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 JUL 1, 2012 **, and ending** JUN 30, 2013

Name of foundation
CAITHNESS FOUNDATION
C/O DANIEL H. WEBB

A Employer identification number
26-3917361

Number and street (or P O box number if mail is not delivered to street address) Room/suite
67 LITTLE ISLAND ROAD

B Telephone number
508-566-1882

City or town, state, and ZIP code
FALMOUTH, MA 02540

C If exemption application is pending, check here ▶☐

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

D 1. Foreign organizations, check here ▶☐

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

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

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

I Fair market value of all assets at end of year *(from Part II, col (c), line 16)* ▶$ 1,826,559.24

J Accounting method: ☒ Cash ☐ Accrual ☐ Other (specify) ________ *(Part I, column (d) must be on cash basis.)*

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

Part I **Analysis of Revenue and Expenses** (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a))

		(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			N/A	
2	Check ▶☒ if the foundation is not required to attach Sch B				
3	Interest on savings and temporary cash investments				
4	Dividends and interest from securities	49,489.51	49,489.51		STATEMENT 1
5a	Gross rents				
b	Net rental income or (loss)				
6a	Net gain or (loss) from sale of assets not on line 10	12,162.91			
b	Gross sales price for all assets on line 6a 1,630,711.24				
7	Capital gain net income (from Part IV, line 2)		12,162.91		
8	Net short-term capital gain				
9	Income modifications				
10a	Gross sales less returns and allowances				
b	Less Cost of goods sold				
c	Gross profit or (loss)				
11	Other income	4,189.35	4,189.35		STATEMENT 2
12	**Total.** Add lines 1 through 11	65,841.77	65,841.77		
Operating and Administrative Expenses					
13	Compensation of officers, directors, trustees, etc	0.00	0.00		0.00
14	Other employee salaries and wages				
15	Pension plans, employee benefits				
16a	Legal fees STMT 3	3,972.30	0.00		0.00
b	Accounting fees STMT 4	1,752.80	0.00		0.00
c	Other professional fees STMT 5	12,795.32	0.00		0.00
17	Interest				
18	Taxes				
19	Depreciation and depletion				
20	Occupancy				
21	Travel, conferences, and meetings				
22	Printing and publications				
23	Other expenses STMT 6	90.10	0.00		0.00
24	**Total operating and administrative expenses.** Add lines 13 through 23	18,610.52	0.00		0.00
25	Contributions, gifts, grants paid	139,600.00			139,600.00
26	**Total expenses and disbursements.** Add lines 24 and 25	158,210.52	0.00		139,600.00
27	Subtract line 26 from line 12:				
a	Excess of revenue over expenses and disbursements	<92,368.75>			
b	**Net investment income** (if negative, enter -0-)		65,841.77		
c	**Adjusted net income** (if negative, enter -0-)			N/A	

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12-05-12 LHA **For Paperwork Reduction Act Notice, see instructions.**

Form **990-PF** (2012)

Part II Balance Sheets

		Attached schedules and amounts in the description column should be for end-of-year amounts only	Beginning of year	End of year	
			(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash - non-interest-bearing		0.00	0.00
	2	Savings and temporary cash investments	36,726.93	17,366.17	17,366.17
	3	Accounts receivable ▶			
		Less: allowance for doubtful accounts ▶			
	4	Pledges receivable ▶			
		Less: allowance for doubtful accounts ▶			
	5	Grants receivable			
	6	Receivables due from officers, directors, trustees, and other disqualified persons			
	7	Other notes and loans receivable ▶			
		Less: allowance for doubtful accounts ▶			
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges			
	10a	Investments - U.S. and state government obligations			
	b	Investments - corporate stock			
	c	Investments - corporate bonds			
	11	Investments - land, buildings, and equipment: basis ▶			
		Less accumulated depreciation ▶			
	12	Investments - mortgage loans			
	13	Investments - other STMT 8	1,738,658.60	1,665,654.35	1,809,193.07
	14	Land, buildings, and equipment: basis ▶			
		Less accumulated depreciation ▶			
	15	Other assets (describe ▶)			
	16	**Total assets** (to be completed by all filers)	1,775,385.53	1,683,020.52	1,826,559.24
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			
	22	Other liabilities (describe ▶)			
	23	**Total liabilities** (add lines 17 through 22)	0.00	0.00	
Net Assets or Fund Balances		**Foundations that follow SFAS 117, check here ▶ ☐ 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 ▶ ☒ and complete lines 27 through 31.			
	27	Capital stock, trust principal, or current funds	0.00	0.00	
	28	Paid-in or capital surplus, or land, bldg., and equipment fund	0.00	0.00	
	29	Retained earnings, accumulated income, endowment, or other funds	1,775,385.53	1,683,020.52	
	30	**Total net assets or fund balances**	1,775,385.53	1,683,020.52	
	31	**Total liabilities and net assets/fund balances**	1,775,385.53	1,683,020.52	

Part III Analysis of Changes in Net Assets or Fund Balances

1	Total net assets or fund balances at beginning of year - Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return)	1	1,775,385.53
2	Enter amount from Part I, line 27a	2	<92,368.75>
3	Other increases not included in line 2 (itemize) ▶ SEE STATEMENT 7	3	3.74
4	Add lines 1, 2, and 3	4	1,683,020.52
5	Decreases not included in line 2 (itemize) ▶	5	0.00
6	Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	1,683,020.52

Part IV Capital Gains and Losses for Tax on Investment Income

	(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.)	(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a				
b	SEE ATTACHED STATEMENTS			
c				
d				
e				

	(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a				
b				
c				
d				
e	1,630,711.24		1,618,548.33	12,162.91

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

	(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
a				
b				
c				
d				
e				12,162.91

2	Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 }	2	12,162.91
3	Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter -0- in Part I, line 8	3	N/A

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

(For optional use by domestic private foundations subject to the section 4940(a) tax on net investment income.)

If section 4940(d)(2) applies, leave this part blank.

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period? ☐ Yes ☒ No

If "Yes," the foundation does not qualify under section 4940(e). Do not complete this part.

1 Enter the appropriate amount in each column for each year; see the instructions before making any entries.

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2011	82,239.35	1,854,107.08	.044355
2010	105,689.51	1,869,748.94	.056526
2009	44,463.88	1,677,799.68	.026501
2008	0.00	1,471,661.07	.000000
2007			

2	**Total** of line 1, column (d)	2	.127382
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	.031846
4	Enter the net value of noncharitable-use assets for 2012 from Part X, line 5	4	1,893,157.37
5	Multiply line 4 by line 3	5	60,289.49
6	Enter 1% of net investment income (1% of Part I, line 27b)	6	658.42
7	Add lines 5 and 6	7	60,947.91
8	Enter qualifying distributions from Part XII, line 4	8	139,600.00

If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate. See the Part VI instructions.

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

1a Exempt operating foundations described in section 4940(d)(2), check here ▶ ☐ and enter "N/A" on line 1. Date of ruling or determination letter: ________ **(attach copy of letter if necessary-see instructions)**				
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ ☒ and enter 1% of Part I, line 27b			1	658.42
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b).				
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)			2	0.00
3 Add lines 1 and 2			3	658.42
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)			4	0.00
5 **Tax based on investment income.** Subtract line 4 from line 3. If zero or less, enter -0-			5	658.42
6 Credits/Payments:				
a 2012 estimated tax payments and 2011 overpayment credited to 2012	6a	612.00		
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	612.00
8 Enter any **penalty** for underpayment of estimated tax. Check here ☐ if Form 2220 is attached			8	
9 **Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ▶			9	46.42
10 **Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶			10	
11 Enter the amount of line 10 to be: **Credited to 2013 estimated tax** ▶		**Refunded** ▶	11	

Part VII-A Statements Regarding Activities

		Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?	1a		X
b Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see instructions for definition)?	1b		X
*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		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: **(1)** On the foundation. ▶ $ 0.00 **(2)** On foundation managers. ▶ $ 0.00			
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ▶ $ 0.00			
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? *If "Yes," attach a detailed description of the activities.*	2		X
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? *If "Yes," attach a conformed copy of the changes*	3		X
4a Did the foundation have unrelated business gross income of $1,000 or more during the year?	4a		X
b If "Yes," has it filed a tax return on **Form 990-T** for this year? N/A	4b		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? *If "Yes," attach the statement required by General Instruction T.*	5		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: ● By language in the governing instrument, or ● By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	6	X	
7 Did the foundation have at least $5,000 in assets at any time during the year? *If "Yes," complete Part II, col. (c), and Part XV.*	7	X	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ MA			
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	X	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2012 or the taxable year beginning in 2012 (see instructions for Part XIV)? *If "Yes," complete Part XIV*	9		X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses	10		X

Part VII-A Statements Regarding Activities *(continued)*

			Yes	No
11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)	11		X
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? N/A	13		

Website address ▶ N/A

14 The books are in care of ▶ DANIEL H. WEBB Telephone no. ▶ 508-566-1882

Located at ▶ 67 LITTLE ISLAND ROAD, FALMOUTH, MA ZIP+4 ▶ 02540

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

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

			Yes	No
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		X
	See the 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? ☐ Yes ☒ No			
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☒ No			
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☐ Yes ☒ No			
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☐ Yes ☒ No			
	(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? ☐ Yes ☒ No			
	(6) Agree to pay money or property to a government official? (**Exception.** Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.) ☐ Yes ☒ No			
b	If any answer is "Yes" to 1a(1)-(6), did **any** of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? N/A	1b		
	Organizations relying on a current notice regarding disaster assistance check here ▶ ☐			
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2012?	1c		X
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)):			
a	At the end of tax year 2012, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2012? ☐ Yes ☒ No If "Yes," list the years ▶ ______, ______, ______, ______			
b	Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to **all** years listed, answer "No" and attach statement - see instructions.) N/A	2b		
c	If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here. ▶ ______, ______, ______, ______			
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☐ Yes ☒ No			
b	If "Yes," did it have excess business holdings in 2012 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969; (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest; or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? *(Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2012.)* N/A	3b		
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a		X
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2012?	4b		X

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

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

(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? ☐ Yes ☒ No

(2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive? ☐ Yes ☒ No

(3) Provide a grant to an individual for travel, study, or other similar purposes? ☐ Yes ☒ No

(4) Provide a grant to an organization other than a charitable, etc., organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? ☐ Yes ☒ No

(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? ☐ Yes ☒ No

b If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)? N/A **5b**

Organizations relying on a current notice regarding disaster assistance check here ▶ ☐

c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? N/A ☐ Yes ☐ No

If "Yes," attach the statement required by Regulations section 53.4945-5(d)

6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? ☐ Yes ☒ No

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? **6b** No: X

If "Yes" to 6b, file Form 8870.

7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? ☐ Yes ☒ No

b If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction? N/A **7b**

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

1 List all officers, directors, trustees, foundation managers and their compensation.

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
DANIEL H. WEBB 67 LITTLE ISLAND ROAD FALMOUTH, MA 02540	PRESIDENT,TREASURER, DIREC 1.00	0.00	0.00	0.00
DOUGLAS C. WEBB 769 PALMER AVE. FALMOUTH, MA 02540	CLERK/DIRECTOR 1.00	0.00	0.00	0.00

2 Compensation of five highest-paid employees (other than those included on line 1). If none, enter "NONE."

(a) Name and address of each employee paid more than $50,000	(b) Title, and average hours per week devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
N/A	0.00	0.00	0.00	0.00

Total number of other employees paid over $50,000 ▶ 0

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Part VIII **Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors** *(continued)*

3 Five highest-paid independent contractors for professional services. If none, enter "NONE."

(a) Name and address of each person paid more than $50,000	**(b)** Type of service	**(c)** Compensation
NONE		

Total number of others receiving over $50,000 for professional services ▶ 0

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

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

Part IX-B **Summary of Program-Related Investments**

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 instructions. 3	
Total. Add lines 1 through 3 ▶	0.00

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12-05-12

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
a	Average monthly fair market value of securities	1a	1,921,987.18
b	Average of monthly cash balances	1b	
c	Fair market value of all other assets	1c	
d	**Total** (add lines 1a, b, and c)	1d	1,921,987.18
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) 1e 0.00		
2	Acquisition indebtedness applicable to line 1 assets	2	0.00
3	Subtract line 2 from line 1d	3	1,921,987.18
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	28,829.81
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3. Enter here and on Part V, line 4	5	1,893,157.37
6	**Minimum investment return.** Enter 5% of line 5	6	94,657.87

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	94,657.87
2a	Tax on investment income for 2012 from Part VI, line 5 2a 658.42		
b	Income tax for 2012. (This does not include the tax from Part VI.) 2b		
c	Add lines 2a and 2b	2c	658.42
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	93,999.45
4	Recoveries of amounts treated as qualifying distributions	4	0.00
5	Add lines 3 and 4	5	93,999.45
6	Deduction from distributable amount (see instructions)	6	0.00
7	**Distributable amount** as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	93,999.45

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	139,600.00
b	Program-related investments - total from Part IX-B	1b	0.00
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	139,600.00
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b	5	658.42
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	138,941.58

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

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Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2011	(c) 2011	(d) 2012
1 Distributable amount for 2012 from Part XI, line 7				93,999.45
2 Undistributed income, if any, as of the end of 2012				
a Enter amount for 2011 only			62,504.01	
b Total for prior years: _____ , _____ , _____		0.00		
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	0.00			
4 Qualifying distributions for 2012 from Part XII, line 4: ▶ $ 139,600.00				
a Applied to 2011, but not more than line 2a			62,504.01	
b Applied to undistributed income of prior years (Election required - see instructions)		0.00		
c Treated as distributions out of corpus (Election required - see instructions)	0.00			
d Applied to 2012 distributable amount				77,095.99
e Remaining amount distributed out of corpus	0.00			
5 Excess distributions carryover applied to 2012 (If an amount appears in column (d), the same amount must be shown in column (a).)	0.00			0.00
6 **Enter the net total of each column as indicated below:**				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	0.00			
b Prior years' undistributed income. Subtract line 4b from line 2b		0.00		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.00		
d Subtract line 6c from line 6b. Taxable amount - see instructions		0.00		
e Undistributed income for 2011. Subtract line 4a from line 2a. Taxable amount - see instr.			0.00	
f Undistributed income for 2012. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2013				16,903.46
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3)	0.00			
8 Excess distributions carryover from 2007 not applied on line 5 or line 7	0.00			
9 **Excess distributions carryover to 2013.** Subtract lines 7 and 8 from line 6a	0.00			
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 XIV Private Operating Foundations (see instructions and Part VII-A, question 9) N/A

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

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

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

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

1 **Information Regarding Foundation Managers:**

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

SEE STATEMENT 9

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

NONE

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

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

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

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

c Any submission deadlines:

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

Part XV Supplementary Information (continued)

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a *Paid during the year*				
AMERICAN FRIENDS OF THE BUGATTI TRUST PRESCOTT HILL GOTHERINGTON GLOUCESTERSHIRE, ENGLAND, GABON GL529RD	N/A	PUBLIC CHARITY		1,000.00
ASSOCIATION TO PRESERVE CAPE COD 3010 MAIN ST., P.O. BOX 398 BARNSTABLE, MA 02630	N/A	NON PROFIT		3,000.00
BOYS & GIRLS CLUBS OF AMERICA 1275 PEACHTREE ST. NE ATLANTA, GA 30309	N/A	NON PROFIT		3,000.00
BRIGHAM & WOMEN'S 116 HUNTINGTON AVE. BOSTON, MA 02116	N/A	PUBLIC CHARITY	MEDICAL	6,000.00
CAPE COD HEALTH CARE FOUNDATION P. O. BOX 370 HYANNIS, MA 02601	N/A	PUBLIC CHARITY	HEALTH CARE	4,000.00
Total SEE CONTINUATION SHEET(S)			▶ 3a	139,600.00
b *Approved for future payment* NONE				
Total			▶ 3b	0.00

Form **990-PF** (2012)

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated.	Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	
1 Program service revenue:					
a					
b					
c					
d					
e					
f					
g Fees and contracts from government agencies					
2 Membership dues and assessments					
3 Interest on savings and temporary cash investments					
4 Dividends and interest from securities					49,489.51
5 Net rental income or (loss) from real estate:					
a Debt-financed property					
b Not debt-financed property					
6 Net rental income or (loss) from personal property					
7 Other investment income					4,189.35
8 Gain or (loss) from sales of assets other than inventory					12,162.91
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue:					
a					
b					
c					
d					
e					
12 Subtotal. Add columns (b), (d), and (e)		0.00		0.00	65,841.77

13 **Total.** Add line 12, columns (b), (d), and (e) 13 65,841.77

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

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

Line No. ▼	Explain below how each activity for which income is reported in column (e) of Part XVI-A contributed importantly to the accomplishment of the foundation's exempt purposes (other than by providing funds for such purposes).
	THE FOUNDATION EXPECTS TO MAKE DISTRIBUTIONS AND/OR GRANTS TO THE
	FOLLOWING (AND SIMILAR) ORGANIZATIONS: NATIONAL PUBLIC RADIO (WCAI,
	WGBH, WBUR), FALMOUTH HOSPITAL OF FALMOUTH, MA, BRIGHAM AND WOMEN'S
	HOSPITAL OF BOSTON, MA, AMERICAN FRIENDS OF THE BUGATTI TRUST, INC.
	A MASSACHUSETTS ENTITY, OXFAM AMERICA OF BOSTON, MA, ASSOCIATION TO
	PROTECT CAPE COD OF BARNSTABLE MA, AND WOODS HOLE OCEANOGRAPHIC
	INSTITUTION OF WOODS HOLE, MA.

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

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

d If the answer to any of the above is "Yes," complete the following schedule. Column (b) should always show the fair market value of the goods, other assets, or services given by the reporting foundation. If the foundation received less than fair market value in any transaction or sharing arrangement, show in column (d) the value of the goods, other assets, or services received.

(a) Line no	(b) Amount involved	(c) Name of noncharitable exempt organization	(d) Description of transfers, transactions, and sharing arrangements
		N/A	

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
N/A		

Sign Here

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete Declaration of preparer (other than taxpayer) is based on all information of which preparer has any knowledge

▶ 9/5/13 ▶

Signature of officer or trustee 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	PTIN
KATHERINE A. BOTELHO		8/14/13		P01234748

Firm's name ▶ GILMORE, REES & CARLSON, P.C. Firm's EIN ▶ 04-3174646

Firm's address ▶ 70 WALNUT STREET
WELLESLEY, MA 02481 Phone no. 781-431-9788

Form 990-PF (2012)

223622
12-05-12

CAITHNESS FOUNDATION
C/O DANIEL H. WEBB

CONTINUATION FOR 990-PF, PART IV
26-3917361 PAGE 1 OF 8

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	350.728 SHS. FIRST EAGLE OVERSEAS	P	06/06/11	07/10/12
b	3,194.096 SHS. FIRST EAGLE OVERSEAS	P	06/06/11	07/24/12
c	2939.027 SHS. INVESTCO CONVERT SECURITIES	P	01/05/12	07/24/12
d	.037 SHS. VANGUARD DIVIDEND APPRECIATION	P	06/06/11	08/15/12
e	425 SHS. MARKET VECTORS GOLD MINERS	P	05/08/12	08/09/12
f	126 SHS. MARKET VECTORS GOLD MINERS	P	05/08/12	08/09/12
g	98 SHS. MARKET VECTORS GOLD MINERS	P	05/08/12	08/09/12
h	456 SHS. MARKET VECTORS GOLD MINERS	P	05/08/12	08/13/12
i	312 SHS. MARKET VECTORS GOLD MINERS	P	05/08/12	08/23/12
j	341 SHS. MARKET VECTORS GOLD MINERS	P	05/09/12	08/23/12
k	1648.411 SHS. NATIXIS LOOMIS SAY INV. GR.	P	10/07/11	09/09/12
l	2463.044 SHS. ALLIANCEBER HIGH INCOME	P	03/22/12	09/17/12
m	2,134.348 SHS. ALLIANCEBER HIGH INCOME	P	03/22/12	09/26/12
n	907 SHS. ISHAES MSCI EMERGING MKTS	P	09/14/12	09/26/12
o	593 SHS. MARKET VECTORS GOLD MINERS	P	05/09/12	09/07/12

	(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a	7,449.47		8,294.72	<845.25>
b	67,363.48		75,540.37	<8,176.89>
c	57,618.80		55,900.30	1,718.50
d	2.18		2.02	0.16
e	18,657.08		17,922.97	734.11
f	5,524.42		5,313.63	210.79
g	4,296.77		4,132.83	163.94
h	20,529.25		19,230.30	1,298.95
i	14,852.89		13,157.57	1,695.32
j	16,233.45		14,132.27	2,101.18
k	20,588.65		19,763.92	824.73
l	23,152.61		22,265.92	886.69
m	19,913.47		19,294.51	618.96
n	37,036.33		38,592.58	<1,556.25>
o	30,024.81		24,576.05	5,448.76

	Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
	(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
a				<845.25>
b				<8,176.89>
c				1,718.50
d				0.16
e				734.11
f				210.79
g				163.94
h				1,298.95
i				1,695.32
j				2,101.18
k				824.73
l				886.69
m				618.96
n				<1,556.25>
o				5,448.76

2	Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 / If (loss), enter "-0-" in Part I, line 7 }	2	
3	Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter "-0-" in Part I, line 8	3	

223591
05-01-12

CAITHNESS FOUNDATION
C/O DANIEL H. WEBB

CONTINUATION FOR 990-PF, PART IV
26-3917361 PAGE 2 OF 8

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	1343 SHS. UNITED STATES OIL FUND	P	09/07/12	09/26/12
b	1,151 SHS. ISHARE SILVER TRUST	P	09/14/12	11/09/12
c	330 SHS. ISHARE SILVER TRUST	P	10/09/12	11/09/12
d	465 SHS. VANGUARD MSCI EMERGING MARKETS	P	09/26/12	11/07/12
e	875.396 SHS. FIDELITY ADV. NEW INSIGHTS	P	06/06/11	12/21/12
f	2321.353 SHS. METROPOLITAN WEST TOT RETIR.	P	06/06/11	12/21/12
g	255.674 SHS. MFS UTILITIES	P	06/06/11	12/21/12
h	743.066 SHS. MFS VALUE 1	P	08/30/11	12/21/12
i	55.454 SHS. NATIXIS LOOMIS SAY	P	10/07/11	12/21/12
j	293 SHS. VANGUARD DIVIDEND APPRECIATION	P	06/06/11	12/21/12
k	255.913 SHS. VANGUARD WELLESLEY, INC.	P	10/07/11	12/21/12
l	189.020 SHS. VANGUARD WELLINGTON INV.	P	06/06/11	12/21/12
m	1 SH. ALERIAN MLP EFT	P	11/15/12	12/21/12
n	21.666 SHS. INVESCO BLANCED RISK	P	07/24/12	12/21/12
o	276 SHS. VANGUARD INFO TECH	P	05/22/12	12/06/12

	(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a	44,597.48		47,619.96	<3,022.48>
b	36,251.19		38,560.57	<2,309.38>
c	10,393.48		10,783.61	<390.13>
d	19,493.20		19,184.92	308.28
e	20,151.61		17,922.95	2,228.66
f	25,302.75		24,490.27	812.48
g	4,809.22		4,556.40	252.82
h	19,015.05		16,211.45	2,803.60
i	699.28		664.88	34.40
j	17,518.66		16,031.55	1,487.11
k	6,177.75		5,586.58	591.17
l	6,549.53		6,060.20	489.33
m	16.00		15.67	0.33
n	270.17		273.42	<3.25>
o	19,087.57		18,628.62	458.95

	Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
	(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
a				<3,022.48>
b				<2,309.38>
c				<390.13>
d				308.28
e				2,228.66
f				812.48
g				252.82
h				2,803.60
i				34.40
j				1,487.11
k				591.17
l				489.33
m				0.33
n				<3.25>
o				458.95

2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 If (loss), enter "-0-" in Part I, line 7 }	2	
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter "-0-" in Part I, line 8	3	

CAITHNESS FOUNDATION
C/O DANIEL H. WEBB

CONTINUATION FOR 990-PF, PART IV
26-3917361 PAGE 3 OF 8

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	270 SHS. VANGUARD INFO ECH ETF	P	05/22/12	12/06/12
b	2 SHS. VANGUARD INFO TECH ETF	P	05/22/12	12/06/12
c	256 SHS. VANGUARD INFO TECH ETF	P	05/23/12	12/06/12
d	1,647 SHS. SPROTT PHYSICAL SILVER TR.	P	11/09/12	01/29/13
e	1,179.00 SHS. SPROTT PHYSICAL TR.	P	11/09/12	01/29/13
f	381 SHS. SPROTT PHYSICAL SILVER TR.	P	12/21/12	01/29/13
g	181 SHS. SPDR GOLD R. GOLD SHS.	P	06/06/11	03/15/13
h	5,648.729 SHS. ING GLOBAL BOND	P	08/09/12	03/01/13
i	20.550 SHS. ING GLOBAL BOND I	P	09/04/12	03/01/13
j	20.527 SHS. ING GLOBAL BOND I	P	10/01/12	03/01/13
k	20.789 SHS. ING GLOBAL BOND I	P	11/01/12	03/01/13
l	20.752 SHS. ING GLOBAL BOND I	P	12/03/12	03/01/13
m	4,109.86 SHS. ING GLOBAL BOND 1	P	12/21/12	03/01/13
n	35.778 SHS. ING GLOBAL BOND 1	P	01/02/13	03/01/13
o	36.181 SHS. ING GLOBAL BOND 1	P	02/01/13	03/01/13

	(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	18,672.62		18,223.65	448.97
b	138.32		134.99	3.33
c	17,704.40		17,151.66	552.74
d	20,587.03		21,503.89	<916.86>
e	14,725.38		15,393.50	<668.12>
f	4,758.58		4,526.13	232.45
g	27,884.56		27,368.56	516.00
h	64,056.53		64,621.46	<564.93>
i	233.04		235.76	<2.72>
j	232.78		238.11	<5.33>
k	235.75		240.11	<4.36>
l	235.33		239.27	<3.94>
m	46,605.77		47,715.47	<1,109.70>
n	405.72		414.31	<8.59>
o	410.38		416.81	<6.43>

	Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
	(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
a				448.97
b				3.33
c				552.74
d				<916.86>
e				<668.12>
f				232.45
g				516.00
h				<564.93>
i				<2.72>
j				<5.33>
k				<4.36>
l				<3.94>
m				<1,109.70>
n				<8.59>
o				<6.43>

2	Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 If (loss), enter "-0-" in Part I, line 7 }	2	
3	Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter "-0-" in Part I, line 8	3	

223591
05-01-12

CAITHNESS FOUNDATION
C/O DANIEL H. WEBB

CONTINUATION FOR 990-PF, PART IV
26-3917361 PAGE 4 OF 8

Part IV Capital Gains and Losses for Tax on Investment Income

	(a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.	(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a	1,386.352 SHS. DOUBLELINE TOTAL RETURN 1	P	08/10/11	04/01/13
b	1506.627 SHS. METROPOLITAN WEST TOT RET BOND	P	06/06/11	04/01/13
c	140 SHS. SPDR GOLD TR GOLD SHS.	P	06/06/11	04/04/13
d	99 SHS. SPDR GOLD TR. GOLD SHS.	P	09/26/11	04/04/13
e	131 SHS. SPDR GOLD TR GOLD SHS.	P	09/26/11	04/10/13
f	4 SHS. SPDR GOLD TR GOLD SHS.	P	09/26/11	04/15/13
g	65 SHS. SPDR GOLD TR GOLD SHS.	P	10/07/11	04/15/13
h	271 SHS. SPDR GOLD TR GOLD SHS.	P	10/07/11	04/16/13
i	1086 SHS. ISHARES FTSE/CHINA 25 INDEX	P	05/10/13	04/16/13
j	51 SHS. SPDR GOLD TR GOLD SHS.	P	06/13/12	04/16/13
k	8 SHS. SPDR GOLD TR GOLD SHS.	P	12/21/12	04/16/13
l	23 SHS SPDR GOLD TR GOLD SHS.	P	01/28/13	04/16/13
m	232 SHS. SPDR GOLD TR GOLD SHS.	P	02/05/13	04/16/13
n	18 SHS. VANGUARD INFO TECH	P	05/23/12	04/05/13
o	307 SHS. VANGUARD INFO TECH	P	06/04/12	04/05/13

	(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	15,735.09		15,582.60	152.49
b	16,467.43		15,894.91	572.52
c	20,954.40		21,169.05	<214.65>
d	14,817.76		15,546.96	<729.20>
e	19,889.20		20,572.24	<683.04>
f	544.73		628.16	<83.43>
g	8,851.94		10,446.48	<1,594.54>
h	36,007.96		43,553.77	<7,545.81>
i	38,484.26		39,721.32	<1,237.06>
j	6,776.41		8,026.26	<1,249.85>
k	1,062.97		1,284.28	<221.31>
l	3,056.03		3,690.07	<634.04>
m	30,825.99		37,516.21	<6,690.22>
n	1,270.18		1,205.98	64.20
o	21,663.70		19,874.38	1,789.32

	Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
	(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
a				152.49
b				572.52
c				<214.65>
d				<729.20>
e				<683.04>
f				<83.43>
g				<1,594.54>
h				<7,545.81>
i				<1,237.06>
j				<1,249.85>
k				<221.31>
l				<634.04>
m				<6,690.22>
n				64.20
o				1,789.32

2	Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 / If (loss), enter "-0-" in Part I, line 7 }	2	
3	Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter "-0-" in Part I, line 8	3	

CAITHNESS FOUNDATION
C/O DANIEL H. WEBB

CONTINUATION FOR 990-PF, PART IV
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Part IV Capital Gains and Losses for Tax on Investment Income

	(a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.	(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a	225 SHS. VANGUARD INFO TECH	P	10/09/12	04/05/13
b	3 SHS. VANGUARD INFO TECH	P	12/21/12	04/05/13
c	5384.386 SHS. DOUBLELINE TOTAL RETURN 1	P	08/10/11	05/09/13
d	1,559.802 SHS. NATIXIS LOOMIS SAY	P	10/07/11	05/09/13
e	1317.497 SHS. DOUBLELINE TOTAL RETURN 1	P	07/24/12	05/09/13
f	291.112 SHS. DOUBLELINE TOTAL REURN	P	12/21/12	05/09/13
g	49.834 SHS. ALLIANCEBER HIGH INCOME	P	03/22/12	06/21/13
h	566.098 SHS. FIDELTY ADV. NEW INSIGHTS	P	06/06/11	06/21/13
i	212.944 SHS. METROPOLITAN WEST TOT RET.	P	06/06/11	06/21/13
j	585.508 SHS. MFS VALUE 1	P	08/30/11	06/21/13
k	712.479 SHS. MFS VALUE 1	P	08/30/11	06/26/13
l	96.131 SHS. NATIXIS LOOMIS SAY INV. GR	P	10/07/11	06/21/13
m	219.670 SHS. NEUBERGER BERMAN GENESIS	P	06/06/11	06/21/13
n	383.076 SHS. NEUBERGER BERMAN GENESIS	P	06/06/11	06/26/13
o	73 SHS VANGUARD DIVIDEND APPRECIATION	P	06/06/11	06/21/13

	(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	15,877.31		16,086.60	<209.29>
b	211.70		207.03	4.67
c	61,435.79		60,520.50	915.29
d	20,059.05		18,701.53	1,357.52
e	15,032.63		14,914.07	118.56
f	3,321.65		3,312.85	8.80
g	467.44		450.50	16.94
h	14,373.23		11,590.35	2,782.88
i	2,250.82		2,246.56	4.26
j	17,196.38		12,774.01	4,422.37
k	20,939.76		15,544.13	5,395.63
l	1,167.03		1,152.58	14.45
m	11,934.67		10,621.04	1,313.63
n	20,854.64		18,521.72	2,332.92
o	4,844.48		3,994.21	850.27

	Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
	(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
a				<209.29>
b				4.67
c				915.29
d				1,357.52
e				118.56
f				8.80
g				16.94
h				2,782.88
i				4.26
j				4,422.37
k				5,395.63
l				14.45
m				1,313.63
n				2,332.92
o				850.27

2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 / If (loss), enter "-0-" in Part I, line 7 }	2	
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter "-0-" in Part I, line 8	3	

Part IV **Capital Gains and Losses for Tax on Investment Income**

	(a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.	(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a	357 SHS VANGUARD DIVIDEND APPRECIATION	P	06/06/11	06/26/13
b	281.219 SHS. VANGUARD WELLESLEY INC.	P	10/07/11	06/21/13
c	246.548 SHS. VANGUARD WELLINGTON INV.	P	06/06/11	06/21/13
d	253.13 SHS. ALLIANCEBER GLOBAL BOND	P	03/01/13	06/21/13
e	20.821 SHS. ALLIANCEBER GLOBAL BOND	P	03/01/13	06/21/13
f	6,496.858 SHS. ALLIANCEBER GLOBAL BOND	P	03/01/13	06/26/13
g	12.170 SHS. ALLIANCEBER GLOBAL BOND	P	03/28/13	06/26/13
h	2403.112 SHS. ALLIANCEBER GLOBAL BOND	P	04/01/13	06/26/13
i	19.726 SHS. ALLIANCEBER GLOBAL BOND	P	04/30/13	06/26/13
j	20.821 SHS. ALLIANCEBER GLOBAL BOND	P	05/31/13	06/26/13
k	1397.352 SHS. BLACKROCK STRATEGIC INC.	P	05/09/13	06/26/13
l	644.022 SHS. BLACKROCK STRATEGIC INC.	P	05/09/13	06/26/13
m	16.353 SHS. BLACKROCK STRATEGIC INC.	P	05/09/13	06/26/13
n	33.718 SHS. INVESTO BALANCED RISK	P	07/24/12	06/21/13
o	5744.37 SHS. INVESCO BLANCED RISK ALLOC	P	07/24/12	06/26/13

	(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	23,555.16		19,533.33	4,021.83
b	6,906.74		6,139.01	767.73
c	8,942.29		7,899.40	1,042.89
d	2,108.58		2,184.51	<75.93>
e	173.43		179.68	<6.25>
f	53,988.89		56,067.82	<2,078.93>
g	101.13		105.15	<4.02>
h	19,969.86		20,786.92	<817.06>
i	163.92		171.81	<7.89>
j	173.03		178.23	<5.20>
k	13,931.59		14,392.71	<461.12>
l	6,421.06		6,633.59	<212.53>
m	162.89		168.29	<5.40>
n	407.99		425.52	<17.53>
o	69,047.27		72,493.89	<3,446.62>

	Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
	(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
a				4,021.83
b				767.73
c				1,042.89
d				<75.93>
e				<6.25>
f				<2,078.93>
g				<4.02>
h				<817.06>
i				<7.89>
j				<5.20>
k				<461.12>
l				<212.53>
m				<5.40>
n				<17.53>
o				<3,446.62>

2	Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 / If (loss), enter "-0-" in Part I, line 7 }	2	
3	Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter "-0-" in Part I, line 8	3	

Part IV **Capital Gains and Losses for Tax on Investment Income**

	(a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.	(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a	1497.37 SHS. INVESCO BALANCED RISK ALLO	P	08/09/12	06/26/13
b	157.673 SHS. INVESCO BALANCED RISK	P	12/07/12	06/26/13
c	123.212 SHS. INVESCO BLANCED RISK ALLOC	P	12/07/12	06/26/13
d	81.248 SHS. INVESCO BALANCED RISK ALLOC	P	12/07/12	06/26/13
e	21.666 SHS. INVESCO BLANCED RISK	P	12/07/12	06/26/13
f	25.753 SHS. INVESCO BALANCED RISK ALLOC	P	01/28/13	06/26/13
g	39.912 SHS. INVESCO BALANCED RISK ALLOC	P	04/01/13	06/26/13
h	991.968 SHS. JANUS OVERSEAS	P	04/04/13	06/21/13
i	77.566 SHS. JANUS OVERSEAS	P	04/04/13	06/21/13
j	3638.361 SHS. MFS EMERGING MARKETS	P	03/01/13	06/21/13
k	12.151 SHS. MFS EMERGING MARKETS	P	03/28/13	06/21/13
l	1354.505 SHS. MFS EMERGING MARKETS	P	04/01/13	06/21/13
m	19.024 SHS. MFS EMERGING MARKETS	P	04/30/13	06/21/13
n	20.064 SHS. MFS EMERGING MARKETS	P	05/31/13	06/21/13
o	1764 SHS. PWR SH DB US $ IND.	P	03/15/13	06/14/13

	(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	17,998.02		19,210.89	<1,212.87>
b	1,895.23		1,974.06	<78.83>
c	1,481.01		1,542.61	<61.60>
d	976.60		1,017.22	<40.62>
e	260.43		271.26	<10.83>
f	309.55		326.29	<16.74>
g	479.81		510.08	<30.27>
h	32,199.05		32,635.50	<436.45>
i	2,518.03		2,552.16	<34.13>
j	53,229.22		58,432.08	<5,202.86>
k	177.77		192.96	<15.19>
l	19,816.41		21,509.54	<1,693.13>
m	278.32		307.61	<29.29>
n	293.54		312.79	<19.25>
o	38,579.59		39,548.88	<969.29>

	Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
	(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
a				<1,212.87>
b				<78.83>
c				<61.60>
d				<40.62>
e				<10.83>
f				<16.74>
g				<30.27>
h				<436.45>
i				<34.13>
j				<5,202.86>
k				<15.19>
l				<1,693.13>
m				<29.29>
n				<19.25>
o				<969.29>

2	Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 / If (loss), enter "-0-" in Part I, line 7 }	2	
3	Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter "-0-" in Part I, line 8	3	

223591
05-01-12

CAITHNESS FOUNDATION
C/O DANIEL H. WEBB

CONTINUATION FOR 990-PF, PART IV
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Part IV Capital Gains and Losses for Tax on Investment Income

	(a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.	(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a	55 SHS. WISDOMTREE TRUST JPN HEDGE	P	06/14/13	06/21/13
b	CAPITAL GAINS DIVIDENDS			
c				
d				
e				
f				
g				
h				
i				
j				
k				
l				
m				
n				
o				

	(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a	2,475.58		2,359.50	116.08
b	14,851.83			14,851.83
c				
d				
e				
f				
g				
h				
i				
j				
k				
l				
m				
n				
o				

	Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
	(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
a				116.08
b				14,851.83
c				
d				
e				
f				
g				
h				
i				
j				
k				
l				
m				
n				
o				

2	Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 If (loss), enter "-0-" in Part I, line 7 }	2	12,162.91
3	Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter "-0-" in Part I, line 8	3	N/A

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Part XV **Supplementary Information**

3 Grants and Contributions Paid During the Year (Continuation)

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
CHILDREN'S HOSPITAL BOSTON 1 AUTUMN ST. #731 BOSTON, MA 02215	N/A	NON PROFIT	MEDICAL	3,000.00
CURE ALZHEIMER'S FUND 34 WASHINGTON ST. SUITE 200 WELLESLEY HILLS, MA 02481	N/A	NON PROFIT		3,000.00
ENVIRONMENTAL DEFENSE FUND 257 PARK AVENUE SOUTH NEW YORK, NY 10010	N/A	NON PROFIT	ENVIRONMENTAL SOLUTIONS	3,000.00
FALMOUTH FUND OF THE CAPE C/O CAPE COD FOUNDATION, 259 WILLOW ST., YARMOUTHPORT, MA 01615	N/A	NON PROFIT	SERVICES GENERAL NEEDS OF FALMOUTH, MA	6,000.00
FALMOUTH HIGH SCHOOL ROV, C/O CHERYL MILLIKEN FALMOUTH HIGH SCHOOL 874 GIFFORD ST. FALMOUTH, MA 02540	NA	NON PROFIT		500.00
FALMOUTH PUBLIC LIBRARY 300 MAIN ST. FALMOUTH, MA 02540	N/A	PUBLIC CHARITY	LIBRARY	1,500.00
FALMOUTH SERVICE CENTER 611 GIFFORD ST. FALMOUTH, MA 02540	N/A	NON PROFIT	FOOD PANTRY	3,000.00
FRIENDS OF FAIRWINDS P. O. BOX 2447 TEATICKET, MA 02536	N/A	NON PROFIT	SUPPORT FOR MENTAL ILLNESS	2,000.00
FRIENDS OF FALMOUTH DOGS P. O. BOX 438 FALMOUTH, MA 02541	N/A	NON PROFIT	ANIMAL CARE	1,000.00
HGRM 530 MAIN ST. ACTON, MA 01720	N/A	NON PROFIT		1,000.00
Total from continuation sheets				122,600.00

Part XV **Supplementary Information**

3 Grants and Contributions Paid During the Year (Continuation)

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
HISTORIC HIGHFIELD P. O. BOX 494, 56 HIGHFIELD DR. FALMOUTH, MA 02541	N/A	NON PROFIT		1,500.00
MARCH OF DIMES 112 TURNPIKE RD. WESTBOROUGH, MA 01581	N/A	NON PROFIT	MEDICAL RESEARCH	2,000.00
NATURAL RESOURCES DEFENSE COUNCIL 40 WEST 20TH ST. NEW YORK, NY 10011	N/A	NON PROFIT		3,000.00
NEIGHBORHOOD FALMOUTH P. O. BOX 435 FALMOUTH, MA 02541	N/A	PUBLIC CHARITY	SENIOR NEEDS	2,000.00
OXFAM AMERICA OF BOSTON, MA 226 CAUSEWAY ST. BOSTON, MA 02114	N/A	PUBLIC CHARITY	POVERTY AND HUNGER	16,000.00
PEOPLE FOR CATS P. O. BOX 422 W. FALMOUTH, MA 02574	N/A	PUBLIC CHARITY	SHELTER AND ADOPTION OF CATS	2,000.00
PMC JIMMY FUND 77 4TH AVE. NEEDHAM, MA 02494	N/A	PUBLIC CHARITY	CANCER RESEARCH	600.00
RICE UNIVERSITY P. O. BOX 1892 HOUSTON, TX 77251	N/A	PUBLIC CHARITY	EDUCATIONAL	2,000.00
ROCKY MOUNTAIN INSTITUTE 2317 SNOWMASS CREEK RD. SNOWMASS, CO 81554	N/A	NON PROFIT	ALTERNATIVE FUELS	1,000.00
THE 300 COMMITTEE 157 LOCUST ST. FALMOUTH, MA 02540	N/A	PUBLIC CHARITY	LAND TRUST PRESERVATION OF OPEN SPACE	3,000.00
Total from continuation sheets				

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Part XV Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
THE COALITION FOR CHILDREN 340 TEATICKET HIGHWAY E. FALMOUTH, MA 02536	N/A	NON PROFIT	FAMILY NETWORK	10,000.00
THE NORTH AMERICAN FOUNDATION FOR THE UNIVERSITY OF MANCHESTER P. O. BOX 208351 NEW HAVEN, CT 06520	N/A	PUBLIC CHARITY	EDUCATIONAL	4,000.00
THE POPULATION COUNCIL ONE DOUG HAMMARSKJOLD PLAZA NEW YORK, NY 10017	N/A	NON PROFIT	HEALTH CARE	3,000.00
US FOUNDATION FOR QUEENS UNIVERSITY 5505 CONNECTICUT AVE. NW WASHINGTON, DC 20015	N/A	PUBLIC CHARITY	EDUCATIONAL	7,000.00
US FUND FOR UNICEF 125 MAIDEN LANE NEW YORK, NY 10038	N/A	NON PROFIT		6,000.00
WCAI 3 WATER STREET WOODS HOLE, MA 02543		NON PROFIT	PUBLIC RADIO	2,000.00
WGBH 116 HUNTINGTON AVE. BOSTON, MA 02116	N/A	NON PROFIT	NON PROFIT RADIO	2,000.00
WIKIMEDIA FOUNDATION 149 NEW MONTGOMERY ST. SAN FRANCISCO, CA 94105	N/A	NON PROFIT	MEDIA	2,000.00
WOODS HOLE OCEANOGRAPHIC INSTITUTION MS#40 WOODS HOLE, MA 02543	NA	NON PROFIT		2,000.00
HUMANE SOCIETY INTERNATIONAL 2100 L STREET, NW WASHINGTON, DC 20037	N/A	NON PROFIT		2,000.00
Total from continuation sheets				

Part XV · **Supplementary Information**

3 Grants and Contributions Paid During the Year (Continuation)

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
WILD AID 744 MONTGOMERY ST., SUITE 300 SAN FRANCISCO, CA 94111	N/A	NON PROFIT		3,000.00
MUSCULAR DYSTROPHY P. O. BOX 78960 PHOENIX, AZ 85062	N/A	MEDICAL RESEARCH		1,000.00
WALDOF SCHOOL CAPE COD 140 OLD OYSTER RD COTUIT, MA 02635	N/A	NON PROFIT		3,000.00
SAMARITANS ON CAPE COD & ISLANDS P. O. BOX 65 FALMOUTH, MA 02541	N/A	NON PROFIT		1,000.00
UNION OF CONCERNED SCIENTS 2 BRATTLE SQUARE CAMBRIDGE, MA 02138	N/A	NON PROFIT		3,000.00
DANA FARBER CANCER INSTITUTE P. O. BOX 849168 BOSTON, MA 02284	NA	MEDICAL		5,000.00
AMERICAN RED CROSS OF EASTERN MA 139 MAIN ST. CAMBRIDGE, MA 02142		PEOPLE IN NEED		6,000.00
TOGETHER WE CAN C/O SANDY CUNY, 87 LUCERNE AVE. FALMOUTH, MA 02540	N/A	NON PROFIT		500.00
THE ICSEE 81 KIRKLAND ST. NO. 2 CAMBRIDGE, MA 02138		NON PROFIT		3,000.00
Total from continuation sheets				

FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 1

SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	COLUMN (A) AMOUNT
SECURITIES	64,341.34	14,851.83	49,489.51
TOTAL TO FM 990-PF, PART I, LN 4	64,341.34	14,851.83	49,489.51

FORM 990-PF OTHER INCOME STATEMENT 2

DESCRIPTION	(A) REVENUE PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME
TAX REFUNDS	4,189.35	4,189.35	
TOTAL TO FORM 990-PF, PART I, LINE 11	4,189.35	4,189.35	

FORM 990-PF LEGAL FEES STATEMENT 3

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
GILMORE, REES & CARLSON, PC	3,972.30	0.00		0.00
TO FM 990-PF, PG 1, LN 16A	3,972.30	0.00		0.00

FORM 990-PF ACCOUNTING FEES STATEMENT 4

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
BARBARA J. MUNROE, BOOKKEPER	1,752.80	0.00		0.00
TO FORM 990-PF, PG 1, LN 16B	1,752.80	0.00		0.00

FORM 990-PF OTHER PROFESSIONAL FEES STATEMENT 5

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
MORGAN STANLEY INVESTMENT	12,795.32	0.00		0.00
TO FORM 990-PF, PG 1, LN 16C	12,795.32	0.00		0.00

FORM 990-PF OTHER EXPENSES STATEMENT 6

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
COMM. OF MA	35.00	0.00		0.00
OFFICE SUPPLIES	49.90	0.00		0.00
POSTAGE	5.20	0.00		0.00
TO FORM 990-PF, PG 1, LN 23	90.10	0.00		0.00

FORM 990-PF OTHER INCREASES IN NET ASSETS OR FUND BALANCES STATEMENT 7

DESCRIPTION	AMOUNT
ADJUSTMENT FOR ROUNDING CAPITAL GAINS	3.74
TOTAL TO FORM 990-PF, PART III, LINE 3	3.74

FORM 990-PF OTHER INVESTMENTS STATEMENT 8

DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
STOCKS	COST	1,665,654.35	1,809,193.07
TOTAL TO FORM 990-PF, PART II, LINE 13		1,665,654.35	1,809,193.07

FORM 990-PF PART XV - LINE 1A STATEMENT 9

LIST OF FOUNDATION MANAGERS

NAME OF MANAGER

DANIEL H. WEBB
DOUGLAS C. WEBB

[redacted]

EXCHANGE-TRADED & CLOSED-END FUNDS

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
ALERIAN MLP ETF (AMLP)	11/15/12	1,189 000	$15 670	$18,631 63	$21,223 65	$2,592 02 ST		
	11/15/12	1,200 000	15.600	18,720 00	21,420 00	2,700 00 ST		
	11/15/12	625 000	15 480	9,675 00	11,156 25	1,481 25 ST		
	12/6/12	1,151 000	15.945	18,352 12	20,545.35	2,193 23 ST		
	6/21/13	1,253.000	17 350	21,740 05	22,366 05	626 00 ST		
	Total	5,418 000		87,118 80	**96,711.30**	9,592 50 ST	5,596 79	5 78
Share Price· $17 850, Next Dividend Payable 08/2013								
ISHARES DJ US RL EST INDEX (IYR)	6/26/13	1,396 000	65 170	90,976 90	**92,736.28**	1,759 38 ST	3,495 58	3 76
Share Price $66 430, Next Dividend Payable 07/02/13								
ISHARES GOLD TRUST (IAU)	4/16/13	5,860 000	13 376	78,384 53	70,261 40	(8,123 13) ST		
	5/2/13	1,102 000	14 300	15,758 60	13,212 98	(2,545 62) ST		
	6/21/13	2,082 000	12 575	26,181 77	24,963 18	(1,218 59) ST		
	Total	9,044 000		120,324 90	**108,437.56**	(11,887 34) ST	—	—
Share Price. $11 990								
ISHARES IBOXX INVEST GR COR FD (LQD)	6/26/13	808.000	112 670	91,037 36	**91,829.20**	791 84 ST	3,626 30	3 94
Share Price $113 650, Next Dividend Payable 07/2013								
SPDR S&P DIVIDEND (SDY)	6/26/13	1,105 000	66.038	72,971 66	**73,261.50**	289 84 ST	2,022 15	2 76
Share Price $66 300, Next Dividend Payable 07/01/13								
VANGUARD DIVIDEND APPRECIATION (VIG)	6/6/11	2,181 963	54 715	119,386 54	144,445 95	25,059 41 LT		
	8/10/11	489 000	48 502	23,717 67	32,371 80	8,654 13 LT		
	Purchases	2,670 963		143,104 21	**176,817.75**	33,713 54 LT		
Long Term Reinvestments		74 696		4,069 46	4,944 88	875.42 LT		
Short Term Reinvestments		19 341		1,099 58	1,280 37	180 79 ST		
	Total	2,765 000		148,273 25	**183,043.00**	34,588 96 LT 180 79 ST	4,020 31	2 19
Share Price $66 200, Next Dividend Payable 09/2013								
WISDOMTREE TRUST JAPN HEDGE EQ (DXJ)	6/14/13	866 000	42.900	37,151 40	**39,498.26**	2,346 86 ST	418.28	1 05
Share Price $45 610, Next Dividend Payable 09/2013								

	Percentage of Assets %	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income *Accrued Interest*	Yield %
EXCHANGE-TRADED & CLOSED-END FUNDS	**37.2%**	**$647,854.27**	**$685,517.10**	**$34,588.96 LT** **3,073.87 ST**	**$19,179.41** **$0.00**	**2.80%**

MUTUAL FUNDS

OTHER MUTUAL FUNDS

"Total Purchases vs Market Value" is provided to assist you in comparing your "Total Purchases," excluding reinvested distributions, with the current value of the mutual fund positions in your account

"Cumulative Cash Distributions" when shown, may reflect distributions on shares no longer held in the account It may not reflect all distributions received in cash, due to but not limited to the following investments made prior to addition of this information on statements, securities transfers, timing of recent distributions, and certain adjustments made in your account

"Net Value Increase/ (Decrease)" reflects the difference between your total purchases, plus the cash distributions shown, and the current value of the fund's shares This calculation is for informational purposes only and does not reflect your total unrealized gain or loss nor should it be used for tax purposes

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
ALLIANCEBER HIGH INCOME ADV (AGDYX)	3/22/12	10,189 526	$9 040	$92,113.31	$95,577 75	$3,464 44 LT		
	12/21/12	1,769 670	9 520	16,847 26	16,599 50	(247 76) ST		
	Total	11,959 196		108,960 57	**112,177.26**	3,464 44 LT (247 76) ST	8,084.00	7 20
Total Purchases vs Market Value				108,960 57	112,177 26			
Cumulative Cash Distributions					10,208 81			
Net Value Increase/(Decrease)					13,425 50			
Share Price $9 380, Dividend Cash, Capital Gains Cash								
BLACKROCK STRATEGIC INC OPP I (BSIIX)	5/9/13	7,740 868	10 300	79,730 94	77,331 26	(2,399 68) ST		
	6/21/13	1,397.352	10.000	13,973 52	13,959 54	(13 98) ST H		
	Purchases	9,138 220		93,704 46	**91,290.80**	(2,413.66) ST		
Short Term Reinvestments		16 353		166 96	163 36	(3 60) ST H		
	Total	9,154.573		93,871.42	**91,454.18**	(2,417.26) ST	3,030.00	3 31
Total Purchases vs Market Value				93,704 46	91,454 18			
Net Value Increase/(Decrease)					(2,250 28)			
Share Price. $9 990, Enrolled In MS Dividend Reinvestment, Capital Gains Reinvest								
FIDELITY ADV NEW INSIGHTS I (FINSX)	6/6/11	4,175 356	20 474	85,486.70	107,223.14	21,736.44 LT		
	8/12/11	1,006 054	19 603	19,722 00	25,835 47	6,113 47 LT		
	Total	5,181 410		105,208 70	**133,058.61**	27,849 91 LT	109 00	0 08
Total Purchases vs Market Value				105,208 70	133,058.61			
Cumulative Cash Distributions					1,019 93			
Net Value Increase/(Decrease)					28,869 84			
Share Price. $25 680, Dividend Cash, Capital Gains Cash								
JANUS OVERSEAS I (JIGFX)	4/4/13	727 632	32 900	23,939 09	24,070.07	130 98 ST		
	5/30/13	991 968	35 840	35,552 12	32,814 30	(2,737 82) ST H		
	Total	1,719.600		59,491 21	**56,884.37**	(2,606 84) ST	2,007 00	3.52
Share Price $33 080, Enrolled In MS Dividend Reinvestment, Capital Gains Reinvest								
METROPOLITAN WEST TOT RET BD I (MWTIX)	6/6/11	7,049.123	10 550	74,368 26	**74,579.72**	211.46 LT	2,799.00	3.75

MUTUAL FUNDS

OTHER MUTUAL FUNDS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
Total Purchases vs Market Value				74,368 26	74,579 72			
Cumulative Cash Distributions					12,379 31			
Net Value Increase/(Decrease)					12,590 77			
Share Price $10 580, Dividend Cash; Capital Gains Cash								
MFS UTILITIES I (MMUIX)	6/6/11	805 455	17 821	14,354 11	16,302 41	1,948 30 LT		
	6/13/11	1,079 602	17 631	19,034 00	21,851 14	2,817 14 LT		
	8/10/11	177 610	15 585	2,768 00	3,594 83	826.83 LT		
	8/30/11	959 851	16 818	16,143 00	19,427 38	3,284 38 LT		
	6/21/13	789 867	19 690	15,552 48	15,986 91	434 43 ST		
	Total	3,812.385		67,851 59	**77,162.67**	8,876 65 LT 434.43 ST	2,188.00	2 83
Total Purchases vs Market Value				67,851 59	77,162 67			
Cumulative Cash Distributions					2,333 30			
Net Value Increase/(Decrease)					11,644 38			
Share Price $20 240, Dividend Cash, Capital Gains Cash								
MFS VALUE I (MEIIX)	8/30/11	3,121 168	21 817	68,094 41	**91,793.55**	23,699 14 LT	1,692 00	1 84
Total Purchases vs Market Value				68,094 41	91,793 55			
Cumulative Cash Distributions					4,156 88			
Net Value Increase/(Decrease)					27,856 02			
Share Price $29 410, Dividend Cash, Capital Gains Cash								
NATIXIS LOOMIS SAY INV GR BD Y (LSIIX)	10/7/11	4,270 342	11 990	51,200 06	51,841 95	641 89 LT		
	4/1/13	332 605	12 630	4,200 80	4,037 82	(162 98) ST		
	Total	4,602 947		55,400 86	**55,879.78**	641 89 LT (162 98) ST	2,900 00	5 18
Total Purchases vs Market Value				55,400 86	55,879 78			
Cumulative Cash Distributions					5,701 38			
Net Value Increase/(Decrease)					6,180.30			
Share Price $12 140, Dividend Cash, Capital Gains Cash								
NEUBERGER BERMAN GENESIS INST (NBGIX)	6/6/11	1,051 856	48 350	50,857 24	57,915 19	7,057.95 LT		
	12/21/12	292.234	48 700	14,231.79	16,090.40	1,858 61 ST		
	Total	1,344 090		65,089 03	**74,005.60**	7,057.95 LT 1,858 61 ST	340 00	0.45
Total Purchases vs Market Value				65,089 03	74,005 60			
Cumulative Cash Distributions					6,795.28			
Net Value Increase/(Decrease)					15,711 85			
Share Price $55 060; Dividend Cash, Capital Gains Cash								

Account Detail | Portfolio Management/Active Assets Account 625-852896-332 | CAITHNESS FOUNDATION, INC. P.O. BOX 547

MUTUAL FUNDS

OTHER MUTUAL FUNDS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
THORNBURG DEVELOPING WORLD I (THDIX)	6/21/13	3,310 290	16 980	56,208.72	**57,168.71**	959.99 ST	404.00	0 70
Share Price $17 270, Enrolled In MS Dividend Reinvestment, Capital Gains Reinvest								
VANGUARD WELLESLEY INC INV (VWINX)	10/7/11	6,022 740	21 830	131,476 41	147,978 72	16,502 31 LT		
	1/28/13	62 125	24 490	1,521 45	1,526 41	4 96 ST		
	Total	6,084 865		132,997 86	**149,505.13**	16,502 31 LT 4 96 ST	4,582 00	3.06
Total Purchases vs Market Value				132,997 86	149,505.13			
Cumulative Cash Distributions					9,767 12			
Net Value Increase/(Decrease)					26,274 39			
Share Price $24 570, Dividend Cash, Capital Gains Cash								
VANGUARD WELLINGTON INV (VWELX)	6/6/11	2,970 883	32 040	95,187.09	107,932 18	12,745 09 LT		
	8/12/11	1,158 112	30 080	34,836 00	42,074 21	7,238 21 LT		
	Total	4,128 995		130,023 09	**150,006.39**	19,983 30 LT	3,927 00	2 61
Total Purchases vs Market Value				130,023 09	150,006 39			
Cumulative Cash Distributions					11,845 91			
Net Value Increase/(Decrease)					31,829 21			
Share Price $36 330, Dividend Cash, Capital Gains Cash								

	Percentage of Assets %	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income *Accrued Interest*	Yield %
MUTUAL FUNDS	**61.0%**	**$1,017,565.72**	**$1,123,675.97**	**$108,287.05 LT** **$(2,176.85) ST**	**$32,062.00** **$0.00**	**2.85%**

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	Percentage of Assets %	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income *Accrued Interest*	Yield %
TOTAL MARKET VALUE	**100.0%**	**$1,665,419.99**	**$1,842,369.67**	**$142,876.01 LT** **$897.02 ST**	**$51,244.91** **$0.00**	**2.78%**

TOTAL VALUE (includes accrued interest)	**$1,842,369.67**

H - Wash sale rules apply to this tax lot The cost basis has been adjusted to account for disallowed loss of a related wash sale transaction
Unrealized Gain/(Loss) totals only reflect positions that have cost basis and/or market value information available Cash, MMF, Deposits and positions stating 'Please Provide' are not included

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EXCHANGE-TRADED & CLOSED-END FUNDS

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
ALERIAN MLP ETF (AMLP)	11/15/12	1,189 000	$15 670	$18,631 63	$21,223 65	$2,592 02 ST		
	11/15/12	1,200 000	15 600	18,720 00	21,420 00	2,700.00 ST		
	11/15/12	625 000	15 480	9,675 00	11,156 25	1,481 25 ST		
	12/6/12	1,151 000	15 945	18,352 12	20,545.35	2,193 23 ST		
	6/21/13	1,253 000	17 350	21,740.05	22,366 05	626 00 ST		
	Total	5,418 000		87,118 80	**96,711.30**	9,592 50 ST	5,596 79	5 78
Share Price $17 850, Next Dividend Payable 08/2013								
ISHARES DJ US RL EST INDEX (IYR)	6/26/13	1,396 000	65 170	90,976 90	**92,736.28**	1,759 38 ST	3,495.58	3 76
Share Price $66 430, Next Dividend Payable 07/02/13								
ISHARES GOLD TRUST (IAU)	4/16/13	5,860.000	13 376	78,384.53	70,261 40	(8,123 13) ST		
	5/2/13	1,102.000	14 300	15,758 60	13,212 98	(2,545 62) ST		
	6/21/13	2,082 000	12 575	26,181 77	24,963 18	(1,218 59) ST		
	Total	9,044 000		120,324 90	**108,437.56**	(11,887.34) ST	—	—
Share Price $11 990								
ISHARES IBOXX INVEST GR COR FD (LQD)	6/26/13	808 000	112 670	91,037 36	**91,829.20**	791 84 ST	3,626 30	3 94
Share Price $113 650, Next Dividend Payable 07/2013								
SPDR S&P DIVIDEND (SDY)	6/26/13	1,105.000	66.038	72,971 66	**73,261.50**	289 84 ST	2,022 15	2 76
Share Price $66.300; Next Dividend Payable 07/01/13								
VANGUARD DIVIDEND APPRECIATION (VIG)	6/6/11	2,181.963	54 715	119,386 54	144,445.95	25,059 41 LT		
	8/10/11	489 000	48 502	23,717 67	32,371 80	8,654 13 LT		
	Purchases	2,670.963		143,104.21	**176,817.75**	33,713 54 LT		
Long Term Reinvestments		74 696		4,069.46	4,944.88	875 42 LT		
Short Term Reinvestments		19 341		1,099 58	1,280 37	180 79 ST		
	Total	2,765.000		148,273 25	**183,043.00**	34,588 96 LT 180 79 ST	4,020.31	2.19
Share Price: $66 200, Next Dividend Payable 09/2013								
WISDOMTREE TRUST JAPN HEDGE EQ (DXJ)	6/14/13	866 000	42.900	37,151.40	**39,498.26**	2,346 86 ST	418.28	1 05
Share Price $45 610, Next Dividend Payable 09/2013								

	Percentage of Assets %	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income *Accrued Interest*	Yield %
EXCHANGE-TRADED & CLOSED-END FUNDS	**37.2%**	**$647,854.27**	**$685,517.10**	**$34,588.96 LT** **3,073.87 ST**	**$19,179.41** **$0.00**	**2.80%**

MUTUAL FUNDS

OTHER MUTUAL FUNDS

"Total Purchases vs Market Value" is provided to assist you in comparing your "Total Purchases," excluding reinvested distributions, with the current value of the mutual fund positions in your account

"Cumulative Cash Distributions" when shown, may reflect distributions on shares no longer held in the account It may not reflect all distributions received in cash, due to but not limited to the following investments made prior to addition of this information on statements, securities transfers, timing of recent distributions, and certain adjustments made in your account

"Net Value Increase/ (Decrease)" reflects the difference between your total purchases, plus the cash distributions shown, and the current value of the fund's shares This calculation is for informational purposes only and does not reflect your total unrealized gain or loss nor should it be used for tax purposes

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
ALLIANCEBER HIGH INCOME ADV (AGDYX)	3/22/12	10,189 526	$9 040	$92,113 31	$95,577 75	$3,464 44 LT		
	12/21/12	1,769 670	9 520	16,847 26	16,599 50	(247 76) ST		
	Total	11,959 196		108,960 57	**112,177.26**	3,464 44 LT (247 76) ST	8,084 00	7 20
Total Purchases vs Market Value				108,960 57	112,177 26			
Cumulative Cash Distributions					10,208 81			
Net Value Increase/(Decrease)					13,425.50			
Share Price $9 380, Dividend Cash, Capital Gains Cash								
BLACKROCK STRATEGIC INC OPP I (BSIIX)	5/9/13	7,740 868	10 300	79,730 94	77,331 26	(2,399 68) ST		
	6/21/13	1,397 352	10 000	13,973 52	13,959 54	(13.98) ST H		
	Purchases	9,138 220		93,704 46	**91,290.80**	(2,413 66) ST		
Short Term Reinvestments		16 353		166 96	163 36	(3 60) ST H		
	Total	9,154 573		93,871.42	**91,454.18**	(2,417 26) ST	3,030 00	3 31
Total Purchases vs Market Value				93,704 46	91,454 18			
Net Value Increase/(Decrease)					(2,250 28)			
Share Price $9 990, Enrolled In MS Dividend Reinvestment, Capital Gains Reinvest								
FIDELITY ADV NEW INSIGHTS I (FINSX)	6/6/11	4,175 356	20.474	85,486 70	107,223 14	21,736.44 LT		
	8/12/11	1,006 054	19 603	19,722 00	25,835 47	6,113 47 LT		
	Total	5,181 410		105,208 70	**133,058.61**	27,849 91 LT	109.00	0 08
Total Purchases vs Market Value				105,208 70	133,058 61			
Cumulative Cash Distributions					1,019 93			
Net Value Increase/(Decrease)					28,869 84			
Share Price $25 680, Dividend Cash, Capital Gains Cash								
JANUS OVERSEAS I (JIGFX)	4/4/13	727 632	32 900	23,939 09	24,070 07	130 98 ST		
	5/30/13	991 968	35 840	35,552 12	32,814 30	(2,737 82) ST H		
	Total	1,719.600		59,491.21	**56,884.37**	(2,606.84) ST	2,007 00	3.52
Share Price $33 080, Enrolled In MS Dividend Reinvestment, Capital Gains Reinvest								
METROPOLITAN WEST TOT RET BD I (MWTIX)	6/6/11	7,049 123	10 550	74,368 26	**74,579.72**	211 46 LT	2,799.00	3 75

MUTUAL FUNDS

OTHER MUTUAL FUNDS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
Total Purchases vs Market Value				74,368 26	74,579 72			
Cumulative Cash Distributions					12,379 31			
Net Value Increase/(Decrease)					12,590 77			
Share Price· $10 580, Dividend Cash, Capital Gains Cash								
MFS UTILITIES I (MMUIX)	6/6/11	805 455	17 821	14,354 11	16,302 41	1,948 30 LT		
	6/13/11	1,079 602	17 631	19,034 00	21,851 14	2,817 14 LT		
	8/10/11	177 610	15 585	2,768.00	3,594 83	826 83 LT		
	8/30/11	959.851	16 818	16,143 00	19,427 38	3,284.38 LT		
	6/21/13	789.867	19 690	15,552 48	15,986 91	434 43 ST		
	Total	3,812 385		67,851 59	**77,162.67**	8,876 65 LT 434 43 ST	2,188 00	2 83
Total Purchases vs Market Value				67,851 59	77,162 67			
Cumulative Cash Distributions					2,333 30			
Net Value Increase/(Decrease)					11,644 38			
Share Price $20 240, Dividend Cash, Capital Gains Cash								
MFS VALUE I (MEIIX)	8/30/11	3,121.168	21 817	68,094 41	**91,793.55**	23,699 14 LT	1,692 00	1 84
Total Purchases vs Market Value				68,094 41	91,793 55			
Cumulative Cash Distributions					4,156 88			
Net Value Increase/(Decrease)					27,856 02			
Share Price $29.410, Dividend Cash, Capital Gains Cash								
NATIXIS LOOMIS SAY INV GR BD Y (LSIIX)	10/7/11	4,270 342	11 990	51,200 06	51,841 95	641 89 LT		
	4/1/13	332 605	12 630	4,200 80	4,037 82	(162 98) ST		
	Total	4,602 947		55,400 86	**55,879.78**	641 89 LT (162 98) ST	2,900 00	5 18
Total Purchases vs Market Value				55,400 86	55,879 78			
Cumulative Cash Distributions					5,701 38			
Net Value Increase/(Decrease)					6,180 30			
Share Price $12 140, Dividend Cash, Capital Gains Cash								
NEUBERGER BERMAN GENESIS INST (NBGIX)	6/6/11	1,051 856	48 350	50,857 24	57,915 19	7,057 95 LT		
	12/21/12	292.234	48 700	14,231 79	16,090 40	1,858 61 ST		
	Total	1,344 090		65,089 03	**74,005.60**	7,057 95 LT 1,858 61 ST	340 00	0 45
Total Purchases vs Market Value				65,089 03	74,005 60			
Cumulative Cash Distributions					6,795 28			
Net Value Increase/(Decrease)					15,711 85			
Share Price $55 060, Dividend Cash, Capital Gains Cash								

MUTUAL FUNDS

OTHER MUTUAL FUNDS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
THORNBURG DEVELOPING WORLD I (THDIX)	6/21/13	3,310 290	16 980	56,208 72	**57,168.71**	959 99 ST	404.00	0 70
Share Price $17 270, Enrolled In MS Dividend Reinvestment, Capital Gains Reinvest								
VANGUARD WELLESLEY INC INV (VWINX)	10/7/11	6,022 740	21 830	131,476 41	147,978 72	16,502 31 LT		
	1/28/13	62 125	24 490	1,521 45	1,526 41	4 96 ST		
	Total	6,084 865		132,997 86	**149,505.13**	16,502 31 LT 4.96 ST	4,582 00	3 06
Total Purchases vs Market Value				132,997 86	149,505 13			
Cumulative Cash Distributions					9,767 12			
Net Value Increase/(Decrease)					26,274 39			
Share Price $24 570, Dividend Cash, Capital Gains Cash								
VANGUARD WELLINGTON INV (VWELX)	6/6/11	2,970 883	32 040	95,187 09	107,932 18	12,745 09 LT		
	8/12/11	1,158 112	30 080	34,836 00	42,074 21	7,238 21 LT		
	Total	4,128 995		130,023 09	**150,006.39**	19,983 30 LT	3,927.00	2 61
Total Purchases vs Market Value				130,023 09	150,006 39			
Cumulative Cash Distributions					11,845 91			
Net Value Increase/(Decrease)					31,829 21			
Share Price $36 330, Dividend Cash, Capital Gains Cash								

	Percentage of Assets %	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
MUTUAL FUNDS	**61.0%**	**$1,017,565.72**	**$1,123,675.97**	**$108,287.05 LT** **$(2,176.85) ST**	**$32,062.00** **$0.00**	2 85%

Transactions in mutual fund positions held directly at the Fund Company are not included in the total above and are not reflected on the Summary Page
For more information about the pricing of Money Market Funds, please see the Expanded Disclosures

	Percentage of Assets %	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
TOTAL MARKET VALUE	**100.0%**	**$1,665,419.99**	**$1,842,369.67**	**$142,876.01 LT** **$897.02 ST**	**$51,244.91** **$0.00**	**2.78%**

TOTAL VALUE (includes accrued interest)	**$1,842,369.67**

H - Wash sale rules apply to this tax lot. The cost basis has been adjusted to account for disallowed loss of a related wash sale transaction
Unrealized Gain/(Loss) totals only reflect positions that have cost basis and/or market value information available Cash, MMF, Deposits and positions stating 'Please Provide' are not included.