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 OCT 1, 2012 , and ending SEP 30, 2013

Name of foundation
MAURICE A. ROTHMAN & THELMA P. ROTHMAN
FAMILY FOUNDATION, INC.

A Employer identification number
59-2061386

Number and street (or P O box number if mail is not delivered to street address) | Room/suite
5700 70TH AVENUE NORTH

B Telephone number
727-545-9555

City or town, state, and ZIP code
PINELLAS PARK, FL 33781

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: [X] 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) ▶$ 6,204,730.

J Accounting method ☐ Cash [X] 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 | 200,000. | | N/A | |
| | 2 Check ▶ ☐ if the foundation is not required to attach Sch B | | | | |
| | 3 Interest on savings and temporary cash investments | 5,084. | 5,084. | | Statement 1 |
| | 4 Dividends and interest from securities | 206,291. | 206,291. | | Statement 2 |
| | 5a Gross rents | | | | |
| | b Net rental income or (loss) | | | | |
| | 6a Net gain or (loss) from sale of assets not on line 10 | 296,490. | | | |
| | b Gross sales price for all assets on line 6a 4,114,278. | | | | |
| | 7 Capital gain net income (from Part IV, line 2) | | 296,490. | | |
| | 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 | <2,318.> | <1,220.> | | Statement 3 |
| | 12 **Total.** Add lines 1 through 11 | 705,547. | 506,645. | | |
| Operating and Administrative Expenses | 13 Compensation of officers, directors, trustees, etc | 0. | 0. | | 0. |
| | 14 Other employee salaries and wages | | | | |
| | 15 Pension plans, employee benefits | | | | |
| | 16a Legal fees | | | | |
| | b Accounting fees | | | | |
| | c Other professional fees | | | | |
| | 17 Interest | 11. | 11. | | 0. |
| | 18 Taxes Stmt 4 | 2,127. | 14. | | 0. |
| | 19 Depreciation and depletion | | | | |
| | 20 Occupancy | | | | |
| | 21 Travel, conferences, and meetings | | | | |
| | 22 Printing and publications | | | | |
| | 23 Other expenses Stmt 5 | 32,891. | 32,891. | | 0. |
| | 24 **Total operating and administrative expenses.** Add lines 13 through 23 | 35,029. | 32,916. | | 0. |
| | 25 Contributions, gifts, grants paid | 318,874. | | | 318,874. |
| | 26 **Total expenses and disbursements.** Add lines 24 and 25 | 353,903. | 32,916. | | 318,874. |
| | 27 Subtract line 26 from line 12: | | | | |
| | a Excess of revenue over expenses and disbursements | 351,644. | | | |
| | b **Net investment income** (if negative, enter -0-) | | 473,729. | | |
| | 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 | 354,003. | 230,026. | 226,640. |
| | 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 6 | 845,725. | 1,002,274. | 1,147,100. |
| | c | Investments - corporate bonds Stmt 7 | 2,169,334. | 2,223,127. | 2,164,174. |
| | 11 | Investments - land, buildings, and equipment: basis ▶ | | | |
| | | Less: accumulated depreciation ▶ | | | |
| | 12 | Investments - mortgage loans | | | |
| | 13 | Investments - other Stmt 8 | 2,291,098. | 2,555,569. | 2,652,554. |
| | 14 | Land, buildings, and equipment: basis ▶ | | | |
| | | Less: accumulated depreciation ▶ | | | |
| | 15 | Other assets (describe ▶ Statement 9 ) | 13,454. | 14,262. | 14,262. |
| | 16 | **Total assets** (to be completed by all filers) | 5,673,614. | 6,025,258. | 6,204,730. |
| 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 ▶ ADVANCES ) | 28,264. | 28,264. | |
| | 23 | **Total liabilities** (add lines 17 through 22) | 28,264. | 28,264. | |
| 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 ▶ [X] and complete lines 27 through 31.** | | | |
| | 27 | Capital stock, trust principal, or current funds | 5,645,350. | 5,996,994. | |
| | 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** | 5,645,350. | 5,996,994. | |
| | 31 | **Total liabilities and net assets/fund balances** | 5,673,614. | 6,025,258. | |

**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 | 5,645,350. |
| 2 | Enter amount from Part I, line 27a | 2 | 351,644. |
| 3 | Other increases not included in line 2 (itemize) ▶ | 3 | 0. |
| 4 | Add lines 1, 2, and 3 | 4 | 5,996,994. |
| 5 | Decreases not included in line 2 (itemize) ▶ | 5 | 0. |
| 6 | Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30 | 6 | 5,996,994. |



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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 | | | | |
| 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 | 4,114,278. | | 3,817,788. | 296,490. |

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 | | | | 296,490. |

| | | | |
|---|---|---|---|
| 2 Capital gain net income or (net capital loss) | If gain, also enter in Part I, line 7<br>If (loss), enter -0- in Part I, line 7 | 2 | 296,490. |
| 3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6)<br>If gain, also enter in Part I, line 8, column (c).<br>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 | 288,461. | 5,819,678. | .049566 |
| 2010 | 288,047. | 5,808,118. | .049594 |
| 2009 | 275,933. | 5,322,657. | .051841 |
| 2008 | 202,124. | 4,899,543. | .041254 |
| 2007 | 324,425. | 6,293,189. | .051552 |

| | | |
|---|---|---|
| 2 Total of line 1, column (d) | 2 | .243807 |
| 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 | .048761 |
| 4 Enter the net value of noncharitable-use assets for 2012 from Part X, line 5 | 4 | 6,134,654. |
| 5 Multiply line 4 by line 3 | 5 | 299,132. |
| 6 Enter 1% of net investment income (1% of Part I, line 27b) | 6 | 4,737. |
| 7 Add lines 5 and 6 | 7 | 303,869. |
| 8 Enter qualifying distributions from Part XII, line 4 | 8 | 318,874. |

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)

| | | Line | Amount |
|---|---|---|---|
| 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 ▶ [X] and enter 1% of Part I, line 27b | 1 | 4,737. |
| 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 | 4,737. |
| 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 | 4,737. |
| 6 | Credits/Payments: | | |
| a | 2012 estimated tax payments and 2011 overpayment credited to 2012 — 6a: 2,052. | | |
| b | Exempt foreign organizations - tax withheld at source — 6b | | |
| c | Tax paid with application for extension of time to file (Form 8868) — 6c: 5,500. | | |
| d | Backup withholding erroneously withheld — 6d | | |
| 7 | Total credits and payments. Add lines 6a through 6d | 7 | 7,552. |
| 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 | |
| 10 | **Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶ | 10 | 2,815. |
| 11 | Enter the amount of line 10 to be: **Credited to 2013 estimated tax** ▶ 2,815. **Refunded** ▶ | 11 | 0. |

## Part VII-A Statements Regarding Activities

| | | Line | 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. (2) On foundation managers. ▶ $ 0. | | | |
| e | Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ▶ $ 0. | | | |
| 2 | Has the foundation engaged in any activities that have not previously been reported to the IRS? *If "Yes," attach a detailed description of the activities.* | 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) ▶ FL | | | |
| b | If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by *General Instruction G? If "No," attach explanation* | 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)*

| | | Line | 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 ▶ LESLIE M. ROGAS Telephone no. ▶ 727-545-9555
Located at ▶ 5700 70TH AVENUE NORTH, PINELLAS PARK, FL ZIP+4 ▶ 33781

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

| | | Line | 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.**

| | | Line | 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)*

| | | Yes | No |
|---|---|---|---|
| **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 |
|---|---|---|---|---|
| MARGIE R. GREEN<br>5700 70TH AVENUE NORTH<br>PINELLAS PARK, FL 33781 | CHAIRMAN/TRUSTEE<br>4.00 | 0. | 0. | 0. |
| CAROL R. LANE<br>5700 70TH AVENUE NORTH<br>PINELLAS PARK, FL 33781 | SECRETARY/TRUSTEE<br>1.00 | 0. | 0. | 0. |
| KEVIN A. LANE<br>5700 70TH AVENUE NORTH<br>PINELLAS PARK, FL 33781 | VICE PRESIDENT/TRUSTEE<br>1.00 | 0. | 0. | 0. |
| JASON E. GREEN<br>5700 70TH AVENUE NORTH<br>PINELLAS PARK, FL 33781 | TRUSTEE<br>1.00 | 0. | 0. | 0. |

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

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

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

**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 NONE | 0. |
| 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 NONE | 0. |
| 2 | |
| All other program-related investments See instructions<br>3 NONE | 0. |
| **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 | 6,025,392. |
| b | Average of monthly cash balances | 1b | 200,479. |
| c | Fair market value of all other assets | 1c | 2,204. |
| d | **Total** (add lines 1a, b, and c) | 1d | 6,228,075. |
| e | Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) ... 1e 0. | | |
| 2 | Acquisition indebtedness applicable to line 1 assets | 2 | 0. |
| 3 | Subtract line 2 from line 1d | 3 | 6,228,075. |
| 4 | Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions) | 4 | 93,421. |
| 5 | **Net value of noncharitable-use assets.** Subtract line 4 from line 3. Enter here and on Part V, line 4 | 5 | 6,134,654. |
| 6 | **Minimum investment return.** Enter 5% of line 5 | 6 | 306,733. |

## Part XI Distributable Amount (see instructions) (Section 4942(j)(3) and (j)(5) private operating foundations and certain foreign organizations check here ▶ ☐ and do not complete this part.)

| | | | |
|---|---|---|---|
| 1 | Minimum investment return from Part X, line 6 | 1 | 306,733. |
| 2a | Tax on investment income for 2012 from Part VI, line 5 ... 2a 4,737. | | |
| b | Income tax for 2012. (This does not include the tax from Part VI.) ... 2b | | |
| c | Add lines 2a and 2b | 2c | 4,737. |
| 3 | Distributable amount before adjustments. Subtract line 2c from line 1 | 3 | 301,996. |
| 4 | Recoveries of amounts treated as qualifying distributions | 4 | 0. |
| 5 | Add lines 3 and 4 | 5 | 301,996. |
| 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 | 301,996. |

## 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 | 318,874. |
| 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 | 318,874. |
| 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 | 4,737. |
| 6 | **Adjusted qualifying distributions.** Subtract line 5 from line 4 | 6 | 314,137. |

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

**Part XIII Undistributed Income** (see instructions)

| | (a) Corpus | (b) Years prior to 2011 | (c) 2011 | (d) 2012 |
|---|---|---|---|---|
| 1 Distributable amount for 2012 from Part XI, line 7 | | | | 301,996. |
| 2 Undistributed income, if any, as of the end of 2012 | | | | |
| a Enter amount for 2011 only | | | 0. | |
| b Total for prior years: ____, ____, ____ | | 0. | | |
| 3 Excess distributions carryover, if any, to 2012 | | | | |
| a From 2007 | | | | |
| b From 2008 | | | | |
| c From 2009 | | | | |
| d From 2010 | | | | |
| e From 2011 5,155. | | | | |
| f Total of lines 3a through e | 5,155. | | | |
| 4 Qualifying distributions for 2012 from Part XII, line 4 ▶ $ 318,874. | | | | |
| a Applied to 2011, but not more than line 2a | | | 0. | |
| b Applied to undistributed income of prior years (Election required - see instructions) | | 0. | | |
| c Treated as distributions out of corpus (Election required - see instructions) | 0. | | | |
| d Applied to 2012 distributable amount | | | | 301,996. |
| e Remaining amount distributed out of corpus | 16,878. | | | |
| 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 | 22,033. | | | |
| 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 | 22,033. | | | |
| 10 Analysis of line 9. | | | | |
| a Excess from 2008 | | | | |
| b Excess from 2009 | | | | |
| c Excess from 2010 | | | | |
| d Excess from 2011 5,155. | | | | |
| e Excess from 2012 16,878. | | | | |

**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).)

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 ▶ [X] 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<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* | | | | |
| AUTISM SPEAKS<br>P.O. BOX 26402<br>LEHIGH VALLEY, PA 18002-6401 | N/A | PUBLIC | WALK NOW FOR AUTISM SPEAKS | 1,000. |
| BAYFRONT HEALTH FOUNDATION<br>701 SIXTH STREET SOUTH<br>ST PETERSBURG, FL 33701-4891 | N/A | PUBLIC | AUXILIARY SCHOLARSHIP ENDOWMENT FUND | 10,000. |
| ALL CHILDREN'S HOSPITAL FOUNDATION<br>P.O. BOX 3142<br>ST PETERSBURG, FL 33731 | N/A | PUBLIC | MEDICAL RESEARCH AND SUPPORT | 1,100. |
| ART FESTIVAL BETH-EL<br>400 PASADENA AVENUE SOUTH<br>ST PETERSBURG, FL 33707 | N/A | PUBLIC | ADVANCEMENT OF ART | 300. |
| BETH DILLINGER FOUNDATION<br>P.O. BOX 48533<br>ST PETERSBURG, FL 33743 | N/A | PUBLIC | NOURISH TO FLOURISH PROGRAM, DOORWAYS SCHOLARSHIP FUND | 9,500. |
| **Total** See continuation sheet(s) | | | ▶ 3a | 318,874. |
| *b Approved for future payment*<br><br>None | | | | |
| | | | | |
| | | | | |
| **Total** | | | ▶ 3b | 0. |

## Part XVI-A Analysis of Income-Producing Activities

| Enter gross amounts unless otherwise indicated. | Unrelated business income (a) Business code | Unrelated business income (b) Amount | Excluded by section 512, 513, or 514 (c) Exclusion code | Excluded by section 512, 513, or 514 (d) Amount | (e) Related or exempt function income |
|---|---|---|---|---|---|
| 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 | | | 14 | 5,084. | |
| 4 Dividends and interest from securities | | | 14 | 206,291. | |
| 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 | | | 14 | <2,318.> | |
| 8 Gain or (loss) from sales of assets other than inventory | | | 18 | 296,490. | |
| 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. | | 505,547. | 0. |

**13 Total.** Add line 12, columns (b), (d), and (e) 13 505,547.

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

**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

Margie R. Green 7/12/14 Chairman

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 |
|---|---|---|---|---|---|
| | LESLIE M. ROGAS | Leslie M Rogas | 7/10/14 | | P00149291 |
| | Firm's name ▶ LESLIE M. ROGAS | | | Firm's EIN ▶ | |
| | Firm's address ▶ 2926 BAYSHORE VISTA DRIVE TAMPA, FL 33611 | | | Phone no 813-786-7942 | |



223622 12-05-12

| **Schedule B** (Form 990, 990-EZ, or 990-PF) Department of the Treasury Internal Revenue Service | **Schedule of Contributors** ▶ Attach to Form 990, Form 990-EZ, or Form 990-PF. | OMB No 1545-0047 **2012** |
|---|---|---|

| Name of the organization | Employer identification number |
|---|---|
| MAURICE A. ROTHMAN & THELMA P. ROTHMAN FAMILY FOUNDATION, INC. | 59-2061386 |

**Organization type** (check one):

| **Filers of:** | **Section:** |
|---|---|
| Form 990 or 990-EZ | ☐ 501(c)( ) (enter number) organization |
| | ☐ 4947(a)(1) nonexempt charitable trust **not** treated as a private foundation |
| | ☐ 527 political organization |
| Form 990-PF | ☒ 501(c)(3) exempt private foundation |
| | ☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation |
| | ☐ 501(c)(3) taxable private foundation |

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

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

**General Rule**

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

**Special Rules**

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

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

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

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

| Name of organization | Employer identification number |
|---|---|
| MAURICE A. ROTHMAN & THELMA P. ROTHMAN FAMILY FOUNDATION, INC. | 59-2061386 |

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

| (a) No. | (b) Name, address, and ZIP + 4 | (c) Total contributions | (d) Type of contribution |
|---|---|---|---|
| 1 | ROTHMAN CHARITABLE LEAD TRUST<br>5700 70TH AVENUE NORTH<br>PINELLAS PARK, FL 33781 | $ 200,000. | Person [X]<br>Payroll [ ]<br>Noncash [ ]<br>(Complete Part II if there is a noncash contribution.) |
| | | $ | Person [ ]<br>Payroll [ ]<br>Noncash [ ]<br>(Complete Part II if there is a noncash contribution.) |
| | | $ | Person [ ]<br>Payroll [ ]<br>Noncash [ ]<br>(Complete Part II if there is a noncash contribution.) |
| | | $ | Person [ ]<br>Payroll [ ]<br>Noncash [ ]<br>(Complete Part II if there is a noncash contribution.) |
| | | $ | Person [ ]<br>Payroll [ ]<br>Noncash [ ]<br>(Complete Part II if there is a noncash contribution.) |
| | | $ | Person [ ]<br>Payroll [ ]<br>Noncash [ ]<br>(Complete Part II if there is a noncash contribution.) |

Name of organization

MAURICE A. ROTHMAN & THELMA P. ROTHMAN FAMILY FOUNDATION, INC.

Employer identification number

59-2061386

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

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

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

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

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

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

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

Name of organization
MAURICE A. ROTHMAN & THELMA P. ROTHMAN FAMILY FOUNDATION, INC.

Employer identification number
59-2061386

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

| (a) No. from Part I | (b) Purpose of gift | (c) Use of gift | (d) Description of how gift is held |
|---|---|---|---|
| | | | |

(e) Transfer of gift

| Transferee's name, address, and ZIP + 4 | Relationship of transferor to transferee |
|---|---|
| | |

| (a) No. from Part I | (b) Purpose of gift | (c) Use of gift | (d) Description of how gift is held |
|---|---|---|---|
| | | | |

(e) Transfer of gift

| Transferee's name, address, and ZIP + 4 | Relationship of transferor to transferee |
|---|---|
| | |

| (a) No. from Part I | (b) Purpose of gift | (c) Use of gift | (d) Description of how gift is held |
|---|---|---|---|
| | | | |

(e) Transfer of gift

| Transferee's name, address, and ZIP + 4 | Relationship of transferor to transferee |
|---|---|
| | |

| (a) No. from Part I | (b) Purpose of gift | (c) Use of gift | (d) Description of how gift is held |
|---|---|---|---|
| | | | |

(e) Transfer of gift

| Transferee's name, address, and ZIP + 4 | Relationship of transferor to transferee |
|---|---|
| | |

**Part IV** Capital Gains and Losses for Tax on [redacted]vestment 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 | 5000 SH DE STEPS ISSUER BARC | P | 09/15/11 | 10/01/12 |
| b | 2500 SH FCX STARS ISSUER BARC | P | 03/14/12 | 10/02/12 |
| c | 200 SH BLACKROCK CORE BOND TR | P | 01/14/09 | 10/10/12 |
| d | 600 SH BLACKROCK CORE BOND TR | P | 01/14/09 | 10/10/12 |
| e | 1700 SH BLACKROCK CORE BOND TR | P | 01/14/09 | 10/10/12 |
| f | 200 SH F&C/CLAYMORE TOTAL RTN | P | 02/23/10 | 10/17/12 |
| g | 200 SH F&C/CLAYMORE TOTAL RTN | P | 02/23/10 | 10/17/12 |
| h | 4600 SH F&C/CLAYMORE TOTAL RTN | P | 02/23/10 | 10/17/12 |
| i | 25000 SH BANK OF AMERICA CORP CLD | P | 05/25/11 | 11/27/12 |
| j | 1000 SH AMERIPRISE FINANCIAL INC | P | 05/27/09 | 11/09/12 |
| k | 1000 SH AMERICAN FINANCIAL GROUP | P | 09/22/10 | 11/09/12 |
| l | 1000 SH PUBLIC STORAGE PFD SHR | P | 04/05/11 | 11/09/12 |
| m | 542 SH PUBLIC STORAGE (PSA) | P | 07/19/11 | 11/12/12 |
| n | 458 SH PUBLIC STORAGE (PSA) | P | 07/19/11 | 11/09/12 |
| o | 1000 SH TELEPHONE & DATA SYSTEM | P | 11/16/10 | 11/09/12 |

| | (e) Gross sales price | (f) Depreciation allowed (or allowable) | (g) Cost or other basis plus expense of sale | (h) Gain or (loss) (e) plus (f) minus (g) |
|---|---|---|---|---|
| a | 50,000. | | 50,000. | 0. |
| b | 27,650. | | 25,000. | 2,650. |
| c | 3,103. | | 2,230. | 873. |
| d | 9,309. | | 6,696. | 2,613. |
| e | 26,374. | | 18,989. | 7,385. |
| f | 4,234. | | 3,096. | 1,138. |
| g | 4,234. | | 3,098. | 1,136. |
| h | 97,390. | | 71,300. | 26,090. |
| i | 25,000. | | 25,000. | 0. |
| j | 27,910. | | 25,000. | 2,910. |
| k | 27,449. | | 25,000. | 2,449. |
| l | 28,129. | | 25,000. | 3,129. |
| m | 14,797. | | 13,550. | 1,247. |
| n | 12,554. | | 11,450. | 1,104. |
| o | 27,194. | | 25,000. | 2,194. |

| | 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 | | | | 0. |
| b | | | | 2,650. |
| c | | | | 873. |
| d | | | | 2,613. |
| e | | | | 7,385. |
| f | | | | 1,138. |
| g | | | | 1,136. |
| h | | | | 26,090. |
| i | | | | 0. |
| j | | | | 2,910. |
| k | | | | 2,449. |
| l | | | | 3,129. |
| m | | | | 1,247. |
| n | | | | 1,104. |
| o | | | | 2,194. |

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

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

| | (a) List and describe the kind(s) of property sold, e g , real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co. | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo , day, yr ) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | 1000 SH US CELLULAR CORP (USM) | P | 05/09/11 | 11/09/12 |
| b | 1000 SH TELEPHONE & DATA SYSTEM | P | 03/21/11 | 11/09/12 |
| c | 1000 SH VORNADO REALTY TR SER J | P | 04/13/11 | 11/09/12 |
| d | 5000 SH SP500 STARS ISSUER BAC | P | 06/07/12 | 12/14/12 |
| e | 8000 SH OIL SVCS ARN ISSUER BARC | P | 11/23/11 | 01/25/13 |
| f | 5000 SH C JPM WFC ARN ISSUER BAC | P | 05/24/12 | 02/13/13 |
| g | 3000 SH SP500 STARS ISSUER RBC | P | 08/16/12 | 02/25/13 |
| h | 98000 SH CD CAPMARK BANK | P | 02/26/09 | 03/04/13 |
| i | 100000 SH BANK OF AMERICA CORP CLD | P | 03/15/10 | 03/18/13 |
| j | 4000 SH COPPER CLIRN ISSUER BAC | P | 01/04/12 | 03/13/13 |
| k | 5000 SH RICI ARN ISSUER BAC | P | 01/27/12 | 03/22/13 |
| l | 5000 SH DJUBSAG ARN ISSUER SEK | P | 02/24/12 | 04/30/13 |
| m | 1000 SH PROTECTIVE LIFE CORP | P | 05/15/12 | 04/16/13 |
| n | 50000 SH BANK OF AMERICA CORP CLD | P | 04/30/10 | 05/06/13 |
| o | 1000 SH AMERICAN FINANCIAL GROUP | P | 09/22/10 | 05/23/13 |

| | (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 | 27,629. | | 25,000. | 2,629. |
| b | 27,759. | | 25,000. | 2,759. |
| c | 27,113. | | 25,000. | 2,113. |
| d | 52,500. | | 50,000. | 2,500. |
| e | 100,674. | | 80,000. | 20,674. |
| f | 67,800. | | 50,000. | 17,800. |
| g | 31,329. | | 30,000. | 1,329. |
| h | 98,000. | | 98,000. | 0. |
| i | 100,000. | | 100,000. | 0. |
| j | 40,497. | | 40,000. | 497. |
| k | 49,081. | | 50,000. | <919.> |
| l | 48,205. | | 50,000. | <1,795.> |
| m | 26,119. | | 25,000. | 1,119. |
| n | 50,000. | | 50,000. | 0. |
| o | 27,609. | | 25,000. | 2,609. |

| | 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 | | | | 2,629. |
| b | | | | 2,759. |
| c | | | | 2,113. |
| d | | | | 2,500. |
| e | | | | 20,674. |
| f | | | | 17,800. |
| g | | | | 1,329. |
| h | | | | 0. |
| i | | | | 0. |
| j | | | | 497. |
| k | | | | <919.> |
| l | | | | <1,795.> |
| m | | | | 1,119. |
| n | | | | 0. |
| o | | | | 2,609. |

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 | 1000 SH AFFILIATED MANAGERS | P | 08/01/12 | 05/21/13 |
| b | 1000 SH DISCOVER FINANCIAL SVS | P | 10/09/12 | 05/21/13 |
| c | 1000 SH FIRST REPUBLIC BANK | P | 11/15/12 | 05/21/13 |
| d | 1000 SH KAYNE ANDERSON MLP CLD | P | 05/03/11 | 05/13/13 |
| e | 1000 SH NATL RETAIL PPTY INC | P | 02/15/12 | 05/21/13 |
| f | 1000 SH PITNEY BOWES INC | P | 11/19/12 | 05/21/13 |
| g | 1000 SH REGENCY CENTERS CORP | P | 02/07/12 | 05/21/13 |
| h | 1000 SH STANLEY BLACK&DECKER | P | 07/18/12 | 05/21/13 |
| i | 100000 SH BANK OF AMERICA CORP CLD | P | 05/26/10 | 06/07/13 |
| j | 5000 SH COMDTY ARN ISSUER BAC | P | 05/24/11 | 06/04/13 |
| k | 5000 SH GOLD ARN ISSUER SEK | P | 03/29/12 | 06/04/13 |
| l | 5000 SH SP500 STARS ISSUER CS | P | 12/20/12 | 06/28/13 |
| m | 5000 SH BRENT CLIRN ISSUER BAC | P | 09/26/12 | 07/24/13 |
| n | 5000 SH MXBR ARN ISSUER HSBC | P | 09/28/12 | 07/23/13 |
| o | 5000 SH BRC CLIRN ISSUER BAC | P | 09/14/11 | 08/30/13 |

| | (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 | 26,468. | | 25,000. | 1,468. |
| b | 26,623. | | 25,000. | 1,623. |
| c | 25,810. | | 25,000. | 810. |
| d | 25,125. | | 25,000. | 125. |
| e | 27,361. | | 25,000. | 2,361. |
| f | 25,579. | | 25,000. | 579. |
| g | 27,586. | | 25,000. | 2,586. |
| h | 26,643. | | 25,000. | 1,643. |
| i | 100,000. | | 100,000. | 0. |
| j | 42,800. | | 50,000. | <7,200.> |
| k | 41,523. | | 50,000. | <8,477.> |
| l | 51,875. | | 50,000. | 1,875. |
| m | 48,600. | | 50,000. | <1,400.> |
| n | 40,599. | | 50,000. | <9,401.> |
| o | 47,519. | | 50,000. | <2,481.> |

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

| | (i) F M.V. as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of col. (i) over col (j), if any | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col (k), but not less than "-0-") |
|---|---|---|---|---|
| a | | | | 1,468. |
| b | | | | 1,623. |
| c | | | | 810. |
| d | | | | 125. |
| e | | | | 2,361. |
| f | | | | 579. |
| g | | | | 2,586. |
| h | | | | 1,643. |
| i | | | | 0. |
| j | | | | <7,200.> |
| k | | | | <8,477.> |
| l | | | | 1,875. |
| m | | | | <1,400.> |
| n | | | | <9,401.> |
| o | | | | <2,481.> |

| | | | |
|---|---|---|---|
| 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 | 1000 SH AXIS CAPITAL HLDGS LTD | P | 05/13/13 | 09/23/13 |
| b | 1000 SH BOSTON PROPERTIES INC | P | 03/18/13 | 09/24/13 |
| c | 1000 SH BB&T CORPORATION | P | 04/24/13 | 09/23/13 |
| d | 1000 SH PITNEY BOWES INC | P | 11/19/12 | 09/24/13 |
| e | 475 SH CENTURYLINK INC SHS | P | 08/07/12 | 10/09/12 |
| f | 115 SH CF INDS HLDGS INC | P | 05/08/12 | 10/11/12 |
| g | 650 SH DU PONT E I DE NEMOURS | P | 04/03/12 | 11/14/12 |
| h | 600 SH FLUOR CORP NEW DEL COM | P | 09/07/11 | 11/14/12 |
| i | 2450 FIFTH THIRD BANCORP | P | 09/13/12 | 11/14/12 |
| j | 775 SH EATON CORP | P | 08/01/12 | 12/03/12 |
| k | 475 SH KIMBERLY CLARK | P | 05/08/12 | 12/04/12 |
| l | 275 SH SCHLUMBERGER LTD | P | 05/08/12 | 12/11/12 |
| m | 1100 SH UNITEDHEALTH GROUP INC | P | 03/01/11 | 12/11/12 |
| n | 150 SH YUM BRANDS INC | P | 07/26/10 | 12/11/12 |
| o | 1025 SH US BANCORP (NEW) | P | 11/14/12 | 01/16/13 |

| | (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 | 19,646. | | 25,000. | <5,354.> |
| b | 20,100. | | 25,000. | <4,900.> |
| c | 19,920. | | 25,000. | <5,080.> |
| d | 25,156. | | 25,000. | 156. |
| e | 18,661. | | 19,894. | <1,233.> |
| f | 25,146. | | 20,616. | 4,530. |
| g | 27,685. | | 34,633. | <6,948.> |
| h | 31,385. | | 35,368. | <3,983.> |
| i | 34,125. | | 38,220. | <4,095.> |
| j | 40,227. | | 33,945. | 6,282. |
| k | 40,619. | | 37,568. | 3,051. |
| l | 19,962. | | 18,950. | 1,012. |
| m | 60,364. | | 47,035. | 13,329. |
| n | 10,139. | | 6,334. | 3,805. |
| o | 33,975. | | 32,445. | 1,530. |

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

| | (i) F M V. as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of col (i) over col. (j), if any | (l) Losses (from col. (h)) Gains (excess of col (h) gain over col (k), but not less than "-0-") |
|---|---|---|---|---|
| a | | | | <5,354.> |
| b | | | | <4,900.> |
| c | | | | <5,080.> |
| d | | | | 156. |
| e | | | | <1,233.> |
| f | | | | 4,530. |
| g | | | | <6,948.> |
| h | | | | <3,983.> |
| i | | | | <4,095.> |
| j | | | | 6,282. |
| k | | | | 3,051. |
| l | | | | 1,012. |
| m | | | | 13,329. |
| n | | | | 3,805. |
| o | | | | 1,530. |

| | | | |
|---|---|---|---|
| 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 [redacted]estment 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 | 750 SH BALL CORP COM | P | 11/14/12 | 02/06/13 |
| b | 85 SH CF INDS HLDGS INC | P | 05/08/12 | 02/06/13 |
| c | 225 SH SCHLUMBERGER LTD | P | 05/08/12 | 02/06/13 |
| d | 250 SH YUM BRANDS INC | P | 07/26/10 | 02/06/13 |
| e | 675 SH AMER EAGLE OUTFITTERS | P | 09/13/12 | 03/07/13 |
| f | 1050 SH AMER EAGLE OUTFITTERS | P | 11/14/12 | 03/07/13 |
| g | 900 SH CBS CORP NEW | P | 08/07/12 | 03/07/13 |
| h | 400 SH GOLDCORP INC | P | 12/05/11 | 03/07/13 |
| i | 650 SH GILEAD SCIENCES INC COM | P | 07/10/12 | 03/07/13 |
| j | 200 SH GILEAD SCIENCES INC COM | P | 07/23/12 | 03/07/13 |
| k | 700 SH ELI LILLY & CO | P | 12/04/12 | 03/07/13 |
| l | 950 SH PIER 1 IMPORTS | P | 10/09/12 | 03/07/13 |
| m | 950 SH PIER 1 IMPORTS | P | 10/11/12 | 03/07/13 |
| n | 400 SH TRW AUTOMOTIVE HLDGS CRP | P | 09/13/12 | 03/07/13 |
| o | 225 SH BUNGE LIMITED | P | 02/06/13 | 04/19/13 |

| | (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 | 33,817. | | 32,496. | 1,321. |
| b | 19,223. | | 15,237. | 3,986. |
| c | 17,650. | | 15,504. | 2,146. |
| d | 15,706. | | 10,556. | 5,150. |
| e | 13,728. | | 15,958. | <2,230.> |
| f | 21,355. | | 20,836. | 519. |
| g | 40,487. | | 32,212. | 8,275. |
| h | 13,108. | | 20,671. | <7,563.> |
| i | 29,169. | | 16,752. | 12,417. |
| j | 8,975. | | 5,188. | 3,787. |
| k | 38,729. | | 34,522. | 4,207. |
| l | 20,959. | | 18,142. | 2,817. |
| m | 20,959. | | 18,028. | 2,931. |
| n | 23,538. | | 18,733. | 4,805. |
| o | 15,332. | | 17,897. | <2,565.> |

| | 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 | | | | 1,321. |
| b | | | | 3,986. |
| c | | | | 2,146. |
| d | | | | 5,150. |
| e | | | | <2,230.> |
| f | | | | 519. |
| g | | | | 8,275. |
| h | | | | <7,563.> |
| i | | | | 12,417. |
| j | | | | 3,787. |
| k | | | | 4,207. |
| l | | | | 2,817. |
| m | | | | 2,931. |
| n | | | | 4,805. |
| o | | | | <2,565.> |

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

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

| | (a) List and describe the kind(s) of property sold, e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo , day, yr ) | (d) Date sold (mo , day, yr.) |
|---|---|---|---|---|
| 1a | 400 SH CATERPILLAR INC DEL | P | 07/26/12 | 04/04/13 |
| b | 950 SH URBAN OUTFITTERS INC | P | 09/13/12 | 04/04/13 |
| c | 500 SH ZIMMER HOLDINGS INC COM | P | 12/11/12 | 04/04/13 |
| d | 100 SH BOEING COMPANY | P | 07/09/10 | 05/24/13 |
| e | 450 SH EASTMAN CHEMICAL CO COM | P | 03/07/13 | 05/14/13 |
| f | 410 SH HOME DEPOT INC | P | 01/11/12 | 05/21/13 |
| g | 325 SH INTUIT INC | P | 08/07/12 | 04/29/13 |
| h | 275 SH INTUIT INC | P | 10/09/12 | 04/29/13 |
| i | 600 SH MYLAN INC | P | 11/14/12 | 05/14/13 |
| j | 525 SH MYLAN INC | P | 03/07/13 | 05/14/13 |
| k | 150 SH SPDR GOLD TRUST | P | 12/11/09 | 05/14/13 |
| l | 1000 SH BEMIS CO INC | P | 01/16/13 | 06/11/13 |
| m | 575 SH CAMERON INTL CORP | P | 02/06/13 | 06/11/13 |
| n | 250 SH FREEPRT-MCMRAN CPR & GLD | P | 12/06/11 | 06/11/13 |
| o | 625 SH PFIZER INC | P | 03/07/13 | 06/11/13 |

| | (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 | 33,668. | | 33,574. | 94. |
| b | 37,368. | | 37,627. | <259.> |
| c | 37,633. | | 33,579. | 4,054. |
| d | 9,893. | | 6,449. | 3,444. |
| e | 30,248. | | 32,455. | <2,207.> |
| f | 32,337. | | 17,799. | 14,538. |
| g | 19,375. | | 19,490. | <115.> |
| h | 16,394. | | 16,531. | <137.> |
| i | 17,502. | | 15,463. | 2,039. |
| j | 15,315. | | 16,138. | <823.> |
| k | 20,676. | | 16,206. | 4,470. |
| l | 39,199. | | 35,236. | 3,963. |
| m | 35,217. | | 37,292. | <2,075.> |
| n | 7,600. | | 10,233. | <2,633.> |
| o | 17,843. | | 17,724. | 119. |

| | 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 | | | | 94. |
| b | | | | <259.> |
| c | | | | 4,054. |
| d | | | | 3,444. |
| e | | | | <2,207.> |
| f | | | | 14,538. |
| g | | | | <115.> |
| h | | | | <137.> |
| i | | | | 2,039. |
| j | | | | <823.> |
| k | | | | 4,470. |
| l | | | | 3,963. |
| m | | | | <2,075.> |
| n | | | | <2,633.> |
| o | | | | 119. |

| | | | |
|---|---|---|---|
| 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 | 600 SH TIME WARNER INC SHS | P | 03/07/13 | 06/11/13 |
| b | 300 SH WAL-MART STORES INC | P | 02/02/12 | 06/11/13 |
| c | 350 SH ALEXION PHARMS INC | P | 04/04/13 | 07/17/13 |
| d | 1125 SH DELTA AIR LINES INC | P | 03/07/13 | 07/17/13 |
| e | 375 SH GLAXOSMITHKLINE PLC ADR | P | 04/19/13 | 07/17/13 |
| f | 950 SH ORACLE CORP $0.01 DEL | P | 03/07/13 | 07/17/13 |
| g | 725 SH RAYONIER INC REIT | P | 07/10/12 | 07/17/13 |
| h | 330 SH SOURCEFIRE INC | P | 07/17/13 | 07/23/13 |
| i | 440 WADDELL & REED FINL | P | 05/14/13 | 07/17/13 |
| j | 100 SH BOEING COMPANY | P | 07/09/10 | 07/29/13 |
| k | 200 SH DEERE CO | P | 06/11/10 | 08/07/13 |
| l | 775 SH EATON CORP PLC | P | 12/04/12 | 08/02/13 |
| m | 165 SH JPMORGAN CHASE & CO | P | 05/24/13 | 08/07/13 |
| n | 300 SH KELLOGG CO | P | 12/11/12 | 08/02/13 |
| o | 525 SH QUALCOMM INC | P | 02/06/13 | 08/08/13 |

| | (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 | 34,278. | | 33,981. | 297. |
| b | 22,613. | | 18,585. | 4,028. |
| c | 38,242. | | 34,310. | 3,932. |
| d | 22,094. | | 17,827. | 4,267. |
| e | 19,510. | | 18,930. | 580. |
| f | 30,669. | | 34,173. | <3,504.> |
| g | 41,609. | | 33,083. | 8,526. |
| h | 24,902. | | 19,655. | 5,247. |
| i | 21,538. | | 20,288. | 1,250. |
| j | 10,393. | | 6,449. | 3,944. |
| k | 16,263. | | 11,759. | 4,504. |
| l | 51,132. | | 40,227. | 10,905. |
| m | 9,140. | | 8,747. | 393. |
| n | 19,567. | | 16,976. | 2,591. |
| o | 34,816. | | 35,143. | <327.> |

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

| | (i) F.M V as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of col (i) over col (j), if any | (l) Losses (from col. (h)) Gains (excess of col (h) gain over col. (k), but not less than "-0-") |
|---|---|---|---|---|
| a | | | | 297. |
| b | | | | 4,028. |
| c | | | | 3,932. |
| d | | | | 4,267. |
| e | | | | 580. |
| f | | | | <3,504.> |
| g | | | | 8,526. |
| h | | | | 5,247. |
| i | | | | 1,250. |
| j | | | | 3,944. |
| k | | | | 4,504. |
| l | | | | 10,905. |
| m | | | | 393. |
| n | | | | 2,591. |
| o | | | | <327.> |

| | | | |
|---|---|---|---|
| 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 | 1370 SH VODAFONE GROP PLC SP ADR | P | 05/14/13 | 08/07/13 |
| b | 58 SH CST BRANDS INC SHS | P | 12/11/12 | 09/11/13 |
| c | 375 SH GENERAL MILLS | P | 08/07/13 | 09/11/13 |
| d | 175 SH HOME DEPOT INC | P | 01/11/12 | 09/25/13 |
| e | 500 SH MICRON TECHNOLOGY INC | P | 07/17/13 | 09/25/13 |
| f | 300 SH PACCAR INC | P | 05/21/13 | 09/11/13 |
| g | 275 SH THE MOSAIC COMPANY | P | 02/22/10 | 09/12/13 |
| h | 525 SH VALERO ENERGY CORP NEW | P | 12/11/12 | 09/11/13 |
| i | 600 SH NIKE INC CL B | P | 04/04/13 | 09/11/13 |
| j | 139 SH ISHARES DOW JONES US | P | 03/17/09 | 10/17/12 |
| k | 412 SH ISHARES DOW JONES US | P | 07/14/09 | 10/17/12 |
| l | 388 SH ISHARES DOW JONES US | P | 09/30/09 | 10/17/12 |
| m | 48 SH ISHARES DOW JONES US | P | 04/01/10 | 10/17/12 |
| n | 60 SH ISHARES DOW JONES US | P | 07/22/10 | 10/17/12 |
| o | 16 SH ISHARES DOW JONES US | P | 09/30/10 | 10/17/12 |

| | (e) Gross sales price | (f) Depreciation allowed (or allowable) | (g) Cost or other basis plus expense of sale | (h) Gain or (loss) (e) plus (f) minus (g) |
|---|---|---|---|---|
| a | 41,896. | | 40,737. | 1,159. |
| b | 1,753. | | 1,416. | 337. |
| c | 18,205. | | 19,725. | <1,520.> |
| d | 13,214. | | 7,597. | 5,617. |
| e | 8,586. | | 6,780. | 1,806. |
| f | 16,771. | | 16,403. | 368. |
| g | 12,262. | | 16,680. | <4,418.> |
| h | 18,776. | | 15,835. | 2,941. |
| i | 40,640. | | 35,461. | 5,179. |
| j | 5,956. | | 3,486. | 2,470. |
| k | 17,654. | | 11,304. | 6,350. |
| l | 16,625. | | 12,340. | 4,285. |
| m | 2,057. | | 1,618. | 439. |
| n | 2,571. | | 1,853. | 718. |
| o | 686. | | 514. | 172. |

| | 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 | | | | 1,159. |
| b | | | | 337. |
| c | | | | <1,520.> |
| d | | | | 5,617. |
| e | | | | 1,806. |
| f | | | | 368. |
| g | | | | <4,418.> |
| h | | | | 2,941. |
| i | | | | 5,179. |
| j | | | | 2,470. |
| k | | | | 6,350. |
| l | | | | 4,285. |
| m | | | | 439. |
| n | | | | 718. |
| o | | | | 172. |

| | | | |
|---|---|---|---|
| 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 [redacted]estment Income

| | (a) List and describe the kind(s) of property sold, e g , real estate, 2-story brick warehouse; or common stock, 200 shs MLC Co | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo , day, yr ) | (d) Date sold (mo , day, yr ) |
|---|---|---|---|---|
| 1a | 25 SH ISHARES DOW JONES US | P | 07/27/11 | 10/17/12 |
| b | 145 SH ISHARES DOW JONES US | P | 09/28/11 | 10/17/12 |
| c | 71 SH ISHARES DOW JONES US | P | 07/27/12 | 10/17/12 |
| d | 1 SH ISHARES CORE S&P MID-CAP | P | 07/22/10 | 02/05/13 |
| e | 6 SH ISHARES CORE S&P MID-CAP | P | 07/27/11 | 02/05/13 |
| f | 12 SH ISHARES CORE S&P MID-CAP | P | 09/28/11 | 02/05/13 |
| g | 5 SH ISHARES CORE S&P MID-CAP | P | 01/24/12 | 02/05/13 |
| h | 673 SH ISHARES RUSSELL 1000 | P | 07/14/09 | 02/05/13 |
| i | 109 SH ISHARES DJ US FINL | P | 02/08/11 | 02/05/13 |
| j | 42 SH ISHARES IBOXX $ | P | 03/17/09 | 02/05/13 |
| k | 224 SH ISHARES IBOXX $ | P | 07/14/09 | 02/05/13 |
| l | 255 SH ISHARES IBOXX $ | P | 09/30/09 | 02/05/13 |
| m | 30 SH ISHARES CORE TOTAL U.S. | P | 03/17/09 | 02/05/13 |
| n | 219 SH ISHARES CORE TOTAL U.S. | P | 07/14/09 | 02/05/13 |
| o | 285 SH ISHARES CORE TOTAL U.S. | P | 09/30/09 | 02/05/13 |

| | (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 | 1,071. | | 1,108. | <37.> |
| b | 6,213. | | 5,175. | 1,038. |
| c | 3,042. | | 2,836. | 206. |
| d | 110. | | 75. | 35. |
| e | 659. | | 572. | 87. |
| f | 1,317. | | 987. | 330. |
| g | 549. | | 465. | 84. |
| h | 52,684. | | 31,058. | 21,626. |
| i | 7,129. | | 6,617. | 512. |
| j | 4,994. | | 3,894. | 1,100. |
| k | 26,636. | | 22,548. | 4,088. |
| l | 30,322. | | 27,168. | 3,154. |
| m | 3,301. | | 3,015. | 286. |
| n | 24,097. | | 22,478. | 1,619. |
| o | 31,359. | | 29,884. | 1,475. |

| | 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 | | | | <37.> |
| b | | | | 1,038. |
| c | | | | 206. |
| d | | | | 35. |
| e | | | | 87. |
| f | | | | 330. |
| g | | | | 84. |
| h | | | | 21,626. |
| i | | | | 512. |
| j | | | | 1,100. |
| k | | | | 4,088. |
| l | | | | 3,154. |
| m | | | | 286. |
| n | | | | 1,619. |
| o | | | | 1,475. |

| | | | |
|---|---|---|---|
| 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 | 537 SH ISHARES S&P 500 | P | 07/14/09 | 02/05/13 |
| b | 36 SH ISHARES DJ US CONSUMER | P | 01/24/12 | 02/05/13 |
| c | 32 SH ISHARES DOW JONES US | P | 03/17/09 | 02/05/13 |
| d | 402 SH ISHARES DOW JONES US | P | 01/24/12 | 02/05/13 |
| e | 18 SH ISHARES S&P SMALLCAP 600 | P | 07/22/10 | 02/05/13 |
| f | 6 SH ISHARES S&P SMALLCAP 600 | P | 09/30/10 | 02/05/13 |
| g | 6 SH ISHARES S&P SMALLCAP 600 | P | 07/27/11 | 02/05/13 |
| h | 55 SH ISHARES RUSSELL 1000 | P | 07/14/09 | 06/17/13 |
| i | 69 SH ISHARES DJ US FINL | P | 02/08/11 | 06/17/13 |
| j | 195 SH ISHARES MSCI EAFE INDEX | P | 07/14/09 | 06/17/13 |
| k | 309 SH ISHARES MSCI EAFE INDEX | P | 09/30/09 | 06/17/13 |
| l | 35 SH ISHARES MSCI EAFE INDEX | P | 01/21/10 | 06/17/13 |
| m | 239 SH ISHARES MSCI EAFE INDEX | P | 03/16/10 | 06/17/13 |
| n | 406 SH ISHARES MSCI EMERGING | P | 09/28/11 | 06/17/13 |
| o | 892 SH ISHARES GOLD TR | P | 01/24/12 | 06/17/13 |

| | (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 | 42,706. | | 25,249. | 17,457. |
| b | 2,892. | | 2,490. | 402. |
| c | 2,898. | | 1,549. | 1,349. |
| d | 27,152. | | 23,864. | 3,288. |
| e | 1,546. | | 1,067. | 479. |
| f | 515. | | 370. | 145. |
| g | 515. | | 436. | 79. |
| h | 4,695. | | 2,538. | 2,157. |
| i | 5,006. | | 4,189. | 817. |
| j | 11,844. | | 8,782. | 3,062. |
| k | 18,769. | | 16,902. | 1,867. |
| l | 2,126. | | 1,964. | 162. |
| m | 14,517. | | 13,342. | 1,175. |
| n | 16,159. | | 15,198. | 961. |
| o | 11,979. | | 14,486. | <2,507.> |

| | 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 | | | | 17,457. |
| b | | | | 402. |
| c | | | | 1,349. |
| d | | | | 3,288. |
| e | | | | 479. |
| f | | | | 145. |
| g | | | | 79. |
| h | | | | 2,157. |
| i | | | | 817. |
| j | | | | 3,062. |
| k | | | | 1,867. |
| l | | | | 162. |
| m | | | | 1,175. |
| n | | | | 961. |
| o | | | | <2,507.> |

| | | | |
|---|---|---|---|
| 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

**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 | 176 SH ISHARES JP MORGAN EM BON | P | 01/24/12 | 06/17/13 |
| b | 27 SH ISHARES TR DOW JONES US | P | 12/06/11 | 06/17/13 |
| c | 57 SH ISHARES S&P 500 | P | 07/14/09 | 06/17/13 |
| d | 57 SH ISHARES DJ US CONSUMER | P | 01/24/12 | 06/17/13 |
| e | 60 SH ISHARES DOW JONES US | P | 03/17/09 | 06/17/13 |
| f | 1 SH ISHARES DOW JONES US | P | 07/14/09 | 06/17/13 |
| g | 74 SH SECTOR SPDR INDUSTRIAL | P | 02/05/13 | 06/17/13 |
| h | 1434 SH RS GL NAT RES CL Y | P | 10/17/12 | 06/17/13 |
| i | .9280 SH RS GL NAT RES CL Y | P | 02/05/13 | 06/17/13 |
| j | 31 SH RS GL NAT RES CL Y | P | 02/05/13 | 06/17/13 |
| k | 9 SH ISHARES CORE S&P MID-CAP | P | 01/24/12 | 09/25/13 |
| l | 26 SH ISHARES MSCI EAFE | P | 03/16/10 | 09/25/13 |
| m | 16 SH ISHARES MSCI EMERGING | P | 09/28/11 | 09/25/13 |
| n | 4 SH ISHARES U.S. TECHNOLOGY | P | 12/06/11 | 09/25/13 |
| o | 5 SH ISHARES S&P 500 | P | 07/14/09 | 09/25/13 |

| | (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 | 20,106. | | 19,286. | 820. |
| b | 2,070. | | 1,783. | 287. |
| c | 4,932. | | 2,680. | 2,252. |
| d | 5,089. | | 3,943. | 1,146. |
| e | 6,153. | | 2,905. | 3,248. |
| f | 102. | | 53. | 49. |
| g | 3,235. | | 3,000. | 235. |
| h | 54,865. | | 55,883. | <1,018.> |
| i | 36. | | 36. | 0. |
| j | 1,186. | | 1,191. | <5.> |
| k | 1,115. | | 836. | 279. |
| l | 1,669. | | 1,452. | 217. |
| m | 667. | | 599. | 68. |
| n | 318. | | 264. | 54. |
| o | 449. | | 235. | 214. |

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

| | (i) F M V as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of col (i) over col. (j), if any | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col (k), but not less than "-0-") |
|---|---|---|---|---|
| a | | | | 820. |
| b | | | | 287. |
| c | | | | 2,252. |
| d | | | | 1,146. |
| e | | | | 3,248. |
| f | | | | 49. |
| g | | | | 235. |
| h | | | | <1,018.> |
| i | | | | 0. |
| j | | | | <5.> |
| k | | | | 279. |
| l | | | | 217. |
| m | | | | 68. |
| n | | | | 54. |
| o | | | | 214. |

| | | |
|---|---|---|
| 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

**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 SH ISHARES U.S. ENERGY ETF | P | 06/17/13 | 09/25/13 |
| b | 7 SH ISHARES U.S. HEALTHCARE | P | 07/14/09 | 09/25/13 |
| c | 7 SH ISHARES S&P SMALLCAP 600 | P | 07/27/11 | 09/25/13 |
| d | 22 SH ISHARES S&P SMALLCAP 600 | P | 09/28/11 | 09/25/13 |
| e | 6 SH ISHARES S&P SMALLCAP 600 | P | 01/24/12 | 09/25/13 |
| f | 52 SH SECTOR SPDR INDUSTRIAL | P | 02/05/13 | 09/25/13 |
| g | CST BRANDS INC | P | 12/11/12 | 05/13/13 |
| h | LAUDUS ROSENBERG DISTRIBUTION | P | Various | 05/15/13 |
| i | ML SYSTEMATIC MOMENTUM FUTURESAACCESS LLC - SEC 1 | P | Various | Various |
| j | ML SYSTEMATIC MOMENTUM FUTURESAACCESS LLC - SEC 1 | P | Various | Various |
| k | ML SYSTEMATIC MOMENTUM FUTURESAACCESS LLC - FROM | P | Various | Various |
| l | ML SYSTEMATIC MOMENTUM FUTURESAACCESS LLC - FROM | P | Various | Various |
| m | POWERSHARES DB AGRICULTURE FUND - SEC 1256 | P | Various | Various |
| n | POWERSHARES DB AGRICULTURE FUND - SEC 1256 | P | Various | Various |
| o | STATE OF ISRAEL - 5TH JUBILEE ISSUE | P | 10/01/07 | 10/01/12 |

| | (e) Gross sales price | (f) Depreciation allowed (or allowable) | (g) Cost or other basis plus expense of sale | (h) Gain or (loss) (e) plus (f) minus (g) |
|---|---|---|---|---|
| a | 48. | | 46. | 2. |
| b | 750. | | 372. | 378. |
| c | 716. | | 509. | 207. |
| d | 2,251. | | 1,360. | 891. |
| e | 614. | | 448. | 166. |
| f | 2,443. | | 2,108. | 335. |
| g | 10. | | 8. | 2. |
| h | 399. | | | 399. |
| i | | | 974. | <974.> |
| j | | | 1,460. | <1,460.> |
| k | | | 319. | <319.> |
| l | | | 24. | <24.> |
| m | | | 1,211. | <1,211.> |
| n | | | 1,816. | <1,816.> |
| o | 25,000. | | 25,000. | 0. |

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

| | (i) F.M V as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of col. (i) over col. (j), if any | (l) Losses (from col. (h)) Gains (excess of col (h) gain over col (k), but not less than "-0-") |
|---|---|---|---|---|
| a | | | | 2. |
| b | | | | 378. |
| c | | | | 207. |
| d | | | | 891. |
| e | | | | 166. |
| f | | | | 335. |
| g | | | | 2. |
| h | | | | 399. |
| i | | | | <974.> |
| j | | | | <1,460.> |
| k | | | | <319.> |
| l | | | | <24.> |
| m | | | | <1,211.> |
| n | | | | <1,816.> |
| o | | | | 0. |

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

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

**Part IV** Capital Gains and Losses for Tax on [redacted]stment 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 | STATE OF ISRAEL - 5TH JUBILEE ISSUE | P | 06/15/08 | 06/01/13 |
| b | POWERSHARES DB AGRICULTURE FUND - SEC 1256 | P | Various | Various |
| c | POWERSHARES DB AGRICULTURE FUND - SEC 1256 | P | Various | Various |
| d | 1583 UNITS POWERSHARES DB AGRICULTURE FUND | P | 07/27/12 | 06/17/13 |
| e | 438 UNITS POWERSHARES DB AGRICULTURE FUND | P | 02/05/13 | 06/17/13 |
| f | KKR & CO LP - FROM K-1 | P | Various | Various |
| g | KKR & CO LP - FROM K-1 | P | Various | Various |
| h | KKR & CO LP - SEC 1256 | P | Various | Various |
| i | 760 UNITS KKR & CO LP | P | 06/11/13 | 07/17/13 |
| j | OAKTREE CAPITAL GROUP, LLC - FROM K-1 | P | Various | Various |
| k | OAKTREE CAPITAL GROUP, LLC - FROM K-1 | P | Various | Various |
| l | OAKTREE CAPITAL GROUP, LLC - SEC 1256 | P | Various | Various |
| m | 335 UNITS OAKTREE CAPITAL GROUP LLC | P | 06/11/13 | 07/17/13 |
| n | Capital Gains Dividends | | | |
| 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 | 50,000. | | 50,000. | 0. |
| b | | | 1,308. | <1,308.> |
| c | | | 1,963. | <1,963.> |
| d | 40,213. | | 41,266. | <1,053.> |
| e | 11,126. | | 11,699. | <573.> |
| f | 3. | | | 3. |
| g | 80. | | | 80. |
| h | | | 1. | <1.> |
| i | 15,138. | | 14,781. | 357. |
| j | 5. | | | 5. |
| k | 56. | | | 56. |
| l | 1. | | | 1. |
| m | 17,726. | | 17,836. | <110.> |
| n | 621. | | | 621. |
| 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 | | | | 0. |
| b | | | | <1,308.> |
| c | | | | <1,963.> |
| d | | | | <1,053.> |
| e | | | | <573.> |
| f | | | | 3. |
| g | | | | 80. |
| h | | | | <1.> |
| i | | | | 357. |
| j | | | | 5. |
| k | | | | 56. |
| l | | | | 1. |
| m | | | | <110.> |
| n | | | | 621. |
| 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 | 296,490. |
| 3 | Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c) If (loss), enter "-0-" in Part I, line 8 | 3 | N/A |

**Part XV Supplementary Information**

**3 Grants and Contributions Paid During the Year (Continuation)**

| Recipient<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 |
|---|---|---|---|---|
| BROOKWOOD FLORIDA-CENTRAL, INC.<br>901 SEVENTH AVENUE SOUTH<br>ST PETERSBURG, FL 33705 | N/A | PUBLIC | RESIDENTIAL PROGRAM TO HELP ABUSED & NEGLECTED TEEN GIRLS | 1,000. |
| BROWARD HOUSE<br>1726 SE 3RD AVENUE<br>FT LAUDERDALE, FL 33316 | N/A | PUBLIC | SUPPORT SERVICES FOR HIV/AIDS COMMUNITY | 200. |
| CHABAD JEWISH CENTER OF GREATER ST. PETERSBURG<br>4010 PARK ST NORTH<br>ST PETERSBURG, FL 33709 | N/A | PUBLIC | ADVANCEMENT OF RELIGION | 1,854. |
| CLOTHES TO KIDS, INC.<br>1059 NORTH HERCULES AVENUE<br>CLEARWATER, FL 33765 | N/A | PUBLIC | PROVIDE CLOTHING TO LOW-INCOME SCHOOL CHILDREN | 11,000. |
| COMMUNITY TAMPA BAY<br>1499 BEACH DRIVE SOUTHEAST UNIT C<br>ST PETERSBURG, FL 33701 | N/A | PUBLIC | PROMOTE DIALOGUE & RESPECT AMONG ALL CULTURES/RELIGIONS | 15,000. |
| CONGREGATION B'NAI ISRAEL<br>300 58TH STREET NORTH<br>ST PETERSBURG, FL 33710 | N/A | PUBLIC | ADVANCEMENT OF RELIGION | 500. |
| SUNCOASTERS OF ST. PETERSBURG<br>P.O. BOX 1731<br>ST PETERSBURG, FL 33731 | N/A | PUBLIC | AMBASSADOR SCHOLARSHIP PROGRAM | 980. |
| FREEFALL THEATRE COMPANY<br>6099 CENTRAL AVENUE<br>ST PETERSBURG, FL 33710 | N/A | PUBLIC | SUPPORT OF THE PERFORMING ARTS | 50,000. |
| GIRL SCOUTS OF WEST CENTRAL FLORIDA<br>P.O. BOX 18066<br>TAMPA, FL 33679 | N/A | PUBLIC | WOMEN OF DISTINCTION PROGRAM | 300. |
| GULF COAST JEWISH FAMILY & COMMUNITY SERVICES<br>14041 ICOT BOULEVARD<br>CLEARWATER, FL 33760 | N/A | PUBLIC | PROVIDE ESSENTIAL SERVICES TO FAMILIES IN NEED | 112,500. |
| **Total from continuation sheets** | | | | 296,974. |

**Part XV** **Supplementary Information**

**3 Grants and Contributions Paid During the Year (Continuation)**

| 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 |
|---|---|---|---|---|
| HADASSAH THE WOMEN'S ZIONEST ORGANIZATION OF AMERICA, INC.<br>50 WEST 58 STREET<br>NEW YORK, NY 10019 | N/A | PUBLIC | EDUCATION AND MEDICAL PROGRAMS, HELP DISADVANTAGED CHILDREN | 100. |
| JEWISH FEDERATION OF PINELLAS & PASCO COUNTIES, FL<br>13191 STARKEY ROAD, SUITE 8<br>LARGO, FL 33773 | N/A | PUBLIC | PROVIDE CONNECTION, ADVOCACY, EDUCATION AND CARE TO JEWISH COMMUNITY | 25,000. |
| LEEPA-RATTNER MUSEUM OF ART<br>600 KLOSTERMAN ROAD<br>TARPON SPRINGS, FL 34689 | N/A | PUBLIC | PROMOTION OF THE ARTS | 500. |
| MENORAH MANOR FOUNDATION<br>255 59TH STREET NORTH<br>ST PETERSBURG, FL 33710 | N/A | PUBLIC | SENIOR LIVING FACILITY | 50. |
| MUSEUM OF FINE ARTS<br>255 BEACH DRIVE NE<br>ST PETERSBURG, FL 33701 | N/A | PUBLIC | PROMOTION OF THE ARTS | 250. |
| OPERATION PAR, INC.<br>6655 66TH STREET NORTH<br>PINELLAS PARK, FL 33781 | N/A | PUBLIC | PREVENTION, INTERVENTION AND TREATMENT TO THOSE IMPACTED BY SUBSTANCE ABUSE | 1,000. |
| PERSONAL ENRICHMENT THROUGH MENTAL HEALTH SERVICES, INC.<br>11254 58TH STREET NORTH<br>PINELLAS PARK, FL 33782 | N/A | PUBLIC | PACE AWARDS/CHILDREN SERVICES PROGRAM | 1,000. |
| ST. PETERSBURG FREE CLINIC<br>863 3RD AVENUE NORTH<br>ST PETERSBURG, FL 33701 | N/A | PUBLIC | PROVIDE BASIC NEEDS - FOOD,SHELTER AND MEDICAL CARE | 1,665. |
| TEMPLE AHAVAT SHALOM<br>1575 CURLEW ROAD<br>PALM HARBOR, FL 34683 | N/A | PUBLIC | ADVANCEMENT OF RELIGION | 50. |
| TEMPLE BETH-EL<br>400 PASADENA AVENUE SOUTH<br>ST PETERSBURG, FL 33707 | N/A | PUBLIC | ADVANCEMENT OF RELIGION | 1,715. |
| Total from continuation sheets | | | | |

MAURICE A. ROTHMAN & THELMA P. ROTHMAN
FAMILY FOUNDATION, INC. 59-2061386

**Part XV** **Supplementary Information**

**3 Grants and Contributions Paid During the Year (Continuation)**

| 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 |
|---|---|---|---|---|
| THE DALI MUSEUM<br>ONE DALI BOULEVARD<br>ST PETERSBURG, FL 33701 | N/A | PUBLIC | PROMOTION OF THE ARTS | 100. |
| THE FLORIDA ORCHESTRA, INC.<br>244 SECOND AVE NORTH, SUITE 420<br>ST PETERSBURG, FL 33701 | N/A | PUBLIC | PROMOTION OF THE ARTS/MUSIC FOR LIFE CAMPAIGN | 60,060. |
| UNITED WAY SUNCOAST<br>5201 W. KENNEDY BLVD., SUITE 600<br>TAMPA, FL 33609 | N/A | PUBLIC | EARLY LITERACY INITIATIVE | 12,000. |
| SPCA TAMPA BAY<br>9099 130TH AVENUE NORTH<br>LARGO, FL 33773 | N/A | PUBLIC | CARE FOR HOMELESS ANIMALS | 150. |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| **Total from continuation sheets** | | | | |

## Form 990-PF Interest on Savings and Temporary Cash Investments Statement 1

| Source | Amount |
|---|---|
| MERRILL LYNCH | 5,073. |
| NORTHERN TRUST BANK | 10. |
| UNITED STATES TREASURY | 1. |
| Total to Form 990-PF, Part I, line 3, Column A | 5,084. |

## Form 990-PF Dividends and Interest from Securities Statement 2

| Source | Gross Amount | Capital Gains Dividends | Column (A) Amount |
|---|---|---|---|
| KKR & CO LP | 6. | 0. | 6. |
| MERRILL LYNCH | 203,799. | 621. | 203,178. |
| OAKTREE CAPITAL GROUP, LLC | 75. | 0. | 75. |
| POWERSHARES DB AGRICULTURE FUND | 16. | 0. | 16. |
| POWERSHARES DB AGRICULTURE FUND | 18. | 0. | 18. |
| STATE OF ISRAEL | 2,998. | 0. | 2,998. |
| Total to Fm 990-PF, Part I, ln 4 | 206,912. | 621. | 206,291. |

## Form 990-PF Other Income Statement 3

| Description | (a) Revenue Per Books | (b) Net Invest-ment Income | (c) Adjusted Net Income |
|---|---|---|---|
| DE STEPS ISSUER BARC | 1,125. | 1,125. | |
| ML SYSTEMATIC MOMENTUM FUTURESACCESS LLC | <3,433.> | <2,335.> | |
| KKR & CO LP | <10.> | <10.> | |
| Total to Form 990-PF, Part I, line 11 | <2,318.> | <1,220.> | |

| Form 990-PF | Taxes | Statement 4 |
|---|---|---|

| Description | (a) Expenses Per Books | (b) Net Invest- ment Income | (c) Adjusted Net Income | (d) Charitable Purposes |
|---|---|---|---|---|
| EXCISE TAX ON INVESTMENT INCOME | 2,052. | 0. | | 0. |
| FOREIGN TAXES | 14. | 14. | | 0. |
| STATE OF FLORIDA ANNUAL FILING FEE | 61. | 0. | | 0. |
| To Form 990-PF, Pg 1, ln 18 | 2,127. | 14. | | 0. |

| Form 990-PF | Other Expenses | Statement 5 |
|---|---|---|

| Description | (a) Expenses Per Books | (b) Net Invest- ment Income | (c) Adjusted Net Income | (d) Charitable Purposes |
|---|---|---|---|---|
| INVESTMENT ADVISOR FEES | 32,518. | 32,518. | | 0. |
| PORTFOLIO DEDUCTIONS - POWERSHARES DB AGRICULTURE K-1 | 163. | 163. | | 0. |
| PORTFOLIO DEDUCTIONS - POWERSHARES DB AGRICULTURE K-1 | 208. | 208. | | 0. |
| PORTFOLIO DEDUCTIONS - OAKTREE CAPITAL GROUP, LLC | 2. | 2. | | 0. |
| To Form 990-PF, Pg 1, ln 23 | 32,891. | 32,891. | | 0. |

| Form 990-PF | Corporate Stock | Statement 6 |
|---|---|---|

| Description | Book Value | Fair Market Value |
|---|---|---|
| SEE STATEMENT ATTACHED | 1,002,274. | 1,147,100. |
| Total to Form 990-PF, Part II, line 10b | 1,002,274. | 1,147,100. |

## Form 990-PF Corporate Bonds Statement 7

| Description | Book Value | Fair Market Value |
|---|---|---|
| SEE STATEMENT ATTACHED | 2,223,127. | 2,164,174. |
| Total to Form 990-PF, Part II, line 10c | 2,223,127. | 2,164,174. |

## Form 990-PF Other Investments Statement 8

| Description | Valuation Method | Book Value | Fair Market Value |
|---|---|---|---|
| SEE STATEMENT ATTACHED | COST | 2,555,569. | 2,652,554. |
| Total to Form 990-PF, Part II, line 13 | | 2,555,569. | 2,652,554. |

## Form 990-PF Other Assets Statement 9

| Description | Beginning of Yr Book Value | End of Year Book Value | Fair Market Value |
|---|---|---|---|
| ESTIMATED TAX DEPOSITS | 4,408. | 2,052. | 2,052. |
| INTEREST INCOME RECEIVABLE | 9,046. | 12,210. | 12,210. |
| To Form 990-PF, Part II, line 15 | 13,454. | 14,262. | 14,262. |

Maurice A. and Thelma P. Rothman Family Foundation, Inc.
Fiscal Year Ended September 30, 2013
EIN 59-2061386

Form 990-PF, Part II

| Description | Beginning | Ending | Market Value |
|---|---|---|---|
| Line 10b, Investments - Corporate Stock | | | |
| Abbvie Inc Shs | - | 40,838 | 40,257 |
| American Eagle Outfitters | 15,958 | - | - |
| Anadarko Pete Corp | 15,433 | 15,433 | 18,598 |
| Apple Inc | 32,422 | 32,422 | 59,594 |
| Asbury Automotive Group | - | 40,233 | 40,432 |
| Automatic Data Proc | - | 39,685 | 39,809 |
| Avnet Inc | - | 14,855 | 15,016 |
| Biogen Idec Inc | - | 38,406 | 40,929 |
| Boeing Company | 12,899 | - | - |
| Brocade Communications Sys Inc | - | 20,225 | 20,769 |
| Cabot Oil & Gas Corp | - | 30,053 | 31,722 |
| Caterpillar Inc Del | 33,574 | - | - |
| Centurylink Inc | 19,894 | - | - |
| CBS Corp New | 32,212 | - | - |
| CF Inds Hldgs Inc | 35,853 | - | - |
| Cigna Corp | - | 38,708 | 39,199 |
| Crane Co Delaware | - | 38,193 | 38,544 |
| Deere Co | 11,759 | - | - |
| Discover Finl Svcs | - | 8,967 | 11,372 |
| Dril Quip | - | 37,886 | 43,031 |
| Du Pont E I DE Nemours | 34,633 | 40,754 | 43,334 |
| Eaton Corp | 33,945 | - | - |
| Ensco PLC Shs Cl A | 34,992 | 34,992 | 37,625 |
| Fifth Third Bancorp | 38,220 | - | - |
| Fluor Corp New Del | 35,368 | - | - |
| Freeprt-Mcmran Cpr & Gld | 20,465 | 10,233 | 8,270 |
| Gap Inc | - | 18,468 | 18,126 |
| Generac Hldgs Inc | - | 38,755 | 39,868 |
| Gilead Sciences Inc Com | 33,613 | 11,673 | 28,292 |
| Goldcorp Inc | 20,671 | - | - |
| Home Depot Inc | 35,814 | 10,419 | 18,204 |
| Honeywell Intl Inc | - | 18,393 | 24,912 |
| Huntngtn Bancshs Inc | - | 19,619 | 18,998 |
| Intel Corp | - | 18,091 | 18,910 |
| Intuit Inc Com | 19,490 | - | - |
| Kimberly Clark | 37,568 | - | - |
| Kraft Foods Group Inc | - | 20,329 | 19,942 |
| Las Vegas Sands Corp | 20,942 | 20,942 | 24,908 |
| Micron Technology Inc | - | 31,936 | 41,140 |
| Moog Inc | - | 36,584 | 42,536 |
| Mosaic Co | 16,680 | - | - |
| Packaging Corp America | - | 32,421 | 42,818 |
| Peabody Energy Corp Com | 13,440 | 13,440 | 8,625 |

Maurice A. and Thelma P. Rothman Family Foundation, Inc.
Fiscal Year Ended September 30, 2013
EIN 59-2061386

Form 990-PF, Part II

| Description | Beginning | Ending | Market Value |
|---|---|---|---|
| Prudential Financial Inc | - | 33,837 | 37,041 |
| Rayonier Inc REIT | 33,083 | - | - |
| Rosetta Resources Inc | - | 39,491 | 44,665 |
| Schlumberger Ltd | 34,454 | - | - |
| Swift Transportation Company Inc | - | 38,567 | 46,639 |
| TJX Cos Inc | - | 16,295 | 17,763 |
| TRW Automotive Hldgs Crp | 18,733 | - | - |
| Twenty-First Century Fox Inc | - | 31,342 | 32,170 |
| UnitedHealth Group Inc | 47,036 | - | - |
| Urban Outfitters Inc | 37,627 | - | - |
| Wal-mart Stores Inc | 18,585 | - | - |
| Wells Fargo & Co New Del | 33,472 | 33,472 | 45,452 |
| Whirlpool Corp | - | 36,317 | 47,593 |
| Yum Brands Inc | 16,890 | - | - |
| Total | 845,725 | 1,002,274 | 1,147,100 |

Line 10c, Investments - Corporate Bonds

| | | | |
|---|---|---|---|
| Affiliated Managers Group, Inc. | 50,000 | 25,000 | 22,810 |
| AT&T Inc | 50,388 | 50,193 | 52,146 |
| Allstate Corp | - | 50,000 | 50,100 |
| American Financial Group | 50,000 | - | - |
| Ameriprise Financial Inc | 50,000 | 25,000 | 25,900 |
| Apollo Investment Corp | - | 50,000 | 43,400 |
| Ares Capital Corp | 25,000 | 25,000 | 24,510 |
| Bank of America Corp | - | 50,000 | 43,750 |
| Bank of America Corp | 25,000 | - | - |
| Bank of America Corp | 95,135 | - | - |
| Bank of America Corp | 100,000 | - | - |
| Bank of America Corp | 50,000 | 50,000 | 56,525 |
| Bank of America Corp | 50,000 | 50,000 | 50,750 |
| Bank of America Corp | 50,000 | 50,000 | 49,688 |
| Bank of America Corp | 24,362 | 24,032 | 24,250 |
| Bank of America Corp | 50,000 | 50,000 | 51,500 |
| Bank of America Corp | 50,000 | - | - |
| Barclays Bank PLC | 50,000 | 50,000 | 46,188 |
| Citigroup Inc | - | 25,000 | 25,250 |
| Citigroup Inc | - | 50,000 | 42,340 |
| Cubesmart | 25,000 | 25,000 | 25,580 |
| Digital Realty Trust Inc | 25,000 | 25,000 | 23,980 |
| Discover Financial Svs | - | 25,000 | 23,520 |
| Dow Chemical CO | 50,000 | 50,000 | 49,499 |
| Dow Chemical CO | 50,000 | 50,000 | 49,498 |
| Federal Agric Mtg Corp | - | 25,000 | 20,300 |

Maurice A. and Thelma P. Rothman Family Foundation, Inc.
Fiscal Year Ended September 30, 2013
EIN 59-2061386

Form 990-PF, Part II

| Description | Beginning | Ending | Market Value |
|---|---|---|---|
| First Republic Bank | 25,000 | 25,000 | 23,700 |
| First Republic Bank | 25,000 | 25,000 | 22,350 |
| First Republic Bank | - | 25,000 | 20,350 |
| General Elec Cap Corp | 50,000 | 50,000 | 52,505 |
| General Elec Cap Corp | 50,000 | 50,000 | 52,640 |
| General Elec Cap Corp | 50,000 | 50,000 | 47,681 |
| General Elec Cap Corp | 50,000 | 50,000 | 57,434 |
| General Elec Cap Corp | 99,050 | 99,050 | 99,876 |
| Hanover Insurance Group | - | 25,000 | 21,750 |
| HSBC Finance Corp | 50,000 | 50,000 | 51,603 |
| Integrys Energy Grp, Inc. | - | 25,000 | 24,320 |
| Kayne Andereson MLP | 25,000 | - | - |
| Kraft Foods Inc | 51,222 | 51,041 | 58,317 |
| Lloyds TSB Bank PLC | 50,000 | 50,000 | 48,313 |
| Montepelier RE Holdings | 25,000 | 25,000 | 26,000 |
| Morgan Stanley | - | 50,000 | 50,400 |
| Natl Retail Ppty Inc | 50,000 | 25,000 | 22,950 |
| Partnerre Ltd Series F | - | 25,000 | 21,100 |
| Pitney Bowes Inc | - | 25,000 | 24,700 |
| PPL Capital Funding Inc | - | 25,000 | 21,320 |
| Protective Life Corp | 25,000 | - | - |
| Prudential Financial Inc | - | 25,000 | 21,500 |
| Public Storage Pfd Shr | 50,000 | 25,000 | 25,200 |
| Public Storage (PSA) | 50,000 | 25,000 | 24,620 |
| Regency Centers Corp | 50,000 | 25,000 | 23,300 |
| Renaissancere Hldgs Ltd | - | 25,000 | 19,530 |
| SBC Communications | 50,917 | 50,685 | 55,642 |
| SBC Communications | 50,534 | 50,399 | 55,642 |
| Senior Housing Ppty | 50,000 | 50,000 | 41,080 |
| Stanley Black & Decker | 50,000 | 25,000 | 22,020 |
| Suntrust Banks Inc | - | 50,000 | 43,340 |
| Qwest Corp (Ctl) | 25,000 | 25,000 | 25,170 |
| Telephone & Data System | 50,000 | 25,000 | 24,040 |
| Telephone & Data System | 50,000 | 25,000 | 24,830 |
| US Bancorp | - | 25,000 | 21,010 |
| US Cellular Corp | 50,000 | 25,000 | 24,160 |
| Vornado Realty Tr Ser J | 50,000 | 25,000 | 25,150 |
| Wells Fargo Company | - | 50,000 | 47,740 |
| Wells Fargo Company | - | 25,000 | 21,550 |
| Wells Fargo Company | - | 25,000 | 20,780 |
| Wells Fargo Company | 47,726 | 47,726 | 49,082 |
| Total | 2,169,334 | 2,223,127 | 2,164,174 |

Maurice A. and Thelma P. Rothman Family Foundation, Inc.
Fiscal Year Ended September 30, 2013
EIN 59-2061386

Form 990-PF, Part II

| Description | Beginning | Ending | Market Value |
|---|---|---|---|
| Line 13, Investments - Other | | | |
| Ares Dynamic Credit Allocation | - | 100,000 | 90,550 |
| Basket Stepup Issuer BAC | - | 25,000 | 24,575 |
| Basket LIRN Issuer BAC | - | 50,000 | 51,250 |
| Blackrock Core Bond TR | 81,198 | 53,283 | 65,000 |
| Blackrock Res & Commodity Strategy TR | 100,000 | 94,750 | 57,900 |
| BRC CLIRN Issuer BAC | 50,000 | - | - |
| CBRE Clarion Global Real Estate Income Fd | 34,170 | 34,170 | 34,383 |
| C JPM GS ARN ISS BAC | - | 50,000 | 54,050 |
| C JPM WFC ARN Issuer BAC | 50,000 | - | - |
| Calamos Conv Opp Inc FD | 30,924 | 30,924 | 31,500 |
| Clearbridge Amern Energy MLP FD Inc | - | 50,000 | 47,000 |
| Cohen & Steers Quality Income | 35,162 | 35,162 | 34,195 |
| Comdty ARN Issuer BAC | 50,000 | - | - |
| Copper CLIRN Issuer BAC | 40,000 | - | - |
| DE Steps Issuer BARC | 50,000 | - | - |
| Direxion Commodity Trends Strategy Fd | 23,729 | 29,799 | 27,639 |
| DJUBSAG ARN Issuer SEK | 50,000 | - | - |
| Doubleline Income Solutions Fd | - | 25,000 | 21,950 |
| FCX Stars Issuer Barc | 25,000 | - | - |
| F&C/Claymore Total Rtn | 77,494 | - | - |
| First TR Inter Duration Pfd and Income F | - | 50,000 | 42,700 |
| Gold ARN Issuer SEK | 50,000 | - | - |
| Ishares Core Total U.S. Bond Market ETF | 76,808 | 21,975 | 22,405 |
| Ishares TIPS Bond ETF | 35,663 | 41,525 | 44,807 |
| Ishares US Financial Services ETF | 57,043 | 46,236 | 57,671 |
| Ishares US Consumer Goods ETF | 50,640 | 44,206 | 57,063 |
| Ishares U.S. Energy ETF | - | 56,949 | 58,216 |
| Ishares Dow Jones US Energy Sector Index Fund | 40,235 | - | - |
| Ishares US Healthcare | 36,534 | 31,655 | 58,806 |
| Ishares Dow Jones US Real Estate Index Fund | 23,864 | - | - |
| Ishares US Technology | 48,797 | 49,141 | 58,391 |
| Ishares Gold Trust | 53,771 | 41,399 | 32,831 |
| Ishares Iboxx $ | 73,866 | 20,841 | 22,023 |
| Ishares JP Morgan EM Bon | 40,106 | 22,010 | 21,806 |
| Ishares MSCI EAFE Index | 77,106 | 60,980 | 70,245 |
| Ishares MSCI Emerging | 30,014 | 34,835 | 34,397 |
| Ishares Russell 1000 Value | 78,826 | 45,230 | 69,219 |
| Ishares S&P 500 Growth | 74,227 | 46,062 | 76,224 |
| Ishares S&P Smallcap 600 | 25,941 | 65,036 | 76,563 |
| Ishares Core S&P Midcap | 25,796 | 66,790 | 76,719 |
| Market Vectors Agrbusnss | - | 56,942 | 54,974 |
| MLCXPREC ARN ISSUER BAC | - | 50,000 | 41,600 |
| Oil Svcs ARN Issuer BARC | 80,000 | - | - |

Maurice A. and Thelma P. Rothman Family Foundation, Inc.
Fiscal Year Ended September 30, 2013
EIN 59-2061386

Form 990-PF, Part II

| Description | Beginning | Ending | Market Value |
|---|---|---|---|
| Oil Svcs ARN Issuer SEK | - | 85,000 | 92,302 |
| Powershares Build Americ Bond ETF | - | 46,576 | 43,309 |
| Powershares DB Agriculture Fund | 47,485 | - | - |
| Powershares Exchange Traded Fd TR II | - | 57,565 | 56,641 |
| RICI ARN Issuer BAC | 50,000 | - | - |
| RICI CLIRN Issuer BAC | 35,000 | 35,000 | 39,270 |
| RS Floating Rate Fund CL Y | - | 57,205 | 56,819 |
| Sector SPDR Industrial | - | 50,794 | 58,145 |
| SP500 STARS Issuer RBC | 30,000 | - | - |
| SP500 STARS Issuer BAC | 50,000 | - | - |
| SP500 Stepup Issuer BAC | - | 30,000 | 32,580 |
| SP500 Stepup Issuer BAC | - | 50,000 | 51,155 |
| SP500 Stepup Issuer HSBC | - | 40,000 | 41,760 |
| SP500 Stepup Issuer HSBC | - | 50,000 | 49,550 |
| SP500 Stepup Issuer HSBC | - | 75,000 | 72,900 |
| SPDR Gold Trust | 32,805 | 16,599 | 19,227 |
| State of Israel Bonds | 75,000 | 75,000 | 75,000 |
| Stone HBR Emerging Mkts Income Fund | 98,026 | 98,026 | 78,520 |
| SX5E Stepup Issuer HSBC | - | 75,000 | 76,275 |
| Systematic Momentum Futures Access LLC | 95,869 | 89,648 | 81,691 |
| Western Asset Middle Mkt Debt Fd Inc | - | 50,875 | 49,882 |
| WHR Steps Issuer RBC | - | 50,000 | 52,600 |
| Tortoise MLP Fd Inc | 100,000 | 93,380 | 108,280 |
| Total | 2,291,098 | 2,555,569 | 2,652,554 |

Form 8688 Explanation for Extension Statement 10

Explanation

ADDITIONAL TIME IS NEEDED TO GATHER THE INFORMATION NECESSSARY TO FILE A COMPLETE AND ACCURATE RETURN. THE TAXPAYER HAS NOT RECEIVED A SCHEDULE K-1 FROM A PARTNERSHIP IN WHICH IT WAS A PARTNER. THEREFORE THE TAXPAYER RESPECTFULLY REQUESTS AN ADDITIONAL EXTENSION OF TIME TO FILE.

Form [redacted]3
(Rev. J[redacted]013)
Departme[redacted]asury
Internal Re[redacted]ce

# Application for Extension of Time To File an Exempt Organization Return

▶ File a separate application for each return.

OMB No. 1545-1709

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

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

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

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

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

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

| Type or print | Name of exempt organization or other filer, see instructions. | Employer identification number (EIN) or |
|---|---|---|
| | MAURICE A. ROTHMAN & THELMA P. ROTHMAN FAMILY FOUNDATION, INC. | 59-2061386 |
| File by the due date for filing your return See instructions. | Number, street, and room or suite no. If a P.O. box, see instructions. 5700 70TH AVENUE NORTH | Social security number (SSN) |
| | City, town or post office, state, and ZIP code. For a foreign address, see instructions. PINELLAS PARK, FL 33781 | |

Enter the Return code for the return that this application is for (file a separate application for each return) 0 4

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

- The books are in the care of ▶ LESLIE M. ROGAS 5700 70TH AVENUE NORTH, PINELLAS PARK, FL - 33781
  Telephone No. ▶ 727-545-9555 FAX No. ▶ 727-544-9148
- If the organization does not have an office or place of business in the United States, check this box ▶ [ ]
- If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) ______. If this is for the whole group, check this box ▶ [ ]. If it is for part of the group, check this box ▶ [ ] and attach a list with the names and EINs of all members the extension is for.

1 I request an automatic 3-month (6 months for a corporation required to file Form 990-T) extension of time until May 15, 2014, to file the exempt organization return for the organization named above. The extension is for the organization's return for:
▶ [ ] calendar year ______ or
▶ [X] tax year beginning OCT 1, 2012, and ending SEP 30, 2013.

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

| | | | |
|---|---|---|---|
| 3a | If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions. | 3a | $ 7,552. |
| b | If this application is for Form 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit. | 3b | $ 2,052. |
| c | **Balance due.** Subtract line 3b from line 3a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions. | 3c | $ 5,500. |

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

- If you are f[illegible]r an **Additional (Not Automatic) 3-Month Extension, complete only Part II** and check this box ▶ [X]

**Note.** Only co[illegible] Part II if you have already been granted an automatic 3-month extension on a previously filed Form 8868.

- If you are fil[illegible]n **Automatic 3-Month Extension, complete only Part I** (on page 1).

**Part II** [illegible]**ional (Not Automatic) 3-Month Extension of Time.** Only file the original (no copies needed).

**Enter filer's identifying number, see instructions**

| Type or print<br>File by the due date for filing your return See instructions | Name of exempt organization or other filer, see instructions<br>MAURICE A. ROTHMAN & THELMA P. ROTHMAN<br>FAMILY FOUNDATION, INC. | Employer identification number (EIN) or<br>59-2061386 |
|---|---|---|
| | Number, street, and room or suite no. If a P.O. box, see instructions.<br>5700 70TH AVENUE NORTH | Social security number (SSN) |
| | City, town or post office, state, and ZIP code. For a foreign address, see instructions.<br>PINELLAS PARK, FL 33781 | |

Enter the Return code for the return that this application is for (file a separate application for each return) 0 4

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

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

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  Telephone No. ▶ 727-545-9555 FAX No. ▶ 727-544-9148
- If the organization does not have an office or place of business in the United States, check this box ▶ [ ]
- If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) ______ . If this is for the whole group, check this box ▶ [ ] . If it is for part of the group, check this box ▶ [ ] and attach a list with the names and EINs of all members the extension is for.

4 I request an additional 3-month extension of time until August 15, 2014 .

5 For calendar year ______ , or other tax year beginning OCT 1, 2012 , and ending SEP 30, 2013 .

6 If the tax year entered in line 5 is for less than 12 months, check reason: [ ] Initial return [ ] Final return [ ] Change in accounting period

7 State in detail why you need the extension See Statement 10

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OGDEN, UT

| | | | |
|---|---|---|---|
| **8a** If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions. | 8a | $ | 7,552. |
| **b** If this application is for Form 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit and any amount paid previously with Form 8868. | 8b | $ | 7,552. |
| **c Balance due.** Subtract line 8b from line 8a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions. | 8c | $ | 0. |

**Signature and Verification must be completed for Part II only.**

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

Signature ▶ Leslie M Rogas Title ▶ CPA Date ▶ 5/2/14



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