2008-10-07	2013-04-03
43 MS&AD INS GROUP HLDGS ADR	P	2010-02-25	2013-04-12
15 PROCTER & GAMBLE CO	P	2006-01-04	2012-05-09
22 MEDTRONIC INC	P	2009-09-02	2012-05-30
4 ACCENTURE PLC IRELAND CL A	P	2008-10-07	2012-07-05
5 HUMAN GENOME SCIENCES	P	2011-07-26	2012-07-16
43 NEXEN INC CAD	P	2011-08-11	2012-07-23
54 MICROSOFT CORP	P	2009-03-26	2012-08-03
5 YUM BRANDS INC	P	2009-03-03	2012-08-13
38 AFLAC INC	P	2010-12-20	2012-08-31
2 TARGET CORP	P	2011-01-14	2012-09-12
115 ING GROEP N V NL SPON AD	P	2012-05-09	2012-09-18
91 NOKIA CORP SPONS ADR FIN	P	2011-03-16	2012-09-25
18 DOVER CORP	P	2009-11-09	2012-10-08

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

(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)
17 SK TELECOM CO LTD ADR	P	2008-02-14	2012-10-16
17 BAIDU INC ADS REPSNTG CL A O	P	2012-04-16	2012-11-02
15 KOREA ELECTRIC POWER CRP SPO	P	2005-10-19	2012-11-05
28000 FNMA PL 745343 05 5000	P	2011-10-07	2012-11-28
53 VODAFONE GROUP PLC NEW SPO	P	2008-10-07	2012-12-05
9 ABBOTT LABS	P	2009-07-29	2012-12-14
17 AT&T INC	P	2008-10-07	2012-12-14
140 COMCAST CORP NEW SPECIAL CL	P	2006-01-03	2012-12-14
15 EXXON MOBIL CORP	P	2006-10-23	2012-12-14
20 JPMORGAN CHASE & CO	P	2008-12-03	2012-12-14
6 NORTHROP GRUMMAN CORP	P	2009-03-27	2012-12-14
4 SCHLUMBERGER LTD NETH	P	2009-03-26	2012-12-14
30 UNITEDHEALTH GROUP INC	P	2005-07-25	2012-12-14
2 WILLIAMS SONOMA INC	P	2012-03-02	2012-12-14
59 PULTE GROUP INC	P	2009-02-18	2012-12-20
90 POLYUS GOLD INTL LTD SPO	P	2011-08-03	2012-12-27
28 ABBVIE INC COM	P	2009-07-29	2013-01-09
8 EATON VANCE SENIOR INCO	P	2010-06-11	2013-01-14
8 EATON VANCE SENIOR INCO	P	2010-06-11	2013-01-14
13 SK TELECOM CO LTD ADR	P	2008-06-11	2013-01-15
11 EATON VANCE SENIOR INC	P	2010-06-11	2013-01-17
12 INTEL CORP	P	2008-04-25	2013-01-17
3 EATON VANCE SENIOR INCO	P	2010-09-17	2013-01-18
2 EATON VANCE SENIOR INCO	P	2011-09-19	2013-01-18
5 EATON VANCE SENIOR INCO	P	2012-04-19	2013-01-22
12 MARINE HARVEST ASA ADR	P	2011-08-25	2013-01-22
4 AT&T INC	P	2009-02-06	2013-01-30
2 BARCLAYS BANK PLC SER 3 7 10	P	2012-10-15	2013-02-08
2 BARCLAYS BANK PLC SER 3 7 10	P	2012-10-15	2013-02-13
2 BARCLAYS BANK PLC SER 3 7 10	P	2012-10-15	2013-02-14

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(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)
2 EOG RESOURCES INC	P	2011-10-04	2013-02-20
7 NUVEEN CREDIT STRATEGIES INCO	P	2010-05-28	2013-02-28
4 BANK OF NEW YORK MELLON CORP	P	2010-02-08	2013-03-06
2 AARONS INC CL A	P	2012-08-31	2013-03-11
2 HARSCO CORP	P	2005-07-26	2013-03-11
12 MANPOWERGROUP INC	P	2012-07-20	2013-03-14
37 DIRECTV	P	2009-03-26	2013-04-05
5 EOG RESOURCES INC	P	2011-10-04	2013-04-15
22 SEVEN & I HLDGS CO LTD ADR	P	2009-02-23	2012-05-10
10 MEDTRONIC INC	P	2009-09-09	2012-05-30
8 ACCENTURE PLC IRELAND CL A	P	2009-02-06	2012-07-05
40 HUMAN GENOME SCIENCES	P	2011-07-29	2012-07-16
86 NEXEN INC CAD	P	2011-09-27	2012-07-23
27 MICROSOFT CORP	P	2011-04-06	2012-08-03
84 YUM BRANDS INC	P	2009-03-30	2012-08-13
23 AFLAC INC	P	2011-03-18	2012-08-31
2 TARGET CORP	P	2011-02-04	2012-09-12
12 NEWCREST MINING LTD SPON AUS	P	2006-07-18	2012-09-18
192 NOKIA CORP SPONS ADR FI	P	2011-05-31	2012-09-25
11 DOVER CORP	P	2010-03-04	2012-10-08
54 SK TELECOM CO LTD ADR	P	2008-04-28	2012-10-16
14 BAIDU INC ADS REPSNTG CL A O	P	2012-09-25	2012-11-02
41 MERCK & CO INC NEW COM	P	2012-06-13	2012-11-05
1000 FNMA PL 889982 05 5000 D	P	2009-06-25	2012-11-28
32 VODAFONE GROUP PLC NEW SPO	P	2008-11-05	2012-12-05
11 ACCENTURE PLC IRELAND CL	P	2009-02-18	2012-12-14
33 BANK OF NEW YORK MELLON COR	P	2008-10-08	2012-12-14
26 COMCAST CORP NEW SPECIAL CL	P	2011-07-14	2012-12-14
2 FLOWSERVE CORP	P	2009-03-26	2012-12-14
11 LAUDER ESTEE COS CL A	P	2011-05-06	2012-12-14

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

(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)
8 OCCIDENTAL PETROLEUM CRP	P	2011-06-08	2012-12-14
75 SEAGATE TECHNOLOGY PLC SHS	P	2009-02-27	2012-12-14
20 UNITEDHEALTH GROUP INC	P	2006-05-04	2012-12-14
7 3M CO	P	2008-12-17	2012-12-14
89 PULTE GROUP INC	P	2009-03-30	2012-12-20
58 WESTERN UNION CO	P	2012-01-19	2013-01-03
40 ABBVIE INC COM	P	2009-09-02	2013-01-09
8 EATON VANCE SENIOR INCO	P	2010-06-11	2013-01-14
8 EATON VANCE SENIOR INCO	P	2010-06-11	2013-01-14
60 SK TELECOM CO LTD ADR	P	2009-04-13	2013-01-15
8 EATON VANCE SENIOR INCO	P	2010-06-11	2013-01-17
32 INTEL CORP	P	2008-05-01	2013-01-17
3 EATON VANCE SENIOR INCO	P	2010-09-17	2013-01-18
5 EATON VANCE SENIOR INCO	P	2011-09-19	2013-01-18
6 EATON VANCE SENIOR INCO	P	2012-05-18	2013-01-22
135 MARINE HARVEST ASA ADR	P	2011-09-09	2013-01-22
6 AT&T INC	P	2009-03-27	2013-01-30
97 GAP INC	P	2012-03-26	2013-02-11
2 BARCLAYS BANK PLC SER 3 7 10	P	2012-10-15	2013-02-13
2 BARCLAYS BANK PLC SER 3 7 10	P	2012-10-15	2013-02-14
32 NUVEEN CREDIT STRATEGIES INC	P	2010-05-28	2013-02-20
32 NUVEEN CREDIT STRATEGIES INC	P	2010-05-28	2013-02-28
44 BANK OF NEW YORK MELLON COR	P	2010-03-31	2013-03-06
2 ACTIVISION BLIZZARD INC	P	2012-03-26	2013-03-11
14 INTL GAME TECHNOLOGY	P	2009-02-18	2013-03-11
31 NUVEEN CREDIT STRATEGIES INC	P	2010-05-28	2013-03-14
42 EAST JAPAN RAILWAY CO ADR	P	2011-02-24	2013-04-09
6 BLACKROCK INC	P	2011-06-22	2013-04-17
48 ABB LTD SPON ADR	P	2009-03-26	2012-05-16
15 TEXAS INSTRUMENTS	P	2005-07-25	2012-06-05

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

(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)
23 ACCENTURE PLC IRELAND CL	P	2009-02-18	2012-07-05
18 CERNER CORP	P	2009-03-26	2012-07-18
29 NEXEN INC CAD	P	2011-12-12	2012-07-23
13 VARIAN MEDICAL SYSTEMS INC	P	2009-03-26	2012-08-03
6 YUM BRANDS INC	P	2010-02-16	2012-08-13
35 CARREFOUR SA SPON ADR	P	2009-09-25	2012-08-31
1 AMAZON COM INC	P	2008-09-29	2012-09-14
38 NEWCREST MINING LTD SPON AUS	P	2008-08-13	2012-09-18
14 EXPRESS SCRIPTS HLDG CO	P	2009-02-18	2012-09-26
4 EATON VANCE SENIOR INCO	P	2010-06-11	2012-10-08
47 SK TELECOM CO LTD ADR	P	2008-06-11	2012-10-16
11 EATON VANCE SENIOR INC	P	2010-06-11	2012-11-02
30 CISCO SYSTEMS INC	P	2006-01-03	2012-11-06
13 HACHIJUNI BANK LTD ADR	P	2008-07-28	2012-11-28
34 EATON CORP PLC	P	2012-12-03	2012-12-06
7 ACCENTURE PLC IRELAND CL A	P	2009-02-18	2012-12-14
48 BIOGEN IDEC INC	P	2005-08-17	2012-12-14
25 CVS CAREMARK CORP	P	2012-01-04	2012-12-14
7 FLUOR CORP NEW	P	2011-03-29	2012-12-14
3 LIBERTY INTERACTIVE CORP SER	P	2008-03-17	2012-12-14
24 ORACLE CORP	P	2009-12-02	2012-12-14
15 ST JUDE MEDICAL INC	P	2011-12-21	2012-12-14
9 UNTD TECHNOLOGIES CORP	P	2008-10-07	2012-12-14
1130 ALLIANZ FIXED INCOME S	P	2009-04-01	2012-12-17
54 PULTE GROUP INC	P	2009-08-06	2012-12-20
84 WESTERN UNION CO	P	2012-01-25	2013-01-03
3 ABBVIE INC COM	P	2010-02-19	2013-01-09
4 EATON VANCE SENIOR INCO	P	2010-06-11	2013-01-14
24 EATON VANCE SENIOR INC	P	2010-06-11	2013-01-14
9 SK TELECOM CO LTD ADR	P	2009-04-14	2013-01-15

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

(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)
8 EATON VANCE SENIOR INCO	P	2010-06-11	2013-01-17
54 INTEL CORP	P	2008-05-09	2013-01-17
6 EATON VANCE SENIOR INCO	P	2010-10-18	2013-01-18
3 EATON VANCE SENIOR INCO	P	2011-10-20	2013-01-18
1 EATON VANCE SENIOR INCO	P	2012-06-18	2013-01-22
43 BANK OF NEW YORK MELLON COR	P	2008-10-08	2013-01-23
17 AT&T INC	P	2009-11-11	2013-01-30
19 GLAXO SMITHKLINE PLC ADR	P	2010-01-14	2013-02-12
2 BARCLAYS BANK PLC SER 3 7 10	P	2012-10-15	2013-02-13
2 BARCLAYS BANK PLC SER 3 7 10	P	2012-10-15	2013-02-14
24 SWISSCOM AG SPON ADR	P	2005-07-27	2013-02-20
15 APACHE CORP	P	2010-07-23	2013-03-01
8 BARCLAYS BANK PLC 8 125% SER	P	2011-03-09	2013-03-06
2 AUTODESK INC	P	2009-02-18	2013-03-11
2 INTL RECTIFIER CORP	P	2009-02-18	2013-03-11
22 WOLTERS KLUWER NV SPO	P	2009-02-24	2013-03-14
25 SEKISUI HOUSE LTD SPON ADR	P	2007-09-26	2013-04-09
3 ING GROEP N V 8 500% PREF	P	2011-02-09	2013-04-17
34 ABB LTD SPON ADR	P	2009-08-17	2012-05-16
20 TEXAS INSTRUMENTS	P	2005-10-31	2012-06-05
45 P T TELEKOMUNIKASI IND	P	2011-02-25	2012-07-09
422 CITIGROUP CAP XII 8 500% DUE 03	P	2010-05-28	2012-07-18
18 NEXEN INC CAD	P	2011-12-13	2012-07-23
3 VODAFONE GROUP PLC NEW SPON	P	2008-06-17	2012-08-07
94 BANK OF NEW YORK MELLON COR	P	2008-10-07	2012-08-15
210 CARREFOUR SA SPON ADR	P	2009-10-05	2012-08-31
20 EBAY INC	P	2007-03-14	2012-09-14
27 UNTD TECHNOLOGIES CORP	P	2008-10-07	2012-09-18
4 NOKIA CORP SPONS ADR FINL	P	2011-05-31	2012-09-26
20 KINROSS GOLD CORP NEW CAD	P	2009-07-09	2012-10-08

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

(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)
4 NIKE INC CL B	P	2009-03-26	2012-10-23
14 EATON VANCE SENIOR INC	P	2010-06-11	2012-11-02
37 MERCK & CO INC NEW COM	P	2012-06-13	2012-11-09
13 HACHIJUNI BANK LTD ADR	P	2009-10-06	2012-11-28
1 EATON CORP PLC	P	2012-12-03	2012-12-06
6 ACCENTURE PLC IRELAND CL A	P	2009-03-26	2012-12-14
3 BLACKROCK INC	P	2011-06-08	2012-12-14
7 DANAHER CORP	P	2009-03-26	2012-12-14
5 FREEPORT-MCMORAN COPPER & GO	P	2009-02-27	2012-12-14
42 LIBERTY INTERACTIVE CORP SER	P	2009-02-27	2012-12-14
20 PALL CORP	P	2005-09-20	2012-12-14
7 STANLEY BLACK & DECKER INC	P	2010-08-11	2012-12-14
6 UNTD TECHNOLOGIES CORP	P	2012-01-10	2012-12-14
1110 ALLIANZ FIXED INCOME S	P	2009-04-01	2012-12-17
2 PULTE GROUP INC	P	2010-01-11	2012-12-20
41 WESTERN UNION CO	P	2012-02-08	2013-01-03
35 ABBVIE INC COM	P	2010-03-11	2013-01-09
12 EATON VANCE SENIOR INC	P	2010-06-11	2013-01-14
13 EATON VANCE SENIOR INC	P	2010-06-11	2013-01-14
32 YUM BRANDS INC	P	2012-07-30	2013-01-15
8 EATON VANCE SENIOR INCO	P	2010-06-11	2013-01-17
7 INTEL CORP	P	2008-07-15	2013-01-17
6 EATON VANCE SENIOR INCO	P	2010-11-17	2013-01-18
4 EATON VANCE SENIOR INCO	P	2011-10-20	2013-01-18
6 EATON VANCE SENIOR INCO	P	2012-06-18	2013-01-22
36 BANK OF NEW YORK MELLON COR	P	2009-10-07	2013-01-23
2 BLACKROCK INC	P	2009-03-20	2013-01-30
17 SANOFI SPON ADR	P	2008-05-22	2013-02-12
2 BARCLAYS BANK PLC SER 3 7 10	P	2012-10-15	2013-02-13
2 BARCLAYS BANK PLC SER 3 7 10	P	2012-10-15	2013-02-14

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

(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)
4 GOLDMAN SACHS GROUP INC	P	2009-03-11	2013-02-21
5 EOG RESOURCES INC	P	2011-10-04	2013-03-01
5 BARCLAYS BANK PLC 8 125% SER	P	2011-03-09	2013-03-06
18 CBRE GROUP INC CL A	P	2012-03-15	2013-03-11
2 JOY GLOBAL INC	P	2009-02-18	2013-03-11
35 WOLTERS KLUWER NV SPO	P	2009-02-24	2013-03-14
141 SEKISUI HOUSE LTD SPON AD	P	2008-03-07	2013-04-09
4 ING GROEP N V 8 500% PREF	P	2011-02-09	2013-04-17

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
688		491	197
815		1,038	-223
1,954		1,891	63
1,559		1,637	-78
5,700		6,012	-312
26		15	11
1,607		1,384	223
156		182	-26
833		1,832	-999
1		1	
366		343	23
1,799		1,835	-36
975		1,609	-634
1,487		1,029	458
116		100	16
2,326		2,082	244
2,292		2,216	76
657		413	244
793		550	243
333		207	126
601		551	50
1,036		825	211
1,621		79	1,542
353		189	164
71		72	-1
272		252	20
207		168	39
110		69	41
38		33	5
107		93	14

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
54		46	8
76		66	10
786		1,000	-214
46		40	6
582		428	154
46		43	3
8		6	2
23		21	2
657		371	286
690		347	343
51		50	1
25		25	
51		50	1
909		542	367
206		258	-52
128		129	-1
99		117	-18
95		81	14
20,187		16,181	4,006
4,382		2,933	1,449
339		205	134
208		170	38
658		660	-2
561		585	-24
405		265	140
3,675		3,891	-216
1,945		927	1,018
1,901		1,051	850
250		46	204
346		730	-384

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
39		5	34
1,050		977	73
441		455	-14
86		146	-60
730		913	-183
116		100	16
2,316		2,101	215
257		269	-12
9,429		9,035	394
663		423	240
354		384	-30
431		384	47
717		700	17
713		844	-131
1,109		691	418
728		652	76
189		201	-12
3,296		3,098	198
17,057		6,832	10,225
54		46	8
107		93	14
367		319	48
29,578		26,982	2,596
871		1,104	-233
54		46	8
90		58	32
77		72	5
46		38	8
31		28	3
1,492		888	604

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
753		625	128
51		50	1
1,086		1,436	-350
51		50	1
606		683	-77
89		114	-25
2,151		1,445	706
277		193	84
91		41	50
984		646	338
331		747	-416
226		190	36
475		472	3
1,808		2,263	-455
37		43	-6
2,225		1,547	678
2,567		678	1,889
1,391		1,431	-40
1,863		1,667	196
1,393		1,271	122
2,372		2,595	-223
5,101		5,047	54
236		1,052	-816
18		15	3
2,178		1,349	829
939		1,111	-172
77		66	11
400		462	-62
1,010		2,050	-1,040
3,143		3,020	123

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
160		95	65
478		224	254
890		736	154
478		361	117
802		903	-101
1,757		899	858
322		182	140
357		150	207
1,388		1,306	82
110		52	58
54		46	8
6,882		6,681	201
46		40	6
27,872		26,002	1,870
115		100	15
61		53	8
224		153	71
46		44	2
54		45	9
31		29	2
808		857	-49
25		25	
25		25	
1,629		2,022	-393
25		25	
1,928		1,700	228
244		319	-75
780		1,166	-386
328		132	196
150		122	28

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
866		654	212
768		1,651	-883
78		77	1
1,098		1,159	-61
1,829		1,106	723
37		44	-7
405		263	142
12		13	-1
371		394	-23
3,175		2,977	198
2,090		1,841	249
1,199		167	1,032
4,081		4,001	80
99		384	-285
34		27	7
207		206	1
448		827	-379
62		53	9
933		950	-17
1,033		970	63
12,572		12,199	373
183		106	77
80		62	18
708		368	340
1,408		716	692
957		1,041	-84
205		115	90
514		406	108
530		439	91
5,315		5,165	150

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
831		342	489
61		53	8
12,133		11,990	143
61		53	8
27,203		25,576	1,627
61		53	8
54		46	8
90		83	7
46		44	2
8		7	1
15		15	
985		1,032	-47
25		25	
51		50	1
25		25	
51		50	1
3		4	-1
155		159	-4
821		964	-143
717		137	580
241		185	56
701		522	179
919		1,981	-1,062
1,323		1,120	203
995		833	162
2,026		2,035	-9
2,021		1,968	53
697		730	-33
906		526	380
11,475		6,646	4,829

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
556		3,348	-2,792
2,389		2,227	162
2,170		1,872	298
1,020		996	24
440		1,705	-1,265
3		3	
207		206	1
331		611	-280
54		46	8
1,504		1,525	-21
1,291		1,181	110
1,048		971	77
275		190	85
239		174	65
473		323	150
554		383	171
525		452	73
391		445	-54
220		126	94
278		341	-63
1,042		1,052	-10
864		1,001	-137
54		46	8
2,056		2,073	-17
61		53	8
866		1,176	-310
61		53	8
61		53	8
22		21	1
15		15	

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
31		26	5
46		45	1
197		279	-82
294		336	-42
51		50	1
25		25	
51		50	1
1,527		1,449	78
12,038		12,040	-2
409		413	-4
95		55	40
318		175	143
423		463	-40
151		317	-166
561		463	98
191		169	22
1,746		1,172	574
405		427	-22
37		38	-1
936		1,116	-180
2,501		1,548	953
1,613		5,136	-3,523
344		246	98
1,449		1,526	-77
1,761		861	900
248		1,180	-932
633		673	-40
181		181	
124		215	-91
62		53	9

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
4,789		4,749	40
258		194	64
5		4	1
748		532	216
234		69	165
351		163	188
288		312	-24
765		913	-148
650		258	392
660		457	203
542		397	145
1,869		1,873	-4
864		1,227	-363
61		53	8
138		120	18
61		53	8
2,569		3,471	-902
54		46	8
61		53	8
69		60	9
31		29	2
38		33	5
38		38	
1,675		1,485	190
1,304		1,164	140
51		50	1
25		25	
51		50	1
534		412	122
1,760		1,583	177

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
179		181	-2
290		48	242
94		74	20
3,271		2,345	926
1,013		570	443
2,611		2,169	442
918		891	27
1,095		584	511
135		156	-21
637		610	27
105		114	-9
3,020		3,007	13
620		572	48
344		217	127
2,338		2,256	82
10,407		10,125	282
283		1,437	-1,154
1,514		1,519	-5
181		181	
104		123	-19
62		53	9
6,705		6,758	-53
1,756		1,713	43
2,397		2,376	21
369		276	93
431		392	39
89		104	-15
578		295	283
401		322	79
369		328	41

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
292		278	14
441		428	13
921		920	1
1,399		1,428	-29
69		60	9
115		100	15
61		53	8
839		616	223
84		73	11
84		73	11
54		46	8
38		37	1
31		28	3
8		8	
394		180	214
1,567		1,017	550
25		25	
51		50	1
25		25	
1,233		1,168	65
9,017		9,030	-13
179		181	-2
241		147	94
424		382	42
104		103	1
2,968		1,652	1,316
2,118		1,717	401
84		75	9
1,470		1,482	-12
1,453		570	883

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
6,395		6,826	-431
1,627		1,383	244
3,020		3,008	12
7		6	1
1,168		643	525
3,507		3,644	-137
4,163		4,063	100
177		893	-716
964		780	184
440		438	2
723		342	381
69		60	9
9,034		8,630	404
2,428		2,234	194
1,351		724	627
448		326	122
431		342	89
455		275	180
576		391	185
359		353	6
408		412	-4
600		501	99
147		129	18
692		694	-2
613		883	-270
54		46	8
183		159	24
176		153	23
802		946	-144
107		93	14

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
54		46	8
61		53	8
38		36	2
23		21	2
46		46	
39		40	-1
548		376	172
25		25	
25		25	
51		50	1
1,129		1,586	-457
2,004		2,011	-7
179		181	-2
238		113	125
269		65	204
1,524		2,270	-746
290		221	69
1,976		370	1,606
2,279		2,095	184
82		68	14
2		2	
1,279		1,357	-78
1,498		1,245	253
5,033		4,942	91
15		3	12
137		81	56
47		49	-2
462		331	131
204		901	-697
810		705	105

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
207		206	1
299		135	164
108		93	15
1,000		792	208
575		1,187	-612
579		322	257
374		355	19
323		287	36
444		368	76
1,414		1,261	153
433		394	39
242		239	3
501		175	326
730		758	-28
6,004		6,020	-16
2,417		2,105	312
176		153	23
115		100	15
115		100	15
711		769	-58
115		100	15
61		53	8
8		7	1
8		7	1
23		21	2
15		15	
2,877		2,288	589
543		518	25
51		50	1
76		76	

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
30		24	6
481		690	-209
2,004		2,008	-4
179		181	-2
138		106	32
202		179	23
1,793		1,330	463
1,053		1,517	-464
358		286	72
1,307		1,389	-82
2,077		1,359	718
5,116		5,431	-315
930		758	172
4,026		3,978	48
1,563		917	646
1,323		1,239	84
1,855		824	1,031
462		339	123
169		615	-446
527		424	103
207		206	1
699		652	47
93		80	13
8,107		7,955	152
322		135	187
64		45	19
528		470	58
433		441	-8
596		275	321
339		338	1

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
262		157	105
657		655	2
125		58	67
365		371	-6
3,062		2,986	76
110		112	-2
974		1,068	-94
115		100	15
184		159	25
813		648	165
61		53	8
54		46	8
46		40	6
46		43	3
31		28	3
31		30	1
197		163	34
1,015		900	115
51		50	1
51		50	1
30		24	6
523		765	-242
417		425	-8
179		181	-2
48		43	5
230		153	77
256		186	70
1,872		2,599	-727
550		570	-20
880		891	-11

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
1,299		1,128	171
2,558		2,647	-89
1,136		952	184
2,013		2,016	-3
6,952		3,016	3,936
756		795	-39
1,674		1,446	228
631		432	199
602		2,053	-1,451
445		386	59
207		206	1
2,068		1,978	90
2,309		3,090	-781
7,567		6,758	809
248		156	92
65		44	21
289		225	64
508		149	359
383		160	223
857		695	162
262		159	103
569		279	290
511		561	-50
458		664	-206
1,671		859	812
1,570		1,696	-126
153		168	-15
1,841		1,524	317
122		106	16
431		337	94

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
84		73	11
61		53	8
46		41	5
54		44	10
8		7	1
31		31	
970		731	239
308		271	37
76		76	
51		50	1
30		24	6
124		94	30
1,696		1,755	-59
179		181	-2
48		47	1
736		548	188
2,396		2,508	-112
559		544	15
957		883	74
807		842	-35
241		129	112
71		107	-36
1,110		834	276
1,606		986	620
334		124	210
1,753		2,149	-396
129		110	19
1,001		758	243
251		734	-483
1,045		735	310

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
255		384	-129
1,799		2,508	-709
200		238	-38
5,801		5,811	-10
1,355		1,130	225
588		410	178
580		444	136
4,949		2,393	2,556
1,323		1,042	281
857		556	301
401		244	157
272		183	89
1,620		1,529	91
86		78	8
1,084		573	511
295		324	-29
948		664	284
61		53	8
61		53	8
221		269	-48
84		73	11
269		267	2
23		21	2
15		13	2
38		36	2
233		134	99
139		105	34
51		50	1
51		50	1
51		50	1

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
261		137	124
72		55	17
111		108	3
57		60	-3
49		60	-11
683		411	272
2,044		860	1,184
599		341	258
1,323		957	366
367		390	-23
483		262	221
568		831	-263
2,220		1,480	740
803		705	98
5,615		2,349	3,266
1,061		1,170	-109
129		109	20
361		172	189
531		1,350	-819
638		506	132
809		1,216	-407
1,482		1,600	-118
1,879		1,583	296
231		220	11
818		605	213
773		342	431
816		856	-40
919		621	298
285		117	168
667		538	129

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
610		827	-217
2,069		317	1,752
1,080		938	142
646		410	236
1,636		968	668
787		1,101	-314
1,354		940	414
61		53	8
61		53	8
1,019		973	46
61		53	8
716		732	-16
23		21	2
38		32	6
46		42	4
2,623		1,472	1,151
208		156	52
3,159		2,599	560
51		50	1
51		50	1
328		252	76
330		252	78
1,223		1,357	-134
30		25	5
243		133	110
320		244	76
603		486	117
1,514		1,140	374
782		694	88
408		463	-55

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
1,388		715	673
1,413		413	1,000
749		423	326
720		390	330
401		201	200
146		317	-171
263		65	198
1,143		803	340
885		396	489
31		27	4
704		974	-270
85		73	12
526		517	9
667		802	-135
1,736		1,756	-20
492		218	274
7,251		1,972	5,279
1,232		1,043	189
402		508	-106
57		42	15
768		543	225
531		502	29
720		458	262
15,571		12,645	2,926
993		650	343
1,139		1,632	-493
102		85	17
31		27	4
184		159	25
153		145	8

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
61		53	8
1,209		1,259	-50
46		42	4
23		19	4
8		7	1
1,157		1,115	42
589		448	141
861		797	64
51		50	1
51		50	1
1,089		793	296
1,097		1,345	-248
204		206	-2
81		33	48
42		27	15
469		358	111
369		310	59
78		77	1
554		606	-52
544		572	-28
1,555		1,531	24
10,550		10,516	34
465		268	197
89		89	
2,089		2,342	-253
875		1,835	-960
1,004		613	391
2,199		1,373	826
10		28	-18
214		359	-145

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
372		191	181
108		93	15
1,624		1,429	195
667		700	-33
51		52	-1
419		190	229
604		570	34
383		195	188
168		76	92
802		115	687
1,210		556	654
500		391	109
482		454	28
12,488		9,424	3,064
37		22	15
556		747	-191
1,185		1,005	180
92		80	12
99		86	13
2,124		2,130	-6
61		53	8
157		143	14
46		42	4
31		26	5
46		42	4
968		1,021	-53
474		229	245
815		637	178
51		50	1
51		50	1

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
606		361	245
617		341	276
128		129	-1
452		371	81
123		40	83
746		569	177
2,082		1,259	823
104		103	1

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			197
			-223
			63
			-78
			-312
			11
			223
			-26
			-999
			23
			-36
			-634
			458
			16
			244
			76
			244
			243
			126
			50
			211
			1,542
			164
			-1
			20
			39
			41
			5
			14

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			8
			10
			-214
			6
			154
			3
			2
			2
			286
			343
			1
			1
			367
			-52
			-1
			-18
			14
			4,006
			1,449
			134
			38
			-2
			-24
			140
			-216
			1,018
			850
			204
			-384

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			34
			73
			-14
			-60
			-183
			16
			215
			-12
			394
			240
			-30
			47
			17
			-131
			418
			76
			-12
			198
			10,225
			8
			14
			48
			2,596
			-233
			8
			32
			5
			8
			3
			604

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			128
			1
			-350
			1
			-77
			-25
			706
			84
			50
			338
			-416
			36
			3
			-455
			-6
			678
			1,889
			-40
			196
			122
			-223
			54
			-816
			3
			829
			-172
			11
			-62
			-1,040
			123

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			65
			254
			154
			117
			-101
			858
			140
			207
			82
			58
			8
			201
			6
			1,870
			15
			8
			71
			2
			9
			2
			-49
			-393
			228
			-75
			-386
			196
			28

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			212
			-883
			1
			-61
			723
			-7
			142
			-1
			-23
			198
			249
			1,032
			80
			-285
			7
			1
			-379
			9
			-17
			63
			373
			77
			18
			340
			692
			-84
			90
			108
			91
			150

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			489
			8
			143
			8
			1,627
			8
			8
			7
			2
			1
			-47
			1
			1
			-1
			-4
			-143
			580
			56
			179
			-1,062
			203
			162
			-9
			53
			-33
			380
			4,829

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			-2,792
			162
			298
			24
			-1,265
			1
			-280
			8
			-21
			110
			77
			85
			65
			150
			171
			73
			-54
			94
			-63
			-10
			-137
			8
			-17
			8
			-310
			8
			8
			1

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			5
			1
			-82
			-42
			1
			1
			78
			-2
			-4
			40
			143
			-40
			-166
			98
			22
			574
			-22
			-1
			-180
			953
			-3,523
			98
			-77
			900
			-932
			-40
			-91
			9

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			40
			64
			1
			216
			165
			188
			-24
			-148
			392
			203
			145
			-4
			-363
			8
			18
			8
			-902
			8
			8
			9
			2
			5
			190
			140
			1
			1
			122
			177

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			-2
			242
			20
			926
			443
			442
			27
			511
			-21
			27
			-9
			13
			48
			127
			82
			282
			-1,154
			-5
			-19
			9
			-53
			43
			21
			93
			39
			-15
			283
			79
			41

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			14
			13
			1
			-29
			9
			15
			8
			223
			11
			11
			8
			1
			3
			214
			550
			1
			65
			-13
			-2
			94
			42
			1
			1,316
			401
			9
			-12
			883

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			-431
			244
			12
			1
			525
			-137
			100
			-716
			184
			2
			381
			9
			404
			194
			627
			122
			89
			180
			185
			6
			-4
			99
			18
			-2
			-270
			8
			24
			23
			-144
			14

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			8
			8
			2
			2
			-1
			172
			1
			-457
			-7
			-2
			125
			204
			-746
			69
			1,606
			184
			14
			-78
			253
			91
			12
			56
			-2
			131
			-697
			105

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			1
			164
			15
			208
			-612
			257
			19
			36
			76
			153
			39
			3
			326
			-28
			-16
			312
			23
			15
			15
			-58
			15
			8
			1
			1
			2
			589
			25
			1

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			6
			-209
			-4
			-2
			32
			23
			463
			-464
			72
			-82
			718
			-315
			172
			48
			646
			84
			1,031
			123
			-446
			103
			1
			47
			13
			152
			187
			19
			58
			-8
			321
			1

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			105
			2
			67
			-6
			76
			-2
			-94
			15
			25
			165
			8
			8
			6
			3
			3
			1
			34
			115
			1
			1
			6
			-242
			-8
			-2
			5
			77
			70
			-727
			-20
			-11

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			171
			-89
			184
			-3
			3,936
			-39
			228
			199
			-1,451
			59
			1
			90
			-781
			809
			92
			21
			64
			359
			223
			162
			103
			290
			-50
			-206
			812
			-126
			-15
			317
			16
			94

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			11
			8
			5
			10
			1
			239
			37
			1
			6
			30
			-59
			-2
			1
			188
			-112
			15
			74
			-35
			112
			-36
			276
			620
			210
			-396
			19
			243
			-483
			310

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			-129
			-709
			-38
			-10
			225
			178
			136
			2,556
			281
			301
			157
			89
			91
			8
			511
			-29
			284
			8
			8
			-48
			11
			2
			2
			2
			2
			99
			34
			1
			1
			1

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			124
			17
			3
			-3
			-11
			272
			1,184
			258
			366
			-23
			221
			-263
			740
			98
			3,266
			-109
			20
			189
			-819
			132
			-407
			-118
			296
			11
			213
			431
			-40
			298
			168
			129

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			-217
			1,752
			142
			236
			668
			-314
			414
			8
			8
			46
			8
			-16
			2
			6
			4
			1,151
			52
			560
			1
			1
			76
			78
			-134
			5
			110
			76
			117
			374
			88
			-55

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			673
			1,000
			326
			330
			200
			-171
			198
			340
			489
			4
			-270
			12
			9
			-135
			-20
			274
			5,279
			189
			-106
			15
			225
			29
			262
			2,926
			343
			-493
			17
			4
			25
			8

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			8
			-50
			4
			4
			1
			42
			141
			64
			1
			1
			296
			-248
			-2
			48
			15
			111
			59
			1
			-52
			-28
			24
			34
			197
			-253
			-960
			391
			826
			-18
			-145


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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			181
			15
			195
			-33
			-1
			229
			34
			188
			92
			687
			654
			109
			28
			3,064
			15
			-191
			180
			12
			13
			-6
			8
			14
			4
			5
			4
			-53
			245
			178
			1
			1

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			245
			276
			-1
			81
			83
			177
			823
			1

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
AMERICAN RED CROSS PO BOX 4002018 DES MOINES,IA 503402018		PUBLIC CHAR	GENERAL SUPPORT	7,500
CATHOLIC CHARITIES USA PO BOX 17066 BALTIMORE,MD 212971066		PUBLIC CHAR	GENERAL SUPPORT	15,000
THE AMERICAN IRELAND FUND ATTN KIERAN MCLOUGHLIN 345 PARK AVE 17TH FL NEWYORK,NY 10154		PUBLIC CHAR	GENERAL SUPPORT	15,000
CHILDREN'S SCHOLARSHIP FUND 8 WEST 38TH STREET 9TH FL NEWYORK,NY 10018		PUBLIC CHAR	GENERAL SUPPORT	15,000
INNER CITY SCHOLARSHIP FUND 1011 FIRST AVE STE 1400 NEWYORK,NY 10022		PUBLIC CHAR	GENERAL SUPPORT	15,000
A BETTER CHANCE OF WESTPORT PO BOX 2153 WESTPORT,CT 06880		PUBLIC CHAR	GENERAL SUPPORT	7,500
ROBIN HOOD FOUNDATION 826 BROADWAY 9TH FL NEWYORK,NY 10003		PUBLIC CHAR	GENERAL SUPPORT	15,000
WOUNDED WARRIOR PROJECT PO BOX 758517 TOPEKA,KS 66675		PUBLIC CHAR	GENERAL SUPPORT	7,500
SAINT FRANCIS HOSPITAL FOUNDATION 100 PORT WASHINGTON BLVD ROSLYN,NY 11576		PUBLIC CHAR	GENERAL SUPPORT	7,500
MICHAEL J FOX FOUNDATION FOR PARKINSON'S RESEARCH GRAND CENTRAL STATION PO BOX 4777 NEWYORK,NY 101634777		PUBLIC CHAR	GENERAL SUPPORT	7,500
CARSON SCHOLARS FUND INC ATTN AMY WARNER STE 310 305 W CHESAPEAKE AVE TOWSON,MD 21204		PUBLIC CHAR	GENERAL SUPPORT	7,500
Total  3a				120,000

TY 2012 Accounting Fees Schedule

Name: STANLEY AND CATHERINE MAAS FOUNDATI

EIN: 11-2690167

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
ACCOUNTING FEES	5,200			

TY 2012 Compensation Explanation**Name:** STANLEY AND CATHERINE MAAS FOUNDATI**EIN:** 11-2690167

Person Name	Explanation
CATHERINE NOLAN	
MATTHEW SPIEGEL	

**TY 2012 Investments Corporate
Bonds Schedule****Name:** STANLEY AND CATHERINE MAAS FOUNDATI**EIN:** 11-2690167

Name of Bond	End of Year Book Value	End of Year Fair Market Value
UBS 63388	166,980	195,738
UBS 68328	415,099	462,415

**TY 2012 Investments Corporate
Stock Schedule****Name:** STANLEY AND CATHERINE MAAS FOUNDATI**EIN:** 11-2690167

Name of Stock	End of Year Book Value	End of Year Fair Market Value
UBS 63389	353,680	465,135
UBS 63390	108,939	162,085
UBS 63391	333,708	318,446
UBS 63392	290,168	482,440
UBS 68328	66,898	87,346
UBS 68329	141,278	225,825

TY 2012 Investments Government Obligations Schedule

Name: STANLEY AND CATHERINE MAAS FOUNDATI

EIN: 11-2690167

US Government Securities - End of Year Book Value:	225,210
US Government Securities - End of Year Fair Market Value:	226,971
State & Local Government Securities - End of Year Book Value:	42,115
State & Local Government Securities - End of Year Fair Market Value:	46,607

TY 2012 Other Assets Schedule

Name: STANLEY AND CATHERINE MAAS FOUNDATI

EIN: 11-2690167

Description	Beginning of Year - Book Value	End of Year - Book Value	End of Year - Fair Market Value
ACCRUED INTEREST RECEIVABLE	771	1,618	1,618

TY 2012 Other Expenses Schedule

Name: STANLEY AND CATHERINE MAAS FOUNDATI

EIN: 11-2690167

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
EXPENSES				
BANK FEES	396			

TY 2012 Other Professional Fees Schedule

Name: STANLEY AND CATHERINE MAAS FOUNDATI

EIN: 11-2690167

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
UBS INVESTMENT MANAGEMENT FEES	35,410	34,277		

TY 2012 Taxes Schedule**Name:** STANLEY AND CATHERINE MAAS FOUNDATI**EIN:** 11-2690167

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
NYS DEPT OF LAW	250			
FEDERAL ESTIMATED TAXES	3,200			
FOREIGN TAXES PAID	114	114		
FEDERAL TAXES PAID	666			