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
NORMAN J. STUPP FOUNDATION

**A Employer identification number**
43-6027433

Number and street (or P O box number if mail is not delivered to street address) P.O. BOX 11356
Room/suite

**B** Telephone number (314) 746-7329

City or town, state, and ZIP code
CLAYTON, MO 63105

**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)* ▶$ 19,565,899.

**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 | 466,209. | 466,209. | | STATEMENT 1 |
| | 5a Gross rents | | | | |
| | b Net rental income or (loss) | | | | |
| | 6a Net gain or (loss) from sale of assets not on line 10 | 435,779. | | | |
| | b Gross sales price for all assets on line 6a 3,190,097. | | | | |
| | 7 Capital gain net income (from Part IV, line 2) | | 435,779. | | |
| | 8 Net short-term capital gain | | | | |
| | 9 Income modifications | | | | |
| | 10a Gross sales less returns and allowances | | | | |
| | b Less Cost of goods sold | | | | |
| | c Gross profit or (loss) | | | | |
| | 11 Other income | | | | |
| | 12 **Total.** Add lines 1 through 11 | 901,988. | 901,988. | | |
| Operating and Administrative Expenses | 13 Compensation of officers, directors, trustees, etc | 132,178. | 105,742. | | 26,436. |
| | 14 Other employee salaries and wages | | | | |
| | 15 Pension plans, employee benefits | | | | |
| | 16a Legal fees | | | | |
| | b Accounting fees | | | | |
| | c Other professional fees STMT 2 | 14,885. | 7,108. | | 7,777. |
| | 17 Interest | | | | |
| | 18 Taxes STMT 3 | 1,745. | 171. | | 0. |
| | 19 Depreciation and depletion | | | | |
| | 20 Occupancy | | | | |
| | 21 Travel, conferences, and meetings | | | | |
| | 22 Printing and publications | | | | |
| | 23 Other expenses STMT 4 | 27,185. | 0. | | 27,185. |
| | 24 **Total operating and administrative expenses.** Add lines 13 through 23 | 175,993. | 113,021. | | 61,398. |
| | 25 Contributions, gifts, grants paid | 906,217. | | | 906,217. |
| | 26 **Total expenses and disbursements.** Add lines 24 and 25 | 1,082,210. | 113,021. | | 967,615. |
| | 27 Subtract line 26 from line 12: | | | | |
| | a Excess of revenue over expenses and disbursements | <180,222.> | | | |
| | b **Net investment income** (if negative, enter -0-) | | 788,967. | | |
| | c **Adjusted net income** (if negative, enter -0-) | | | N/A | |

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**Part II** **Balance Sheets** Attached schedules and amounts in the description column should be for end-of-year amounts only

| | | Beginning of year | End of year | |
|---|---|---|---|---|
| | | (a) Book Value | (b) Book Value | (c) Fair Market Value |
| Assets | 1 Cash - non-interest-bearing | | | |
| | 2 Savings and temporary cash investments | 217,201. | 163,681. | 163,681. |
| | 3 Accounts receivable ▶ | | | |
| | Less: allowance for doubtful accounts ▶ | | | |
| | 4 Pledges receivable ▶ | | | |
| | Less: allowance for doubtful accounts ▶ | | | |
| | 5 Grants receivable | | | |
| | 6 Receivables due from officers, directors, trustees, and other disqualified persons | | | |
| | 7 Other notes and loans receivable ▶ | | | |
| | Less: allowance for doubtful accounts ▶ | | | |
| | 8 Inventories for sale or use | | | |
| | 9 Prepaid expenses and deferred charges | | | |
| | 10a Investments - U.S. and state government obligations | | | |
| | b Investments - corporate stock STMT 5 | 11,684,912. | 11,833,088. | 14,642,062. |
| | c Investments - corporate bonds STMT 6 | 4,924,057. | 4,649,074. | 4,760,156. |
| | 11 Investments - land, buildings, and equipment: basis ▶ | | | |
| | Less accumulated depreciation ▶ | | | |
| | 12 Investments - mortgage loans | | | |
| | 13 Investments - other | | | |
| | 14 Land, buildings, and equipment: basis ▶ | | | |
| | Less accumulated depreciation ▶ | | | |
| | 15 Other assets (describe ▶ ) | | | |
| | 16 Total assets (to be completed by all filers) | 16,826,170. | 16,645,843. | 19,565,899. |
| 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. | 0. | |
| 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 | 16,826,170. | 16,645,843. | |
| | 28 Paid-in or capital surplus, or land, bldg., and equipment fund | 0. | 0. | |
| | 29 Retained earnings, accumulated income, endowment, or other funds | 0. | 0. | |
| | 30 Total net assets or fund balances | 16,826,170. | 16,645,843. | |
| | 31 Total liabilities and net assets/fund balances | 16,826,170. | 16,645,843. | |

**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 | 16,826,170. |
| 2 Enter amount from Part I, line 27a | 2 | <180,222.> |
| 3 Other increases not included in line 2 (itemize) ▶ | 3 | 0. |
| 4 Add lines 1, 2, and 3 | 4 | 16,645,948. |
| 5 Decreases not included in line 2 (itemize) ▶ ACCRUED INTEREST CARRYOVER | 5 | 105. |
| 6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30 | 6 | 16,645,843. |

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

| | (a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.) | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | PUBLICLY TRADED SECURITIES | P | | |
| b | CAPITAL GAINS DIVIDENDS | | | |
| 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 | 3,097,719. | | 2,754,318. | 343,401. |
| b | 92,378. | | | 92,378. |
| 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 | | | | 343,401. |
| b | | | | 92,378. |
| c | | | | |
| d | | | | |
| e | | | | |

2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 / If (loss), enter -0- in Part I, line 7 } 2 435,779.

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 | 1,054,695. | 18,260,172. | .057759 |
| 2010 | 894,274. | 18,636,391. | .047985 |
| 2009 | 597,241. | 17,374,414. | .034375 |
| 2008 | 883,911. | 15,788,990. | .055983 |
| 2007 | 1,066,243. | 21,348,578. | .049944 |

| | | | |
|---|---|---|---|
| 2 | Total of line 1, column (d) | 2 | .246046 |
| 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 | .049209 |
| 4 | Enter the net value of noncharitable-use assets for 2012 from Part X, line 5 | 4 | 18,978,422. |
| 5 | Multiply line 4 by line 3 | 5 | 933,909. |
| 6 | Enter 1% of net investment income (1% of Part I, line 27b) | 6 | 7,890. |
| 7 | Add lines 5 and 6 | 7 | 941,799. |
| 8 | Enter qualifying distributions from Part XII, line 4 | 8 | 967,615. |

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.<br>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 | 7,890. |
| **c** All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b). | | | | |
| **2** Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-) | | | 2 | 0. |
| **3** Add lines 1 and 2 | | | 3 | 7,890. |
| **4** Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-) | | | 4 | 0. |
| **5** **Tax based on investment income.** Subtract line 4 from line 3. If zero or less, enter -0- | | | 5 | 7,890. |
| **6** Credits/Payments: | | | | |
| **a** 2012 estimated tax payments and 2011 overpayment credited to 2012 | 6a | 4,400. | | |
| **b** Exempt foreign organizations - tax withheld at source | 6b | | | |
| **c** Tax paid with application for extension of time to file (Form 8868) | 6c | | | |
| **d** Backup withholding erroneously withheld | 6d | | | |
| **7** Total credits and payments. Add lines 6a through 6d | | | 7 | 4,400. |
| **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 | 3,490. |
| **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:<br>(1) On the foundation. ▶ $ 0. (2) On foundation managers. ▶ $ 0. | | | |
| **e** Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ▶ $ 0. | | | |
| **2** Has the foundation engaged in any activities that have not previously been reported to the IRS? | 2 | | X |
| *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 | | 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? | 5 | | X |
| *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:<br>● By language in the governing instrument, or<br>● 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) ▶<br>MO | | | |
| **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 |

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## 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? | 13 | X | |

Website address ▶ N/A

14 The books are in care of ▶ THE COMMERCE TRUST COMPANY Telephone no. ▶ (314) 746-7322

Located at ▶ 8000 FORSYTH BLVD, CLAYTON, MO ZIP+4 ▶ 63105

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)? | 1b | | X |
| | 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<br>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.<br>▶ ____, ____, ____, ____ | | | |
| 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 | | 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 |
|---|---|---|---|---|
| THE COMMERCE TRUST COMPANY<br>P.O. BOX 11356<br>CLAYTON, MO 63105 | TRUSTEE<br>25.00 | 120,178. | 0. | 0. |
| THE COMMERCE TRUST COMPANY<br>P.O. BOX 11356<br>CLAYTON, MO 63105 | TAX PREPARATION<br>0.25 | 12,000. | 0. | 0. |
| THE COMMERCE TRUST COMPANY<br>P.O. BOX 11356<br>CLAYTON, MO 63105 | CHARITABLE<br>10.00 | 27,185. | 0. | 0. |
| | | | | |

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

| (a) Name and address of each employee paid more than $50,000 | (b) Title, and average hours per week devoted to position | (c) Compensation | (d) Contributions to employee benefit plans and deferred compensation | (e) Expense account, other allowances |
|---|---|---|---|---|
| NONE | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |

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

**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.<br>3 | |
| **Total.** Add lines 1 through 3 ▶ | 0. |

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

| | | | | | |
|---|---|---|---|---|---|
| 1 | Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes: | | | | |
| a | Average monthly fair market value of securities | | | 1a | 18,928,072. |
| b | Average of monthly cash balances | | | 1b | 339,361. |
| c | Fair market value of all other assets | | | 1c | |
| d | **Total** (add lines 1a, b, and c) | | | 1d | 19,267,433. |
| e | Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) | 1e | 0. | | |
| 2 | Acquisition indebtedness applicable to line 1 assets | | | 2 | 0. |
| 3 | Subtract line 2 from line 1d | | | 3 | 19,267,433. |
| 4 | Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions) | | | 4 | 289,011. |
| 5 | **Net value of noncharitable-use assets.** Subtract line 4 from line 3. Enter here and on Part V, line 4 | | | 5 | 18,978,422. |
| 6 | **Minimum investment return.** Enter 5% of line 5 | | | 6 | 948,921. |

## 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 | 948,921. |
| 2a | Tax on investment income for 2012 from Part VI, line 5 | 2a | 7,890. | | |
| b | Income tax for 2012. (This does not include the tax from Part VI.) | 2b | | | |
| c | Add lines 2a and 2b | | | 2c | 7,890. |
| 3 | Distributable amount before adjustments. Subtract line 2c from line 1 | | | 3 | 941,031. |
| 4 | Recoveries of amounts treated as qualifying distributions | | | 4 | 0. |
| 5 | Add lines 3 and 4 | | | 5 | 941,031. |
| 6 | Deduction from distributable amount (see instructions) | | | 6 | 0. |
| 7 | **Distributable amount** as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1 | | | 7 | 941,031. |

## 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 | 967,615. |
| b | Program-related investments - total from Part IX-B | 1b | 0. |
| 2 | Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes | 2 | |
| 3 | Amounts set aside for specific charitable projects that satisfy the: | | |
| a | Suitability test (prior IRS approval required) | 3a | |
| b | Cash distribution test (attach the required schedule) | 3b | |
| 4 | **Qualifying distributions.** Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4 | 4 | 967,615. |
| 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 | 7,890. |
| 6 | **Adjusted qualifying distributions.** Subtract line 5 from line 4 | 6 | 959,725. |

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

Form **990-PF** (2012)

## Part XIII Undistributed Income (see instructions)

| | | (a)<br>Corpus | (b)<br>Years prior to 2011 | (c)<br>2011 | (d)<br>2012 |
|---|---|---|---|---|---|
| 1 Distributable amount for 2012 from Part XI, line 7 | | | | | 941,031. |
| 2 Undistributed income, if any, as of the end of 2012 | | | | | |
| a Enter amount for 2011 only | | | | 17,877. | |
| b Total for prior years: ____ , ____ , ____ | | | 0. | | |
| 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. | | | |
| 4 Qualifying distributions for 2012 from Part XII, line 4: ▶ $ 967,615. | | | | | |
| a Applied to 2011, but not more than line 2a | | | | 17,877. | |
| b Applied to undistributed income of prior years (Election required - see instructions) | | | 0. | | |
| c Treated as distributions out of corpus (Election required - see instructions) | | 0. | | | |
| d Applied to 2012 distributable amount | | | | | 941,031. |
| e Remaining amount distributed out of corpus | | 8,707. | | | |
| 5 Excess distributions carryover applied to 2012 (If an amount appears in column (d), the same amount must be shown in column (a).) | | 0. | | | 0. |
| 6 Enter the net total of each column as indicated below: | | | | | |
| a Corpus Add lines 3f, 4c, and 4e Subtract line 5 | | 8,707. | | | |
| b Prior years' undistributed income. Subtract line 4b from line 2b | | | 0. | | |
| c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed | | | 0. | | |
| d Subtract line 6c from line 6b. Taxable amount - see instructions | | | 0. | | |
| e Undistributed income for 2011. Subtract line 4a from line 2a. Taxable amount - see instr. | | | | 0. | |
| f Undistributed income for 2012. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2013 | | | | | 0. |
| 7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) | | 0. | | | |
| 8 Excess distributions carryover from 2007 not applied on line 5 or line 7 | | 0. | | | |
| 9 Excess distributions carryover to 2013. Subtract lines 7 and 8 from line 6a | | 8,707. | | | |
| 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 | 8,707. | | | | |

**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:<br>a "Assets" alternative test - enter:<br>(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:<br>(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).)

NONE

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:

CINDY LEWIS, THE COMMERCE TRUST COMPANY, (314) 746-7322
8000 FORSYTH BLVD, CLAYTON, MO 63105

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

APPLICATION IS AVAILABLE BY CONTACTING CINDY LEWIS AT ADDRESS IN 2A.

c Any submission deadlines:

MARCH 1ST; SEPTEMBER 1ST.

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

THE FOUNDATION FUNDS ONLY ST. LOUIS BASED INITIATIVES; NO GRANTS TO INDIVIDUALS OR SPONSORSHIPS.

**Part XV Supplementary Information** (continued)

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

| Recipient<br>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* | | | | |
| SEE SCHEDULE ATTACHED<br>P.O. BOX 11356<br>CLAYTON, MO 63105 | NONE | 501C(3) | GENERAL CHARITABLE PURPOSES | 906,217. |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| Total | | | ▶ 3a | 906,217. |
| b *Approved for future payment*<br>NONE | | | | |
| | | | | |
| | | | | |
| Total | | | ▶ 3b | 0. |

## 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 | | | 14 | 466,209. | |
| 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 | | | | | |
| 8 Gain or (loss) from sales of assets other than inventory | | | 18 | 435,779. | |
| 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. | | 901,988. | 0. |

13 **Total.** Add line 12, columns (b), (d), and (e) 13 901,988.

(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). |
|---|---|
| | |

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12-05-12

## 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 |
|---|---|---|
| SEE ATTACHED | | |

**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

Thomas W.

Signature of officer or trustee

7/29/2013 Date

OFFICER 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 |
|---|---|---|---|---|
| (SELF-PREPARED) | | | | |
| Firm's name ▶ | | | Firm's EIN ▶ | |
| Firm's address ▶ | | | Phone no. | |

Form **990-PF** (2012)

FORM 990PF, PART XVII, LINE 2b -
INFORMATION REGARDING AFFILIATION
WITH TAX-EXEMPT ORGANIZATIONS
DESCRIBED IN SEC. 501(C) OF THE CODE
(OTHER THAN SEC. 501(C)(3)) OR IN SEC. 527

NAME OF ORGANIZATION:
LOCAL CEDAR HILL CEMETERY ASSOC
TYPE OF ORGANIZATION:
501(C)(13)
DESCRIPTION OF RELATIONSHIP:
COMMON TRUSTEE

NAME OF ORGANIZATION:
MOUNT HOPE MAUSOLEUM ENDOWMENT
TYPE OF ORGANIZATION:
501(C)(13)
DESCRIPTION OF RELATIONSHIP:
COMMON TRUSTEE

NAME OF ORGANIZATION:
ANN A TRAVER CHARITABLE TRUST B
TYPE OF ORGANIZATION:
501(C)(4)
DESCRIPTION OF RELATIONSHIP:
COMMON TRUSTEE

NAME OF ORGANIZATION:
IVY J TRIMMER - CHRISTIAN CHURCH
TYPE OF ORGANIZATION:
501(C)(4)
DESCRIPTION OF RELATIONSHIP:
COMMON TRUSTEE

NAME OF ORGANIZATION:
IVY J TRIMMER TRUST
TYPE OF ORGANIZATION:
501(C)(4)
DESCRIPTION OF RELATIONSHIP:
COMMON TRUSTEE

NAME OF ORGANIZATION:
ALICE G OGG TRUST UNDER WILL
TYPE OF ORGANIZATION:
501(C)(4)
DESCRIPTION OF RELATIONSHIP:
COMMON TRUSTE

NAME OF ORGANIZATION:
MARY HARTMANN FOUNDATION
TYPE OF ORGANIZATION:
501(C)(4)
DESCRIPTION OF RELATIONSHIP:
COMMON TRUSTEE

NAME OF ORGANIZATION:
SHAARE SHOLEM CEMETERY TRUST
TYPE OF ORGANIZATION:
501(C)(13)
DESCRIPTION OF RELATIONSHIP:
COMMON TRUSTEE

NAME OF ORGANIZATION:
ADATH JOSEPH CEMETERY FUND
TYPE OF ORGANIZATION:
501(C)(13)
DESCRIPTION OF RELATIONSHIP:
COMMON TRUSTEE

## FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 1

| SOURCE | GROSS AMOUNT | CAPITAL GAINS DIVIDENDS | COLUMN (A) AMOUNT |
|---|---|---|---|
| VARIOUS | 558,587. | 92,378. | 466,209. |
| TOTAL TO FM 990-PF, PART I, LN 4 | 558,587. | 92,378. | 466,209. |

## FORM 990-PF OTHER PROFESSIONAL FEES STATEMENT 2

| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST-MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|---|---|---|---|---|
| OUTSIDE INVESTMENT FEE | 8,885. | 7,108. | | 1,777. |
| GATEWAY CENTER FOR GIVING | 6,000. | 0. | | 6,000. |
| TO FORM 990-PF, PG 1, LN 16C | 14,885. | 7,108. | | 7,777. |

## FORM 990-PF TAXES STATEMENT 3

| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST-MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|---|---|---|---|---|
| TAX ESTIMATES | 1,574. | 0. | | 0. |
| FOREIGN TAX | 171. | 171. | | 0. |
| TO FORM 990-PF, PG 1, LN 18 | 1,745. | 171. | | 0. |

## FORM 990-PF OTHER EXPENSES STATEMENT 4

| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST-MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|---|---|---|---|---|
| PAYROLL, SALARIES, AND ALLOWANCES | 27,185. | 0. | | 27,185. |
| TO FORM 990-PF, PG 1, LN 23 | 27,185. | 0. | | 27,185. |

FORM 990-PF CORPORATE STOCK STATEMENT 5

| DESCRIPTION | BOOK VALUE | FAIR MARKET VALUE |
|---|---|---|
| SEE ATTACHED | 11,833,088. | 14,642,062. |
| TOTAL TO FORM 990-PF, PART II, LINE 10B | 11,833,088. | 14,642,062. |

FORM 990-PF CORPORATE BONDS STATEMENT 6

| DESCRIPTION | BOOK VALUE | FAIR MARKET VALUE |
|---|---|---|
| SEE ATTACHED | 4,649,074. | 4,760,156. |
| TOTAL TO FORM 990-PF, PART II, LINE 10C | 4,649,074. | 4,760,156. |

**NORMAN J. STUPP FOUNDATION**
**EIN: 43-6027433**
**As of June 30, 2013**

| Group | Description | Units | Book Value | Market Value |
|---|---|---|---|---|
| 1 | FINANCIAL SQUARE TR GOVERNMENT FD | 163,681 | 163,681 27 | 163,681 27 |
| 1 Total | | 163,681 | 163,681.27 | 163,681.27 |

| | | | | |
|---|---|---|---|---|
| 2 | AUTOMATIC DATA PROCESSING INC | 500 | 28,777 05 | 34,430 00 |
| | ILLINOIS TOOL WORKS INC | 400 | 24,904 68 | 27,668 00 |
| | ISHARES RUSSELL 1000 VALUE INDEX FD | 32,800 | 2,051,326 65 | 2,748,312 00 |
| | ISHARES RUSSELL MIDCAP VALUE INDX FD | 17,580 | 786,698 04 | 1,018,233 60 |
| | JOHNSON AND JOHNSON | 400 | 28,106 20 | 34,344 00 |
| | LOWES COMPANIES INC | 1,000 | 22,240 55 | 40,900 00 |
| | MEDTRONIC INC | 600 | 26,207 30 | 30,882 00 |
| | UNITED TECHNOLOGIES CORP | 300 | 18,485 42 | 27,882 00 |
| | VERIZON COMMUNICATIONS | 1,100 | 49,681.19 | 55,374 00 |
| | COMCAST CORPORATION CL-A | 800 | 28,714 32 | 33,400 00 |
| | EBAY INC | 500 | 24,912 10 | 25,860 00 |
| | GOOGLE INC CL A | 50 | 14,987 52 | 44,018 50 |
| | INTERNATIONAL BUSINESS MACHINES | 400 | 32,488 00 | 76,444 00 |
| | MCDONALDS CORP | 400 | 36,168 98 | 39,600 00 |
| | MCKESSON CORP COMMON STOCK | 300 | 23,697 27 | 34,350 00 |
| | MICROSOFT CORP | 2,300 | 52,440 00 | 79,453 50 |
| | MORGAN STANLEY INS M/C GR-IN | 12,341 | 382,653 50 | 492,645 22 |
| | ORACLE CORPORATION | 1,400 | 17,942 12 | 42,994 00 |
| | QUALCOMM INC | 700 | 41,132 75 | 42,763 00 |
| | SCHLUMBERGER LTD | 400 | 34,694 83 | 28,664.00 |
| | COLGATE PALMOLIVE | 600 | 26,170 23 | 34,374 00 |
| | ISHARES S&P LATIN AMERICA 40 | 4,560 | 202,400.16 | 167,625 60 |
| | VISA INC CLASS A SHARES | 200 | 26,856 08 | 36,550 00 |
| | BARD C R INC | 200 | 19,009 02 | 21,736 00 |
| | MFS RESEARCH INTERNATIONAL FUND-I | 47,545 | 930,455 65 | 774,508.05 |
| | AQR MANAGED FUTURES STRATEGY FUND I | 20,410 | 202,059 00 | 206,345.10 |
| | ARTISAN MID CAP VALUE FUND-INS | 15,507 | 306,178 30 | 378,690 81 |
| | BLACKROCK US OPPORTUNITIES I | 1 | 43 26 | 41 54 |
| | COLUMBIA ACORN INTL FUND-Z | 6,975 | 238,126 50 | 298,251 00 |
| | COMMERCE MIDCAP GROWTH FUND | 14,427 | 299,293 00 | 502,207 28 |
| | COMMERCE VALUE FUND INSTITUTIONAL | 43,675 | 867,298 90 | 1,205,866 75 |
| | DWS RREEF REAL EST SEC-INST | 21,460 | 323,145 10 | 471,476 20 |
| | JP MORGAN ALERIAN MLP INDEX ETN | 1,375 | 55,151.53 | 64,130 00 |
| | LAZARD EMERGING MARKETS EQUITY PORT | 10,730 | 199,470 70 | 191,959 70 |
| | PIMCO ALL ASSET ALL AUTH-IS | 48,685 | 491,231 65 | 497,560 70 |
| | SPDR S&P INTERNATIONAL SMALL CAP | 10,070 | 253,564 61 | 290,418 80 |
| | VANGUARD FTSE DEVELOPED MARKETS | 16,810 | 534,929 50 | 598,436 00 |
| | VANGUARD FTSE EMERGING MARKETS-ETF | 6,835 | 316,996 71 | 265,163 83 |
| | VANGUARD MORGAN GROWTH FD-AD | 7,120 | 400,571 20 | 492,988.80 |
| | ABBVIE INC | 700 | 22,209.94 | 28,938 00 |
| | ALLERGAN INC | 300 | 14,737.93 | 25,272 00 |
| | ALTRIA GROUP INC | 800 | 25,426 72 | 27,992 00 |
| | AMAZON COM INC | 100 | 22,896 71 | 27,769 00 |
| | AMERICAN CAMPUS COMMUNITIES | 1,090 | 42,246.03 | 44,319 40 |
| | AMERICAN EXPRESS CO | 500 | 26,043 95 | 37,380 00 |
| | AMGEN INC | 300 | 26,867 31 | 29,598 00 |
| | ANSYS INC | 400 | 27,343 76 | 29,240 00 |
| | APPLE INC | 300 | 45,853 87 | 118,959 00 |
| | BALLY TECHNOLOGIES INCORPORATED | 600 | 26,943 66 | 33,852.00 |
| | BLACKROCK INC | 100 | 18,948.68 | 25,685 00 |
| | CADENCE DESIGN SYSTEMS INC | 1,900 | 25,585 97 | 27,512.00 |
| | COCA COLA | 1,400 | 46,425 03 | 56,154.00 |
| | CROWN CASTLE INTL CORP | 400 | 28,395 36 | 28,956.00 |
| | DIRECTV | 500 | 24,778 05 | 30,820 00 |
| | DISH NETWORK CORP-A | 800 | 27,853 52 | 34,016 00 |
| | DONALDSON INC | 800 | 25,759 20 | 28,528.00 |
| | EQUIFAX INC | 500 | 23,262 75 | 29,465.00 |
| | EQUINIX INC | 100 | 20,705 69 | 18,472.00 |
| | EXPRESS SCRIPTS HOLDING CO | 500 | 26,672.90 | 30,870.00 |
| | EXTRA SPACE STORAGE INC | 700 | 25,310.46 | 29,351 00 |
| | FASTENAL CO | 500 | 25,289 50 | 22,895 00 |
| | FLOWSERVE CORP | 600 | 28,858 32 | 32,406 00 |
| | GRACE W R & CO | 300 | 23,210.13 | 25,212 00 |
| | GRAINGER W W INC | 100 | 19,945 00 | 25,218 00 |
| | HOME DEPOT INC | 400 | 27,821.00 | 30,988 00 |
| | HONEYWELL INTL INC | 400 | 25,576 08 | 31,736 00 |
| | INTEL CORP | 1,400 | 28,074 96 | 33,922 00 |
| | INTUIT | 400 | 23,741.16 | 24,416 00 |
| | JARDEN CORP | 600 | 21,558 43 | 26,250 00 |
| | KIMBERLY CLARK CORP | 300 | 25,074 60 | 29,142 00 |
| | KINDER MORGAN INC | 700 | 23,588 99 | 26,705 00 |
| | LAUDER ESTEE-COS INC CL A | 400 | 23,254 28 | 26,308 00 |
| | LOCKHEED MARTIN CORP | 300 | 29,670 55 | 32,538 00 |
| | MACYS INC | 700 | 25,842 95 | 33,600 00 |
| | MASTERCARD INCORPORATED CLASS A | 55 | 25,302 53 | 31,597 50 |

## NORMAN J. STUPP FOUNDATION
EIN: 43-6027433
As of June 30, 2013

| Group | Description | Units | Book Value | Market Value |
|---|---|---|---|---|
| 2 | MEAD JOHNSON NUTRITION COMPANY | 400 | 29,744 32 | 31,692 00 |
| | MONSANTO CO | 300 | 27,358 65 | 29,640 00 |
| | MOTOROLA SOLUTIONS INC | 500 | 24,921 20 | 28,865 00 |
| | NIKE INC CLASS B | 500 | 25,743 95 | 31,840 00 |
| | NORDSON CORP | 695 | 35,507.25 | 48,170 45 |
| | PACKAGING CORP OF AMERICA | 700 | 20,421 80 | 34,272 00 |
| | PALL CORP | 400 | 24,286 68 | 26,572 00 |
| | PAYCHEX INC | 800 | 26,227 28 | 29,208 00 |
| | PEPSICO INC | 600 | 40,743 80 | 49,074.00 |
| | PHILIP MORRIS INTERNATIONAL | 600 | 34,724 04 | 51,972.00 |
| | PUBLIC STORAGE | 200 | 28,935 54 | 30,666.00 |
| | REYNOLDS AMERICAN INC | 600 | 25,668 30 | 29,022 00 |
| | SHERWIN WILLIAMS CO | 200 | 31,023 10 | 35,320.00 |
| | SIMON PPTY GROUP INC | 200 | 23,211 96 | 31,584 00 |
| | SYNOPSYS INC | 800 | 25,362 72 | 28,600 00 |
| | T ROWE PRICE GROUP INC | 400 | 24,238 10 | 29,280 00 |
| | THORATEC CORP | 800 | 28,641 12 | 25,048 00 |
| | TIME WARNER CABLE | 300 | 28,843 68 | 33,744 00 |
| | TRIMBLE NAV LTD | 1,000 | 29,971 20 | 25,990 00 |
| | UNION PACIFIC CORP | 200 | 15,349 14 | 30,856 00 |
| | WAL-MART STORES INC | 500 | 36,413 21 | 37,245 00 |
| | WHOLE FOODS MKT INC | 600 | 27,173 28 | 30,888 00 |
| | YUM BRANDS INC | 400 | 25,977 44 | 27,736 00 |
| | AIR METHODS CORP | 435 | 9,907.34 | 14,729.10 |
| | BJS RESTAURANTS INC | 335 | 12,093 37 | 12,428.50 |
| | BLACKBAUD INCORPORATED | 525 | 11,468 58 | 17,099.25 |
| | CARDTRONICS INC | 500 | 11,738 05 | 13,800 00 |
| | CAVIUM INC | 330 | 13,696 01 | 11,672 10 |
| | CLARCOR INC | 405 | 15,168 32 | 21,145 05 |
| | CLEARBRIDGE ENERGY MLP FUND | 255 | 4,694 37 | 7,178 25 |
| | CLECO CORP NEW | 550 | 14,690 01 | 25,536 50 |
| | COGNEX CORP | 430 | 7,469 19 | 19,444 60 |
| | COHEN & STEERS INC | 530 | 11,536 81 | 18,009 40 |
| | COHU INCORPORATED | 600 | 7,205 82 | 7,500 00 |
| | COMPASS MINERALS INTERNATIONAL | 155 | 11,484 61 | 13,102 15 |
| | CORPORATE EXECUTIVE BOARD CO | 305 | 15,475 11 | 19,282 10 |
| | COSTAR GROUP INC | 150 | 10,520.03 | 19,360 50 |
| | CUBIST PHARMACEUTICALS INC | 415 | 17,746 24 | 20,040 35 |
| | DRIL-QUIP INC | 220 | 10,090.28 | 19,863 80 |
| | FEI CO | 385 | 15,463 73 | 28,112 70 |
| | FLOTEK INDUSTRIES INC | 775 | 12,408 14 | 13,903 50 |
| | GLACIER BANCORP INCORPORATED | 925 | 13,437.57 | 20,525 75 |
| | GRAND CANYON EDUCATION INC | 825 | 13,586 51 | 26,589 75 |
| | GROUP 1 AUTOMOTIVE INC | 395 | 16,537 65 | 25,410 35 |
| | GULFPORT ENERGY CORPORATION | 650 | 9,714 66 | 30,608 50 |
| | HANGER INC | 670 | 15,471.62 | 21,192 10 |
| | HARMONIC INC | 681 | 3,724 80 | 4,324 35 |
| | HARRIS TEETER SUPERMARKETS I | 385 | 12,707 91 | 18,041 10 |
| | HEALTHCARE SERVICES GROUP | 705 | 8,818.47 | 17,286.60 |
| | HEARTLAND EXPRESS INC | 1,225 | 18,051 03 | 16,996 88 |
| | HIBBETT SPORTS INC | 310 | 7,354 69 | 17,226 70 |
| | HITTITE MICROWAVE CORP | 310 | 13,967 64 | 17,980 00 |
| | HMS HOLDINGS CORP | 470 | 8,477.57 | 10,951.00 |
| | IBERIABANK CORP | 290 | 15,559.18 | 15,546 90 |
| | ICU MED INC | 330 | 10,558.83 | 23,779 80 |
| | II-VI INC | 570 | 8,488.12 | 9,268 20 |
| | IPC THE HOSPITALIST CO | 340 | 15,843 29 | 17,462 40 |
| | LIFE TIME FITNESS INC | 275 | 10,222 85 | 13,780.25 |
| | MARKETAXES HOLDINGS INC | 565 | 13,476 65 | 26,413 75 |
| | MEDIDATA SOLUTIONS INC | 225 | 9,228 72 | 17,426.25 |
| | MID-AMER APT CMNTYS INC | 310 | 15,752.02 | 21,008 70 |
| | MIDDLEBY CORP | 170 | 9,937 07 | 28,915 30 |
| | MOBILE MINI INC | 330 | 9,257 69 | 10,939.50 |
| | MONRO MUFFLER BRAKE INCORPORATED | 190 | 4,777 23 | 9,129 50 |
| | NATIONAL HEALTH INVESTORS INC | 275 | 12,122.98 | 16,461.50 |
| | NIC INC | 825 | 11,347.38 | 13,637 25 |
| | NORTHWESTERN CORP | 310 | 11,272.59 | 12,369.00 |
| | PEBBLEBROOK HOTEL TRUST | 485 | 11,181 82 | 12,537 25 |
| | PIER 1 IMPORTS INC | 550 | 12,560 46 | 12,919 50 |
| | PORTFOLIO RECOVERY ASSOCIATE | 175 | 11,442 36 | 26,885.25 |
| | POWER INTEGRATIONS INC | 335 | 10,661 29 | 13,587.60 |
| | PROASSURANCE CORPORATION | 400 | 11,470 94 | 20,864.00 |
| | PROS HOLDINGS INC | 540 | 5,775 83 | 16,173 00 |
| | PROTO LABS INC | 210 | 10,971 95 | 13,643 70 |
| | RBC BEARINGS INC | 355 | 11,769 05 | 18,442.25 |
| | RITCHIE BROS AUCTIONEERS | 700 | 14,117.85 | 13,454.00 |
| | ROFIN-SINAR TECHOLOGIES INCORPORATED | 490 | 11,262.08 | 12,220 60 |
| | RYLAND GROUP INC | 480 | 10,357 88 | 19,248.00 |

## NORMAN J. STUPP FOUNDATION

**EIN: 43-6027433**
**As of June 30, 2013**

| Group | Description | Units | Book Value | Market Value |
|---|---|---|---|---|
| 2 | SCIQUEST INC | 420 | 5,415 46 | 10,521 00 |
|  | SIGNATURE BANK | 375 | 14,096 67 | 31,132 50 |
|  | SILGAN HOLDINGS INC | 470 | 13,238 49 | 22,071 20 |
|  | SOLERA HOLDINGS INC | 235 | 9,223 90 | 13,077 75 |
|  | SOURCEFIRE INC | 230 | 9,029 47 | 12,776.50 |
|  | STEINER LEISURE LTD | 220 | 10,245 80 | 11,629.20 |
|  | STIFEL FINL CORP | 535 | 17,688 37 | 19,083 45 |
|  | SVB FINANCIAL GROUP | 255 | 10,298 03 | 21,246 60 |
|  | TESCO CORP | 335 | 4,081.94 | 4,438 75 |
|  | TEXAS ROADHOUSE INC | 815 | 11,283 20 | 20,391 30 |
|  | TORO CO | 370 | 8,930 77 | 16,801 70 |
|  | TORTOISE ENERGY INFRASTRUCTURE | 225 | 7,242 64 | 10,462 50 |
|  | TUPPERWARE BRANDS CORPORATION | 235 | 9,239 97 | 18,257 15 |
|  | TYLER TECHNOLOGIES INC | 415 | 17,306 92 | 28,448 25 |
|  | UMPQUA HOLDINGS CORP | 675 | 7,671 37 | 10,131 75 |
|  | UNIVERSAL FOREST PRODS INC | 295 | 8,943 07 | 11,776.40 |
|  | US ECOLOGY INC | 395 | 5,575 79 | 10,838 80 |
|  | WD-40 COMPANY | 230 | 7,796 86 | 12,530 40 |
|  | WEST PHARMACEUTICAL SVCS INC | 300 | 10,883 37 | 21,078 00 |
| **2 Total** |  | **414,702** | **11,833,087.63** | **14,642,061.91** |
| 3 | DIAGEO CAP PLC NT 5 5% 9/30/16 | 30,000 | 29,937 15 | 33,930 90 |
|  | DUPONT EI NEMOUR NT 6% 7/15/18 | 20,000 | 19,991 60 | 23,630 80 |
|  | EQUITABLE LIFE ASSUR NT 7.7% 12/1/15 | 40,000 | 43,880 60 | 44,595 20 |
|  | FHR 2790 CL TN 4% 5/15/24 | 34,442 | 30,642.63 | 36,848 82 |
|  | FNR 2003-84 CL PG 5% 3/25/32 | 21,159 | 19,894 27 | 21,613 12 |
|  | FNR 2003-117 CL KB 6% 12/25/33 | 50,000 | 50,986 33 | 57,633 40 |
|  | GEORGIA PWR CO NT 5 7% 6/1/17 | 30,000 | 29,935 20 | 34,383 60 |
|  | PIMCO COMMODITY RR STRAT-INS | 67,480 | 502,051 20 | 373,164 40 |
|  | TN VALLEY AUTHORITY NT 6 75% 11/1/25 | 20,000 | 24,052 60 | 26,277 40 |
|  | TOSCO CORP NT 8 125% 2/15/30 | 20,000 | 25,975 60 | 27,703 60 |
|  | U S TREASURY BONDS 5 375% 2/15/31 | 30,000 | 32,573 43 | 39,091 50 |
|  | U S TREASURY BONDS 4 75% 2/15/37 | 25,000 | 24,436 52 | 30,851 75 |
|  | WI HSG REV 5.727% 9/1/37 | 5,000 | 5,000 00 | 5,020 10 |
|  | ABSOLUTE STRATEGIES FUND-I | 83,132 | 900,319 56 | 939,391 60 |
|  | ABBOTT LABS NT 6 15% 11/30/37 | 25,000 | 24,900 00 | 31,213 75 |
|  | AIR PROD & CHEM NT 4 375% 8/21/19 | 40,000 | 45,366 80 | 44,304 80 |
|  | APPLE INC NT 1% 5/3/18 | 35,000 | 34,870 85 | 33,610 50 |
|  | AT&T INC NT 0 9% 2/12/16 | 35,000 | 34,977 25 | 34,736 10 |
|  | BK OF AMERICA CORP NT 5 875% 1/5/21 | 20,000 | 18,994 00 | 22,509 80 |
|  | BK OF MONTREAL NT 2 5% 1/11/17 | 40,000 | 40,828 40 | 41,002 80 |
|  | BSARM 2003-3 CL 2A2 V/R 5/25/33 | 28,200 | 23,053.72 | 27,516 90 |
|  | BEAR STEARNS CO NT 5 3% 10/30/15 | 15,000 | 14,290 65 | 16,375 95 |
|  | BHP BILLITON FIN NT 5 25% 12/15/15 | 35,000 | 34,728.75 | 38,526 25 |
|  | CHASE 2003-S13 CL A1 5 5% 11/25/33 | 9,240 | 8,015 59 | 9,654 42 |
|  | CHEVRON CORP NT 1 104% 12/5/17 | 40,000 | 40,000 00 | 39,084 40 |
|  | CITIGROUP INC NT 5 3% 1/7/16 | 30,000 | 26,884 50 | 32,563 20 |
|  | CLAYTON MO SPL OBLIG 5 15% 12/1/22 | 50,000 | 50,618 00 | 53,836 50 |
|  | COCA-COLA CO NT 3 3% 9/1/21 | 40,000 | 39,965 20 | 40,896 00 |
|  | CWALT 2004-18CB CL 3A1 5 25% 9/25/19 | 7,276 | 7,353 19 | 7,433 95 |
|  | CWHL 2003-J6 CL 1A1 5 5% 8/25/33 | 12,082 | 12,105 13 | 12,642.35 |
|  | CWHL 2004-4 CL A24 5 5% 5/25/34 | 16,497 | 16,816 64 | 16,553 30 |
|  | CSFB 2003-8 CL 3A4 5.5% 4/25/33 | 25,456 | 26,378 97 | 26,728.00 |
|  | CSFB 2003-19 CL 1A4 5.25% 7/25/33 | 16,074 | 14,105 16 | 16,425 90 |
|  | CSFB 2003-29 CL 8A1 6% 11/25/18 | 10,633 | 9,390 02 | 11,029 86 |
|  | CT ST TXBL GO 1 262% 10/15/17 | 40,000 | 40,000 00 | 39,665.20 |
|  | DUKE ENERGY NT 4 2% 3/15/42 | 40,000 | 42,801 60 | 36,238.40 |
|  | EMERSON ELEC CO NT 5 375% 10/15/17 | 40,000 | 39,569 20 | 45,633.20 |
|  | EQABS 2003-4 CL AF6 V/R 10/25/34 | 21,932 | 21,740 44 | 22,232 45 |
|  | FFCB NT 5 19% 4/22/21 | 85,000 | 85,705 50 | 100,328 05 |
|  | FHLB NT 4.75% 12/16/16 | 50,000 | 54,625 20 | 56,524.00 |
|  | FHLMC POOL # 1B3915 V/R 9/1/35 | 15,555 | 15,156 84 | 16,485 22 |
|  | FHLMC POOL # 847512 V/R 1/1/36 | 5,625 | 5,586 75 | 5,992 71 |
|  | FHLMC GOLD POOL # P10021 6% 11/1/17 | 8,940 | 9,414 53 | 9,442 01 |
|  | FHLMC GOLD C01116 7 5% 1/01/31 | 6,019 | 6,417 62 | 7,193 95 |
|  | FHLMC GOLD #E01139 6% 4/1/17 | 2,721 | 2,842 19 | 2,882 40 |
|  | FHR 2126 CL CB 6 25% 2/15/29 | 17,070 | 17,473 07 | 17,425 34 |
|  | FHLMC POOL # 781530 V/R 5/1/34 | 5,358 | 5,174 78 | 5,673 60 |
|  | FHR 2632 CL A 4% 1/15/18 | 4,197 | 4,024 78 | 4,265 43 |
|  | FHR 2672 CL NH 4% 9/15/18 | 27,672 | 24,402 96 | 29,214 11 |
|  | FHR 2677 CL BC 4% 9/15/18 | 2,821 | 2,486 77 | 2,978 77 |
|  | FHLMC NT 3 75% 3/27/19 | 40,000 | 39,896 88 | 44,026 80 |
|  | FNMA NT 1 375% 11/15/16 | 40,000 | 40,243 40 | 40,583 60 |
|  | FNMA NT 5% 2/13/17 | 40,000 | 43,826 96 | 45,634 00 |
|  | FNMA POOL # 454505 6 5% 11/1/28 | 56,714 | 57,847 80 | 65,102 03 |
|  | FNMA POOL # 675570 6% 12/1/32 | 3,507 | 3,605.45 | 3,861 71 |
|  | FNR 2002-73 CL OE 5% 11/25/17 | 18,543 | 17,737 11 | 20,009 50 |
|  | FNR 2002-73 CL AN 5% 11/25/17 | 22,592 | 23,439 46 | 24,017 39 |

## NORMAN J. STUPP FOUNDATION
EIN: 43-6027433
As of June 30, 2013

| Group | Description | Units | Book Value | Market Value |
|---|---|---|---|---|
| 3 | FNR 2003-14 CL AP 4% 3/25/33 | 6,439 | 6,527 21 | 6,828 78 |
| | FNR 2003-83 CL PG 5% 6/25/23 | 20,240 | 19,759 36 | 21,625 84 |
| | FNMA POOL # 704605 5% 6/1/18 | 5,256 | 5,402 12 | 5,603 61 |
| | FNMA POOL # 735648 V/R 02/01/34 | 15,302 | 15,263 97 | 16,233 83 |
| | FNMA POOL # 766027 5% 2/1/34 | 10,950 | 10,948 36 | 12,225 53 |
| | FNMA POOL # 802650 5.109% 10/1/34 | 4,008 | 4,078 59 | 4,260 46 |
| | FNMA POOL # 816308 V/R 2/1/35 | 3,963 | 3,951 78 | 4,183 86 |
| | FIAOT 2013-1A CL A2 9% 10/15/18 | 34,819 | 34,817.01 | 34,634 31 |
| | FREMONT CA S/D GO 0% 8/1/31 | 130,000 | 32,870 50 | 49,593.70 |
| | GENERAL DYNAMICS NT 2 25% 7/15/16 | 40,000 | 39,950 80 | 41,266 40 |
| | GOLDMAN SACHS GP NT 5 95% 1/18/18 | 20,000 | 19,121 20 | 22,376 80 |
| | GNMA POOL # 603566 5 5% 4/15/33 | 9,728 | 9,883 77 | 10,777 23 |
| | GNMA POOL #505725 6 5% 6/15/14 | 1,307 | 1,373 00 | 1,347.45 |
| | GNMA POOL # 622123 5 5% 10/15/33 | 9,480 | 9,821 71 | 10,818.47 |
| | GNR 2004-108 CL C 5 039% 12/16/32 | 17,133 | 16,164.17 | 17,532 42 |
| | GT 1996-4 CL A7 7 9% 6/15/27 | 4,501 | 4,827 67 | 4,653 27 |
| | GSR 2005-5F CL 2A8 5 5% 6/25/35 | 20,658 | 20,135 10 | 20,809 19 |
| | HEWLETT PACKARD CO NT 2.125% 9/13/15 | 40,000 | 39,954 80 | 40,483 60 |
| | HONOLULU HI BAB GO 3 224% 12/1/16 | 35,000 | 35,000 00 | 37,287.95 |
| | IMSA 2006-1 CL 2A1 V/R 5/25/36 | 32,813 | 29,449 88 | 32,067 99 |
| | JOHN DEERE CAP CORP NT 5 5% 4/13/17 | 35,000 | 34,803.65 | 39,745 65 |
| | JOHNSON & JOHNSON NT 5 85% 7/15/38 | 35,000 | 35,111 30 | 43,038 10 |
| | MASTR 2004-3 CL 5A1 6 25% 1/25/32 | 271 | 277 30 | 275 76 |
| | MEDTRONIC INC NT 1 375% 4/1/18 | 35,000 | 34,947 50 | 34,025 60 |
| | MERCK & CO NT 2 25% 1/15/16 | 20,000 | 19,951 80 | 20,662 40 |
| | MLMI 2005-A7 CL 2A1 5 4005% 9/25/35 | 26,149 | 25,527 68 | 24,727 99 |
| | METRO LIFE INS NT 7 7% 11/01/15 | 35,000 | 37,130 80 | 39,433 45 |
| | MICROSOFT CORP NT 2 375% 5/1/23 | 35,000 | 34,882.40 | 32,389 35 |
| | MO JT ELEC TAX REV 5 25% 1/1/14 | 10,000 | 10,000 00 | 10,198 60 |
| | MO ST TAX REV 3 535% 2/15/33 | 40,000 | 40,000 00 | 36,278 00 |
| | NATL RURAL UTIL NT 5 45% 4/10/17 | 55,000 | 54,824 00 | 62,277 05 |
| | NCIT 2011-MH1 CL A 2 45% 12/10/33 | 17,856 | 17,853 21 | 18,123 73 |
| | NORTHERN ST PWR NT 4 85% 8/15/40 | 30,000 | 34,051 20 | 31,696 80 |
| | OCEAN CITY MD BAB GO 2 7% 11/1/15 | 45,000 | 45,194 85 | 46,629 00 |
| | OH ST BAB GO 3 625% 11/1/20 | 45,000 | 45,131 85 | 47,951 10 |
| | PEPSICO INC NT 0.7% 2/26/16 | 35,000 | 34,987 75 | 34,731 55 |
| | PRAXAIR INC NT 3 25% 9/15/15 | 40,000 | 39,897 20 | 42,211 60 |
| | PRIVATE EXPT FND NT 2 25% 12/15/17 | 40,000 | 39,900 40 | 41,428 40 |
| | PUB SVC ELEC & GAS NT 5 5% 3/1/40 | 40,000 | 40,700 01 | 47,024 40 |
| | RALI 2004-QS2 CL CB 5 75% 2/25/34 | 24,018 | 19,424 84 | 25,092.64 |
| | RAMP 2003-RS6 CL AI5 5 42% 7/25/33 | 29,875 | 29,558 02 | 28,622 64 |
| | RFMS2 2000-HI2 CL AI5 V/R 3/25/25 | 3,114 | 3,316 14 | 3,030 55 |
| | RFSC 2003-RM2 CL AIII 6% 5/25/33 | 2,853 | 2,918 64 | 3,007 62 |
| | RFSC 2003-RM2 CL AII 5% 5/25/18 | 12,644 | 13,153 31 | 12,998 03 |
| | RIO TINTO FIN NT 2 25% 12/14/18 | 35,000 | 34,680 10 | 34,011 60 |
| | SCHAUMBURG IL GO 4% 12/1/17 | 40,000 | 45,041 60 | 44,186 00 |
| | SIMON PROP GP LP NT 6 75% 5/15/14 | 40,000 | 43,913 60 | 41,450.40 |
| | SOUTHERN CAL ED NT 5 5% 3/15/40 | 20,000 | 19,759 40 | 22,894 40 |
| | SASC 2003-31A 2A7 V/R 10/25/33 | 29,211 | 23,149 79 | 29,046 39 |
| | SASC 2005-NC1 CL A11 V/R 2/25/35 | 42,012 | 42,616.17 | 41,730 76 |
| | SWISS BK CORP NY NT 7 375% 6/15/17 | 45,000 | 51,891 75 | 50,475 15 |
| | TENN VY NT 6 15% 1/15/38 | 30,000 | 34,922.58 | 38,431 20 |
| | TENN VY NT 4 5% 4/1/18 | 65,000 | 64,982 45 | 73,315 45 |
| | TOYOTA MTR CRED NT 1 25% 11/17/14 | 40,000 | 39,912 00 | 40,414 00 |
| | UBSBB 2012-C3 CL A1 726% 8/10/49 | 34,795 | 34,794 88 | 34,543 76 |
| | UNITED PARCEL SVS NT 2.45% 10/1/22 | 40,000 | 39,946 80 | 37,712.40 |
| | UNITEDHEALTH GROUP NT 1 625% 3/15/19 | 25,000 | 24,899 75 | 24,164.75 |
| | UNIVERSITY IL COP 4.74% 2/15/14 | 5,000 | 5,000 00 | 5,112 45 |
| | UNIVERSITY IL COP 4.8% 2/15/15 | 5,000 | 5,000 00 | 5,274 85 |
| | UNIV MI BAB REV 3.176% 4/1/18 | 40,000 | 40,000 00 | 42,022 80 |
| | US BANCORP NT 2 45% 7/27/15 | 40,000 | 41,628.80 | 41,206 40 |
| | WFMBS 2006-AR6 5A1 5 1095% 3/25/36 | 17,604 | 17,241 36 | 17,304 84 |
| | WLAKE 2011-1A CL A3 1 49% 6/16/14 | 4,183 | 4,169 59 | 4,184.60 |
| | WFRBS 2011-C3 CL A1 1.988% 3/15/44 | 24,793 | 25,040 40 | 25,150 80 |
| | WFRBS 2011-C5 CL A1 1 456% 11/15/44 | 34,746 | 34,745 49 | 35,018.32 |
| | WFRBS 2012-C6 CL A1 1 081% 4/15/45 | 30,643 | 30,642 46 | 30,710.58 |
| | WISCONSIN PUB SVC NT 4.8% 12/1/13 | 25,000 | 24,911 50 | 25,392 50 |
| **3 Total** | | **3,467,303** | **4,649,074.12** | **4,760,155.89** |

| | | | | |
|---|---|---|---|---|
| **Grand Total** | | **4,045,686** | **16,645,843.02** | **19,565,899.07** |

# Norman J. Stupp Foundation
# Attachment of Fiscal Year Payments for IRS 990PF
## June 30, 2013

| Recipient Name & Address | Fiscal Agent | Purpose | Payment Amount | Payment Number | Payment Date |
|---|---|---|---|---|---|
| 100 Black Men<br>4631 Delmar<br>St. Louis, MO 63108 | | HUM | 7,500.00 | 1 of 1 | 12/19/2012 |
| A Million Stars Inc. DBA College Bound<br>110 N. Jefferson<br>St. Louis, MO 63103 | | EDU | 7,500.00 | 1 of 1 | 5/7/2013 |
| Aim High-St. Louis<br>755 S. Price Rd.<br>St. Louis, MO 63124 | | EDU | 10,000.00 | 1 of 1 | 5/7/2013 |
| Alive Inc.<br>P.O. Box 11201<br>St. Louis, MO 63105 | | HUM | 10,000.00 | 1 of 1 | 5/7/2013 |
| Almost Home<br>3200 St. Vincent Ave.<br>St. Louis, MO 63104 | | HUM | 8,500.00 | 1 of 1 | 5/7/2013 |
| America Scores (St. Louis SCORES)<br>4236 Lindell Blvd. Ste. 204<br>St. Louis, MO 63108 | | HUM | 6,000.00 | 1 of 1 | 12/19/2012 |
| Angels Arms<br>1445 South 18th St., Unit 105<br>St. Louis, MO 63104 | | HUM | 8,500.00 | 1 of 1 | 12/19/2012 |
| Area Resources for Community and Human Services<br>539 N. Grand Ave.<br>St. Louis, MO 63103 | | HUM | 10,000.00 | 1 of 1 | 5/7/2013 |
| Assistance League of St. Louis<br>30 Henry Ave.<br>Ellisville, MO 63011 | | HUM | 7,500.00 | 1 of 1 | 5/7/2013 |

| Recipient Name & Address | Fiscal Agent | Purpose | Payment Amount | Payment Number | Payment Date |
|---|---|---|---|---|---|
| Better Family Life Inc.<br>5535 Delmar Blvd., Ste. 2100<br>St. Louis, MO 63112 | | HUM | 10,000.00 | 1 of 1 | 12/19/2012 |
| Big Brothers Big Sisters of Eastern Missouri<br>501 N. Grand, Ste. 100<br>St. Louis, MO 63103 | | HUM | 20,000.00 | 1 of 1 | 12/19/2012 |
| Big Brothers Big Sisters of Southwestern Illinois<br>6400 W. Main St., Ste. 1G<br>Belleville, IL 62223 | | HUM | 5,000.00 | 1 of 1 | 5/7/2013 |
| Board for Inner-City Missions of the United Church of Christ in Met DBA Neighborhood Houses<br>5621 Delmar Blvd., Ste. 104<br>St. Louis, MO 63112 | | EDU | 7,000.00 | 1 of 1 | 5/7/2013 |
| Boys Hope Girls Hope<br>755 S. New Ballas Rd., Ste. 120<br>St. Louis, MO 63141 | | HUM | 5,000.00 | 1 of 1 | 12/19/2012 |
| Catholic Charities Midtown Center<br>1202 S. Boyle Ave.<br>St. Louis, MO 63110 | | HUM | 8,500.00 | 1 of 1 | 12/19/2012 |
| Center of Creative Arts<br>524 Trinity Ave.<br>University City, MO 63130 | | ART | 8,500.00 | 1 of 1 | 5/7/2013 |
| Central Institute for the Deaf<br>825 S. Taylor Ave.<br>St. Louis, MO 63110 | | HUM | 7,000.00 | 1 of 1 | 12/19/2012 |
| Child Center - Marygrove<br>2705 Mullanphy Ln.<br>Florissant, MO 63031 | | HUM | 5,000.00 | 1 of 1 | 12/19/2012 |
| Child Day Care Association of Saint Louis DBA United 4 Children<br>12 N. Newstead Ave.<br>St. Louis, MO 63108 | | HUM | 6,500.00 | 1 of 1 | 5/7/2013 |

| Recipient Name & Address | Fiscal Agent | Purpose | Payment Amount | Payment Number | Payment Date |
|---|---|---|---|---|---|
| Christian Activity Center<br>P.O. Box 2525<br>540 North 6th St.<br>East St. Louis, IL 62201 | | HUM | 8,500.00 | 1 of 1 | 12/19/2012 |
| City Academy Inc.<br>4175 N. Kingshighway Blvd.<br>St. Louis, MO 63115 | | EDU | 8,500.00 | 1 of 1 | 12/19/2012 |
| College Summit Inc.<br>801 N. 11th St.<br>St Louis, MO 63101 | | EDU | 8,500.00 | 1 of 1 | 12/19/2012 |
| Community Helping Ministry<br>3770 McKelvey Rd.<br>Bridgeton, MO 63044-2001 | | HUM | 7,000.00 | 1 of 1 | 5/7/2013 |
| Connections to Success Inc.<br>2141 E. John Ave.<br>St. Louis, MO 63107 | | HUM | 5,000.00 | 1 of 1 | 12/19/2012 |
| Cornerstone Center for Early Learning Inc.<br>3901 Russell Blvd.<br>St. Louis, MO 63110-3709 | | EDU | 10,000.00 | 1 of 1 | 12/19/2012 |
| Covenant House Missouri<br>2727 N. Kingshighway Blvd.<br>St. Louis, MO 63113 | | HUM | 10,000.00 | 1 of 1 | 5/7/2013 |
| Crider Health Center Inc.<br>1032 Crosswinds Ct.<br>Wentzville, MO 63385 | | HUM | 15,000.00 | 1 of 2 | 12/19/2012 |
| Epworth Children and Family Services<br>110 N. Elm Ave.<br>Webster Groves, MO 63119 | | HUM | 10,000.00 | 1 of 1 | 7/10/2012 |

| Recipient Name & Address | Fiscal Agent | Purpose | Payment Amount | Payment Number | Payment Date |
|---|---|---|---|---|---|
| Executive Council of the Gen Synod of the United Church of Christ<br>(St. John Evangelical United Church of Christ)<br>307 W. Clay St.<br>Collinsville, IL 62234 | | EDU | 5,000.00 | 1 of 1 | 5/7/2013 |
| Fathers Support Center St. Louis<br>4411 N. Newstead<br>St. Louis, MO 63115 | | HUM | 10,000.00 | 1 of 1 | 5/7/2013 |
| Focus St. Louis<br>815 Olive St., Ste. 110<br>St. Louis, MO 63101 | | CIV | 12,500.00 | 1 of 2 | 5/7/2013 |
| Fontbonne University<br>6800 Wydown Blvd.<br>St. Louis, MO 63105-3098 | | EDU | 33,333.00 | 1 of 3 | 12/19/2012 |
| Forest Park Forever Inc.<br>5595 Grand Dr.<br>St. Louis, MO 63112 | | CIV | 20,000.00 | 1 of 2 | 5/7/2013 |
| Foster Care Coalition of Greater St. Louis Inc.<br>1750 S. Brentwood Blvd., Ste. 210<br>St. Louis, MO 63144 | | HUM | 9,000.00 | 1 of 1 | 12/19/2012 |
| Friends of Madison County Child Advocacy Center-Nfp<br>101 E. Edwardsville Rd.<br>Wood River, IL 62095-1369 | | HUM | 4,500.00 | 1 of 1 | 12/19/2012 |
| Girls Incorporated of St. Louis<br>3801 Nelson Dr.<br>St. Louis, MO 63121 | | HUM | 5,000.00 | 1 of 1 | 5/7/2013 |
| Good Shepherd Children and Family Services<br>1340 Partridge Ave.<br>University City, MO 63130 | | HUM | 5,000.00 | 1 of 1 | 5/7/2013 |
| Grace New Covenant Church<br>711 Chambers Rd.<br>St. Louis, MO 63137 | | HUM | 5,000.00 | 1 of 1 | 12/19/2012 |

| Recipient Name & Address | Fiscal Agent | Purpose | Payment Amount | Payment Number | Payment Date |
|---|---|---|---|---|---|
| Great Circle<br>330 N. Gore Ave.<br>St. Louis, MO 63119 | | HUM | 20,000.00 | 1 of 1 | 5/7/2013 |
| Haven of Grace<br>1225 Warren St.<br>St. Louis, MO 63106 | | HUM | 10,000.00 | 1 of 1 | 12/19/2012 |
| Herbert Hoover Boys and Girls Club of St. Louis Inc. DBA Boys & Girls Clubs of Greater St. Louis<br>2901 N. Grand Ave.<br>St. Louis, MO 63107-2608 | | HUM | 15,000.00 | 1 of 1 | 5/7/2013 |
| Immigrant & Refugee Womens Program<br>3672 B Arsenal St.<br>St. Louis, MO 63116 | | EDU | 7,500.00 | 1 of 1 | 5/7/2013 |
| Interfaith Residence DBA Doorways<br>4385 Maryland Ave.<br>St. Louis, MO 63108 | | HUM | 12,500.00 | 1 of 2 | 12/19/2012 |
| Jefferson County Rescue Mission<br>8943 Commercial Blvd.<br>P.O. Box 211<br>Pevely, MO 63070-0211 | | HUM | 7,000.00 | 1 of 1 | 12/19/2012 |
| Junior Achievement of Greater St. Louis<br>17339 N. Outer Forty Rd.<br>Chesterfield, MO 63005 | | EDU | 8,500.00 | 1 of 1 | 5/7/2013 |
| Kingdom House<br>1321 S. 11th St.<br>St. Louis, MO 63104 | | HUM | 5,000.00 | 1 of 1 | 12/19/2012 |
| Little Bit Foundation<br>1325 N. Warson Rd.<br>St. Louis, MO 63132 | | HUM | 5,000.00 | 1 of 1 | 12/19/2012 |

| Recipient Name & Address | Fiscal Agent | Purpose | Payment Amount | Payment Number | Payment Date |
|---|---|---|---|---|---|
| Loyola Academy of St. Louis<br>3851 Washington Blvd.<br>St. Louis, MO 63108 | | EDU | 8,500.00 | 1 of 1 | 5/7/2013 |
| Lydia's House Inc.<br>P.O. Box 2722<br>St. Louis, MO 63116-0722 | | HUM | 8,000.00 | 1 of 1 | 12/19/2012 |
| Marian Middle School<br>4130 Wyoming St.<br>St. Louis, MO 63116 | | EDU | 8,500.00 | 1 of 1 | 5/7/2013 |
| Maryville University of St. Louis<br>650 Maryville University Dr.<br>St. Louis, MO 63141 | | EDU | 15,000.00 | 1 of 3 | 12/19/2012 |
| Mathews-Dickey Boys & Girls Club<br>4245 N. Kingshighway Blvd.<br>St. Louis, MO 63115 | | HUM | 15,000.00 | 1 of 1 | 12/19/2012 |
| Metro Theater Company<br>3311 Washington Ave.<br>St. Louis, MO 63103-1118 | | ART | 4,000.00 | 1 of 1 | 12/19/2012 |
| Miriam Foundation<br>501 Bacon Ave.<br>St. Louis, MO 63119-1512 | | EDU | 5,000.00 | 1 of 1 | 5/7/2013 |
| National Conference for Community and Justice of Metro St. Louis<br>8420 Delmar, Ste 500<br>St. Louis, MO 63124 | | HUM | 8,000.00 | 1 of 1 | 12/19/2012 |
| National Council of Jewish Women Incorporated<br>295 N. Lindbergh<br>St. Louis, MO 63141 | | HUM | 5,000.00 | 1 of 1 | 12/19/2012 |
| Northside Community Center Inc.<br>4120 Maffitt Ave.<br>St. Louis, MO 63113 | | HUM | 8,500.00 | 1 of 1 | 5/7/2013 |

| Recipient Name & Address | Fiscal Agent | Purpose | Payment Amount | Payment Number | Payment Date |
|---|---|---|---|---|---|
| Nurses for Newborns Foundation<br>7259 Lansdowne, Ste. 100<br>St. Louis, MO 63119 | | HEA | 8,500.00 | 1 of 1 | 5/7/2013 |
| Parents as Teachers National Center Inc.<br>2228 Ball Dr.<br>St. Louis, MO 63146 | | EDU | 10,000.00 | 1 of 1 | 12/19/2012 |
| Peter and Paul Community Services Inc.<br>1025 Park Ave., Ste. 1023<br>St. Louis, MO 63104 | | HUM | 10,000.00 | 1 of 1 | 12/19/2012 |
| Places for People Incorporated<br>4130 Lindell Blvd.<br>St. Louis, MO 63108 | | HUM | 8,500.00 | 1 of 1 | 5/7/2013 |
| Puentes de Esperanza-Bridges of Hope-Nfp<br>5601 State St.<br>East St. Louis, IL 62203 | | HUM | 3,500.00 | 1 of 1 | 12/19/2012 |
| R. O. W. Inc.<br>306 N. Tucker<br>St. Louis, MO 63101 | | HUM | 6,500.00 | 1 of 1 | 12/19/2012 |
| Ready Readers<br>1974 Innerbelt Business Center Dr.<br>St. Louis, MO 63114 | | EDU | 6,500.00 | 1 of 1 | 12/19/2012 |
| Rebuilding Together St. Louis<br>357 Marshall Ave., Ste. 2<br>St. Louis, MO 63119 | | HUM | 8,500.00 | 1 of 1 | 5/7/2013 |
| Scholarship Foundation of St. Louis<br>8215 Clayton Rd.<br>St. Louis, MO 63117-1107 | | EDU | 8,500.00 | 1 of 1 | 5/7/2013 |
| Scottish Rite Clinic for Childhood Language Disorders of St. Louis Inc.<br>3632 Olive St.<br>St. Louis, MO 63108 | | HEA | 8,884.00 | 1 of 1 | 12/19/2012 |

| Recipient Name & Address | Fiscal Agent | Purpose | Payment Amount | Payment Number | Payment Date |
|---|---|---|---|---|---|
| Shalom House<br>1040 S. Taylor Ave.<br>St. Louis, MO 63110 | | HUM | 10,000.00 | 1 of 1 | 12/19/2012 |
| Sister Thea Bowman Catholic School<br>8213 Church Ln.<br>East St. Louis, IL 62203 | | EDU | 6,500.00 | 1 of 1 | 12/19/2012 |
| Soulard School Inc.<br>1110 Victor St.<br>St. Louis, MO 63104 | | EDU | 10,000.00 | 1 of 1 | 10/10/2012 |
| St. Louis Area Food Bank Inc.<br>70 Corporate Woods Dr.<br>St. Louis, MO 63044 | | HUM | 25,000.00 | 1 of 2 | 5/7/2013 |
| St. Louis Internship Program<br>4232 Forest Park Ave., Rm #1027<br>St. Louis, MO 63108 | | EDU | 10,000.00 | 1 of 1 | 5/7/2013 |
| St. Louis Regional Public Media Inc. DBA Nine Network of Public Media<br>3655 Olive St.<br>St. Louis, MO 63108-3601 | | EDU | 20,000.00 | 1 of 1 | 5/7/2013 |
| St. Louis Science Center Foundation<br>5050 Oakland Ave.<br>St. Louis, MO 63110 | | EDU | 5,000.00 | 1 of 1 | 12/19/2012 |
| St. Louis Scott Gallagher Foundation<br>#1 Soccer Park Rd.<br>Fenton, MO 63026 | | CIV | 20,000.00 | 1 of 1 | 12/19/2012 |
| St. Louis University Eye Institute<br>1755 S. Grand Blvd.<br>St. Louis, MO 63104 | St. Louis University | HEA | 50,000.00 | 1 of 1 | 6/4/2013 |
| Stages St. Louis<br>444 Chesterfield Center, Ste. 215<br>Chesterfield, MO 63017 | | ART | 8,500.00 | 1 of 1 | 5/7/2013 |

| Recipient Name & Address | Fiscal Agent | Purpose | Payment Amount | Payment Number | Payment Date |
|---|---|---|---|---|---|
| Summit Leadership Initiative<br>14465 White Pine Ridge Ln<br>Chesterfield, MO 63017 | | HUM | 3,500.00 | 1 of 1 | 12/19/2012 |
| The Salvation Army of St. Louis, MO<br>1130 Hampton Ave.<br>St. Louis, MO 63139 | | HUM | 12,000.00 | 1 of 1 | 12/19/2012 |
| Today and Tomorrow Educational Foundation<br>20 Archbishop May Dr.<br>St. Louis, MO 63119 | | EDU | 6,000.00 | 1 of 1 | 5/7/2013 |
| Trailnet Inc.<br>411 N. 10th St., Ste. 200<br>St. Louis, MO 63101 | | CIV | 5,000.00 | 1 of 1 | 5/14/2013 |
| University of Missouri-St. Louis - Office of the Chancellor<br>8001 Natural Bridge Rd.<br>St. Louis, MO 63121-4499 | | EDU | 8,500.00 | 1 of 1 | 5/7/2013 |
| Vision for Children at Risk Inc.<br>2433 N. Grand Blvd.<br>St. Louis, MO 63106 | | CIV | 10,000.00 | 1 of 1 | 12/19/2012 |
| Voices for Children<br>920 N. Vandeventer<br>St. Louis, MO 63108 | | HUM | 20,000.00 | 1 of 1 | 12/19/2012 |
| Women's Support and Community Services DBA Safe Connections<br>2165 Hampton Ave.<br>St. Louis, MO 63139 | | HUM | 10,000.00 | 1 of 1 | 12/19/2012 |
| Wyman Center Inc.<br>600 Kiwanis Dr.<br>Eureka, MO 63025 | | HUM | 10,000.00 | 1 of 1 | 12/19/2012 |
| Young Men's Christian Association of Greater St. Louis<br>1528 Locust St.<br>St. Louis, MO 63103-9956 | | HUM | 10,000.00 | 1 of 1 | 5/7/2013 |

| Recipient Name & Address | Fiscal Agent | Purpose | Payment Amount | Payment Number | Payment Date |
|---|---|---|---|---|---|
| Young Men's Christian Association of Southwest Illinois<br>424 Lebanon Ave.<br>Belleville, IL 62220 | | HUM | 7,000.00 | 1 of 1 | 12/19/2012 |
| Young Womens Christian Association of Metropolitan St Louis Missouri<br>3820 W. Pine Blvd.<br>St. Louis, MO 63108 | | HUM | 15,000.00 | 1 of 1 | 5/7/2013 |
| Youth and Family Center<br>818 Cass Ave.<br>St. Louis, MO 63106 | | HUM | 5,000.00 | 1 of 1 | 12/19/2012 |
| Youth in Need<br>1815 Boone's Lick Rd.<br>St. Charles, MO 63301 | | HUM | 10,000.00 | 1 of 1 | 5/7/2013 |
| Youth Learning Center<br>4471 Olive St.<br>St. Louis, MO 63108 | | HUM | 4,000.00 | 1 of 1 | 12/19/2012 |
| **Total Contributions for the Year:** | | | **906,217.00** | | |