Form **990-PF**

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

or Section 4947(a)(1) Trust Treated as Private Foundation

▶ Do not enter Social Security numbers on this form as it may be made public.
▶ Information about Form 990-PF and its separate instructions is at www.irs.gov/form990pf.

OMB No 1545-0052

2013

Open to Public Inspection

For calendar year 2013 or tax year beginning , and ending

Name of foundation		A Employer identification number
NORWOTTOCK CHARITABLE TRUST		04-6561597
Number and street (or P O box number if mail is not delivered to street address): 2440 NORTH LAKEVIEW AVENUE, #15A	Room/suite	B Telephone number (see instructions): 773-404-5566
City or town, state or province, country, and ZIP or foreign postal code: CHICAGO IL 60614		C If exemption application is pending, check here ▶ ☐

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

D 1. Foreign organizations, check here ▶ ☐
2 Foreign organizations meeting the 85% test, check here and attach computation ▶ ☐

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

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

I Fair market value of all assets at end of year (from Part II, col (c), line 16) ▶ $ 701,446

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

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

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

			(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1	Contributions, gifts, grants, etc , received (attach schedule)	250,000			
	2	Check ▶ ☐ if the foundation is **not** required to attach Sch. B				
	3	Interest on savings and temporary cash investments	3	3		
	4	Dividends and interest from securities	12,655	12,655		
	5a	Gross rents				
	b	Net rental income or (loss)				
	6a	Net gain or (loss) from sale of assets not on line 10	4,407			
	b	Gross sales price for all assets on line 6a 183,294				
	7	Capital gain net income (from Part IV, line 2)		4,407		
	8	Net short-term capital gain			0	
	9	Income modifications				
	10a	Gross sales less returns and allowances				
	b	Less Cost of goods sold				
	c	Gross profit or (loss) (attach schedule)				
	11	Other income (attach schedule)				
	12	**Total.** Add lines 1 through 11	267,065	17,065	0	
Operating and Administrative Expenses	13	Compensation of officers, directors, trustees, etc	0			
	14	Other employee salaries and wages				
	15	Pension plans, employee benefits				
	16a	Legal fees (attach schedule)				
	b	Accounting fees (attach schedule) Stmt 1	3,500			3,500
	c	Other professional fees (attach schedule) Stmt 2	4,871	4,871		
	17	Interest				
	18	Taxes (attach schedule) (see instructions) Stmt 3	452	182		
	19	Depreciation (attach schedule) and depletion				
	20	Occupancy				
	21	Travel, conferences, and meetings				
	22	Printing and publications				
	23	Other expenses (att sch) Stmt 4	20	5		15
	24	**Total operating and administrative expenses.** Add lines 13 through 23	8,843	5,058	0	3,515
	25	Contributions, gifts, grants paid	433,633			433,633
	26	**Total expenses and disbursements.** Add lines 24 and 25	442,476	5,058	0	437,148
	27	Subtract line 26 from line 12				
	a	**Excess of revenue over expenses and disbursements**	-175,411			
	b	**Net investment income** (if negative, enter -0-)		12,007		
	c	**Adjusted net income** (if negative, enter -0-)			0	

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For Paperwork Reduction Act Notice, see instructions.

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Part II Balance Sheets

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

			Beginning of year (a) Book Value	End of year (b) Book Value	End of year (c) Fair Market Value
Assets	1	Cash – non-interest-bearing			
	2	Savings and temporary cash investments	-360	-6,749	-6,749
	3	Accounts receivable ▶			
		Less allowance for doubtful accounts ▶			
	4	Pledges receivable ▶			
		Less allowance for doubtful accounts ▶			
	5	Grants receivable			
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
	7	Other notes and loans receivable (att. schedule) ▶			
		Less allowance for doubtful accounts ▶ 0			
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges			
	10a	Investments – U S. and state government obligations (attach schedule)			
	b	Investments – corporate stock (attach schedule) See Stmt 5	416,011	318,564	625,391
	c	Investments – corporate bonds (attach schedule) See Stmt 6	102,250	39,491	38,873
	11	Investments – land, buildings, and equipment basis ▶			
		Less accumulated depreciation (attach sch) ▶			
	12	Investments – mortgage loans			
	13	Investments – other (attach schedule) See Statement 7	38,123	38,305	43,931
	14	Land, buildings, and equipment basis ▶			
		Less accumulated depreciation (attach sch) ▶			
	15	Other assets (describe ▶)			
	16	Total assets (to be completed by all filers – see the instructions Also, see page 1, item I)	556,024	389,611	701,446
Liabilities	17	Accounts payable and accrued expenses			
	18	Grants payable			
	19	Deferred revenue			
	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable (attach schedule)			
	22	Other liabilities (describe ▶)			
	23	**Total liabilities** (add lines 17 through 22)	0	0	
Net Assets or Fund Balances		**Foundations that follow SFAS 117, check here ▶ ☐ and complete lines 24 through 26 and lines 30 and 31.**			
	24	Unrestricted			
	25	Temporarily restricted			
	26	Permanently restricted			
		Foundations that do not follow SFAS 117, check here ▶ ☒ and complete lines 27 through 31.			
	27	Capital stock, trust principal, or current funds			
	28	Paid-in or capital surplus, or land, bldg , and equipment fund			
	29	Retained earnings, accumulated income, endowment, or other funds	556,024	389,611	
	30	**Total net assets or fund balances** (see instructions)	556,024	389,611	
	31	**Total liabilities and net assets/fund balances** (see instructions)	556,024	389,611	

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	556,024
2	Enter amount from Part I, line 27a	2	-175,411
3	Other increases not included in line 2 (itemize) ▶ See Statement 8	3	9,000
4	Add lines 1, 2, and 3	4	389,613
5	Decreases not included in line 2 (itemize) ▶ See Statement 9	5	2
6	Total net assets or fund balances at end of year (line 4 minus line 5) – Part II, column (b), line 30	6	389,611

Part IV Capital Gains and Losses for Tax on Investment Income

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

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

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

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

2	Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 / If (loss), enter -0- in Part I, line 7 }	2	4,407
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) (see instructions) If (loss), enter -0- in Part I, line 8	3	-5,476

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))
2012	80,630	750,863	0.107383
2011	141,487	778,082	0.181841
2010	77,125	721,413	0.106908
2009	105,321	566,698	0.185850
2008	118,623	764,277	0.155209

2	**Total** of line 1, column (d)	2	0.737191
3	Average distribution ratio for the 5-year base period – divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years	3	0.147438
4	Enter the net value of noncharitable-use assets for 2013 from Part X, line 5	4	743,322
5	Multiply line 4 by line 3	5	109,594
6	Enter 1% of net investment income (1% of Part I, line 27b)	6	120
7	Add lines 5 and 6	7	109,714
8	Enter qualifying distributions from Part XII, line 4	8	437,148

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

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

1a	Exempt operating foundations described in section 4940(d)(2), check here ▶ ☐ and enter "N/A" on line 1 Date of ruling or determination letter (attach copy of letter if necessary—see instructions)			
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ [X] and enter 1% of Part I, line 27b		1	120
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	120
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	120
6	Credits/Payments			
a	2013 estimated tax payments and 2012 overpayment credited to 2013	6a		
b	Exempt foreign organizations – tax withheld at source	6b		
c	Tax paid with application for extension of time to file (Form 8868)	6c 450		
d	Backup withholding erroneously withheld	6d		
7	Total credits and payments Add lines 6a through 6d		7	450
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	330
11	Enter the amount of line 10 to be **Credited to 2014 estimated tax** ▶ 330 Refunded ▶		11	

Part VII-A Statements Regarding Activities

			Yes	No
1a	During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?	1a		X
b	Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see Instructions for the 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 ▶ $ ______ **(2)** On foundation managers. ▶ $ ______			
e	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ▶ $ ______			
2	Has the foundation engaged in any activities that have not previously been reported to the IRS? 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) ▶ IL			
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 2013 or the taxable year beginning in 2013 (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 ▶ NONE

14 The books are in care of ▶ ADELE SIMMONS Telephone no ▶ 773-404-5566
2440 NORTH LAKEVIEW AVENUE #15A
Located at ▶ CHICAGO IL ZIP+4 ▶ 60614

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

		Line	Yes	No
16	At any time during calendar year 2013, 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 2013?	N/A	1c		
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 2013, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2013?	☐ Yes ☒ No			
	If "Yes," list the years ▶ 20 , 20 , 20 , 20				
b	Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to **all** years listed, answer "No" and attach statement – see instructions)	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 ▶ 20 , 20 , 20 , 20				
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?	☐ Yes ☒ No			
b	If "Yes," did it have excess business holdings in 2013 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 2013)	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 2013?		4b		X

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

5a	During the year did the foundation pay or incur any amount to.			
	(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?	☐ Yes ☒ No		
	(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive?	☐ Yes ☒ No		
	(3) Provide a grant to an individual for travel, study, or other similar purposes?	☐ Yes ☒ No		
	(4) Provide a grant to an organization other than a charitable, etc , organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? (see instructions)	☐ 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 (No)
	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 (see instructions).

(a) Name and address		(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
JOHN L. SIMMONS 2440 NORTH LAKEVIEW AVENUE #15A	CHICAGO IL 60614	TRUSTEE 0.50	0	0	0
ADELE SMITH SIMMONS 2440 NORTH LAKEVIEW AVENUE #15A	CHICAGO IL 60614	TRUSTEE 0.50	0	0	0

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

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

Total number of other employees paid over $50,000 ▶ 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 (see instructions). 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 ▶		

Part IX-A Summary of Direct Charitable Activities

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

Part IX-B Summary of Program-Related Investments (see instructions)

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2	Amount
1 N/A	
2	
All other program-related investments See instructions 3	
Total. Add lines 1 through 3 ▶	

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	750,776
b	Average of monthly cash balances		1b	3,866
c	Fair market value of all other assets (see instructions)		1c	0
d	**Total** (add lines 1a, b, and c)		1d	754,642
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	754,642
4	Cash deemed held for charitable activities Enter 1½% of line 3 (for greater amount, see instructions)		4	11,320
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3 Enter here and on Part V, line 4		5	743,322
6	**Minimum investment return.** Enter 5% of line 5		6	37,166

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	37,166
2a	Tax on investment income for 2013 from Part VI, line 5	2a 120		
b	Income tax for 2013 (This does not include the tax from Part VI)	2b		
c	Add lines 2a and 2b		2c	120
3	Distributable amount before adjustments Subtract line 2c from line 1		3	37,046
4	Recoveries of amounts treated as qualifying distributions		4	
5	Add lines 3 and 4		5	37,046
6	Deduction from distributable amount (see instructions)		6	
7	**Distributable amount** as adjusted Subtract line 6 from line 5 Enter here and on Part XIII, line 1		7	37,046

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	437,148
b	Program-related investments – total from Part IX-B	1b	
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc , purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	**Qualifying distributions.** Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4	4	437,148
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income Enter 1% of Part I, line 27b (see instructions)	5	120
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	437,028

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 2012	(c) 2012	(d) 2013
1	Distributable amount for 2013 from Part XI, line 7					37,046
2	Undistributed income, if any, as of the end of 2013					
a	Enter amount for 2012 only					
b	Total for prior years 20____ , 20____ , 20____					
3	Excess distributions carryover, if any, to 2013					
a	From 2008	80,543				
b	From 2009	80,864				
c	From 2010	41,404				
d	From 2011	141,775				
e	From 2012	43,352				
f	Total of lines 3a through e		387,938			
4	Qualifying distributions for 2013 from Part XII, line 4 ▶ $ 437,148					
a	Applied to 2012, but not more than line 2a					
b	Applied to undistributed income of prior years (Election required – see instructions)					
c	Treated as distributions out of corpus (Election required – see instructions)					
d	Applied to 2013 distributable amount					37,046
e	Remaining amount distributed out of corpus		400,102			
5	Excess distributions carryover applied to 2013 (If an amount appears in column (d), the same amount must be shown in column (a))					
6	**Enter the net total of each column as indicated below:**					
a	Corpus Add lines 3f, 4c, and 4e Subtract line 5		788,040			
b	Prior years' undistributed income Subtract line 4b from line 2b					
c	Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed					
d	Subtract line 6c from line 6b Taxable amount – see instructions					
e	Undistributed income for 2012 Subtract line 4a from line 2a Taxable amount – see instructions					
f	Undistributed income for 2013 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2014					0
7	Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions)					
8	Excess distributions carryover from 2008 not applied on line 5 or line 7 (see instructions)		80,543			
9	**Excess distributions carryover to 2014.** Subtract lines 7 and 8 from line 6a		707,497			
10	Analysis of line 9					
a	Excess from 2009	80,864				
b	Excess from 2010	41,404				
c	Excess from 2011	141,775				
d	Excess from 2012	43,352				
e	Excess from 2013	400,102				

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

1a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2013, 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) 2013	(b) 2012	(c) 2011	(d) 2010	(e) Total
2a 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))

N/A

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

N/A

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

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

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

[redacted] ADELE SIMMONS 773-404-5566
2440 NORTH LAKEVIEW AVE #15A CHICAGO IL 60614

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

N/A

c Any submission deadlines

N/A

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

N/A

Part XV Supplementary Information (continued)

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a Paid during the year SEE ATTACHED STATEMENT	NONE	501(C)(3)	UNRESTRICTED	433,633
Total			▶ 3a	433,633
b Approved for future payment N/A				
Total			▶ 3b	

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 (See instructions)
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	3	
4 Dividends and interest from securities			14	12,655	
5 Net rental income or (loss) from real estate:					
a Debt-financed property					
b Not debt-financed property					
6 Net rental income or (loss) from personal property					
7 Other investment income					
8 Gain or (loss) from sales of assets other than inventory			18	4,407	
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		17,065	0

13 **Total.** Add line 12, columns (b), (d), and (e) 13 17,065

(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) (See instructions)
N/A	

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

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

Signature of officer or trustee: Rdhe Lemmon — Date: 7/02/14 — Title: President

Paid Preparer Use Only

Print/Type preparer's name	Preparer's signature	Date	Check ☐ if self-employed
Robert G. Bernstein		06/26/14	
Firm's name ▶ Old Greenwich Financial, Inc.		PTIN P00365707	
Firm's address ▶ 5214 N. Lakewood Ave Chicago, IL 60640		Firm's EIN ▶ 06-1546854	
		Phone no 773-271-9551	

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.
▶ Information about Schedule B (Form 990, 990-EZ, 990-PF) and its instructions is at www.irs.gov/form990.

OMB No 1545-0047

2013

Name of the organization	Employer identification number
NORWOTTOCK CHARITABLE TRUST	04-6561597

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 its Form 990-PF, Part I, line 2, 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
NORWOTTOCK CHARITABLE TRUST	04-6561597

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	ADELE SIMMONS 2440 NORTH LAKEVIEW AVENUE #15A CHICAGO IL 60614	$ 250,000	Person [X] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions.)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions)

Form 990-PF	Capital Gains and Losses for Tax on Investment Income	2013
	For calendar year 2013, or tax year beginning , and ending	

Name	Employer Identification Number
NORWOTTOCK CHARITABLE TRUST	04-6561597

	(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)
(1)	700 CYPRESS SEMICONDUCTOR CP	P	04/09/12	Various
(2)	74.53 EATON VANCE GLOBAL MACRO	P	Various	07/25/13
(3)	100 ISHARES 1-3 YEAR CREDIT BOND ETF	P	08/03/12	Various
(4)	400 CYPRESS SEMICONDUCTOR CP	P	04/09/12	05/01/13
(5)	2019.821 EATON VANCE GLOBAL MACRO	P	Various	07/25/13
(6)	20 ISHARES INTER CREDIT BOND ETF	P	05/08/12	Various
(7)	300 CISCO SYSTEMS INC	P	12/21/11	05/01/13
(8)	400 ISHARES COHEN & STEERS REIT ETF	P	Various	Various
(9)	350 ISHARES IBOXX HIGH YIELD CORP BD	P	Various	10/29/13
(10)	1100 ISHARES MSCI EMERGING MARKETS	P	07/22/09	Various
(11)	100 PROCTER & GAMBLE CO	P	Various	12/30/13
(12)	150 TARGET CORP	P	12/21/11	Various
(13)	100 YUM! BRANDS INC	P	12/21/11	05/02/13
(14)	SPDR GOLD TRUST	P	Various	Various
(15)	4 CALL SPDR S&P MIDCAP 400 DUE	P	02/25/13	12/05/12

	(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
(1)	7,495		9,827	-2,332
(2)	721		727	-6
(3)	10,556		10,494	62
(4)	4,010		5,571	-1,561
(5)	19,532		19,899	-367
(6)	2,157		2,187	-30
(7)	6,199		5,375	824
(8)	30,485		27,007	3,478
(9)	32,801		31,288	1,513
(10)	43,581		42,184	1,397
(11)	8,170		6,403	1,767
(12)	9,385		7,766	1,619
(13)	6,794		5,829	965
(14)	30		30	
(15)	1,100		4,300	-3,200

	Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
	(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
(1)				-2,332
(2)				-6
(3)				62
(4)				-1,561
(5)				-367
(6)				-30
(7)				824
(8)				3,478
(9)				1,513
(10)				1,397
(11)				1,767
(12)				1,619
(13)				965
(14)				
(15)				-3,200

Capital Gains and Losses for Tax on Investment Income

Form **990-PF** — **2013**

For calendar year 2013, or tax year beginning , and ending

Name	Employer Identification Number
NORWOTTOCK CHARITABLE TRUST	04-6561597

	(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)
(1)	UBS			
(2)				
(3)				
(4)				
(5)				
(6)				
(7)				
(8)				
(9)				
(10)				
(11)				
(12)				
(13)				
(14)				
(15)				

	(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
(1)	278			278
(2)				
(3)				
(4)				
(5)				
(6)				
(7)				
(8)				
(9)				
(10)				
(11)				
(12)				
(13)				
(14)				
(15)				

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))
(1)				278
(2)				
(3)				
(4)				
(5)				
(6)				
(7)				
(8)				
(9)				
(10)				
(11)				
(12)				
(13)				
(14)				
(15)				

Federal Statements

Statement 1 - Form 990-PF, Part I, Line 16b - Accounting Fees

Description	Total	Net Investment	Adjusted Net	Charitable Purpose
TAX PREPARATION FEES	$ 3,500	$	$	$ 3,500
Total	$ 3,500	$ 0	$ 0	$ 3,500

Statement 2 - Form 990-PF, Part I, Line 16c - Other Professional Fees

Description	Total	Net Investment	Adjusted Net	Charitable Purpose
INVESTMENT MANAGEMENT FEES	$ 4,871	$ 4,871	$	$
Total	$ 4,871	$ 4,871	$ 0	$ 0

Statement 3 - Form 990-PF, Part I, Line 18 - Taxes

Description	Total	Net Investment	Adjusted Net	Charitable Purpose
FOREIGN TAXES PAID	$ 182	$ 182	$	$
FEDERAL INCOME TAXES	270			
Total	$ 452	$ 182	$ 0	$ 0

Statement 4 - Form 990-PF, Part I, Line 23 - Other Expenses

Description	Total	Net Investment	Adjusted Net	Charitable Purpose
	$	$	$	$
Expenses				
BANK CHARGES	5	5		
FILING FEES	15			15
Total	$ 20	$ 5	$ 0	$ 15

Federal Statements

Statement 5 - Form 990-PF, Part II, Line 10b - Corporate Stock Investments

Description	Beginning of Year	End of Year	Basis of Valuation	Fair Market Value
SEE ATTACHED STATEMENT	$ 416,011	$ 318,564	Cost	$ 625,391
Total	$ 416,011	$ 318,564		$ 625,391

Statement 6 - Form 990-PF, Part II, Line 10c - Corporate Bond Investments

Description	Beginning of Year	End of Year	Basis of Valuation	Fair Market Value
SEE ATTACHED	$ 102,250	$ 39,491	Cost	$ 38,873
Total	$ 102,250	$ 39,491		$ 38,873

Statement 7 - Form 990-PF, Part II, Line 13 - Other Investments

Description	Beginning of Year	End of Year	Basis of Valuation	Fair Market Value
NON TRADITIONAL-MUTUAL FUNDS	$ 32,839	$ 33,046	Cost	$ 38,125
COMMODITIES	5,284	5,259	Cost	5,806
Total	$ 38,123	$ 38,305		$ 43,931

Federal Statements

Statement 8 - Form 990-PF, Part III, Line 3 - Other Increases

Description	Amount
PRIOR PERIOD ADJUSTMENTS	$ 9,000
Total	$ 9,000

Statement 9 - Form 990-PF, Part III, Line 5 - Other Decreases

Description	Amount
ROUNDING	$ 2
Total	$ 2

Your assets

Some prices, income and current values shown may be approximate As a result, gains and losses may not be accurately reflected See *Important information about your statement* at the end of this document for more information

Cash

Cash and money balances

Cash and money balances may include available cash balances, UBS Bank USA deposit account balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances

UBS Bank USA deposit account balances are insured by the FDIC within applicable limits, but are not protected by SIPC UBS AG Stamford Branch deposit account balances are not insured by FDIC and are not protected by SIPC Money market sweep balances are protected by SIPC but are not insured by the FDIC See the *Important information about your statement* at the end of this document for details about those balances

Holding	Opening balance on Dec 1 ($)	Closing balance on Dec 31 ($)	Price per share on Dec 31 ($)	Average rate	Dividend/Interest period	Days in period	Cap amount ($)
Cash	-5,250 00	-250 00					
UBS BANK USA DEP ACCT	3,868 29	18,038 95					250,000 00
Total	**-$1,381.71**	**$17,788.95**					

Equities

Common stock

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 31 ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
ABBOTT LABS Symbol ABT Exchange NYSE EAI $88 Current yield 2 30%	Jul 15, 08	100 000	27 839	2,783 95	38 330	3,833 00	1,049 05	LT
ABBVIE INC COM Symbol ABBV Exchange NYSE EAI $160 Current yield 3 03%	Jul 15, 08	100 000	30 189	3,018 94	52 810	5,281 00	2,262 06	LT
ACCENTURE PLC IRELAND CL A Symbol ACN Exchange NYSE EAI $186 Current yield 2 26%	Aug 30, 11	85 000	54 034	4,592 90	82 220	6,988 70	2,395 80	LT
	Dec 16, 11	15 000	53 540	803 10	82 220	1,233 30	430 20	LT
Security total		100 000	53 960	5,396 00		8,222 00	2,826 00	

continued next page

Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 31 ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
AMAZON.COM INC								
Symbol. AMZN Exchange OTC	Mar 24, 10	50 000	127 985	6,399 25	398 790	19,939 50	13,540 25	LT
AMERICAN TOWER CORP REIT								
Symbol· AMT Exchange NYSE								
EAI $116 Current yield 1 45%	Dec 23, 10	100 000	50 565	5,056 50	79 820	7,982 00	2,925 50	LT
AMGEN INC								
Symbol AMGN Exchange OTC								
EAI $183 Current yield 2 14%	Dec 15, 08	75 000	57 844	4,338 37	114 080	8,556 00	4,217 63	LT
CHEVRON CORP								"
Symbol CVX Exchange NYSE								
EAI $600 Current yield 3 20%	Dec 9, 08	100 000	76 430	7,643 00	124 910	12,491 00	4,848 00	LT
	Dec 21, 11	50 000	104 565	5,228 25	124.910	6,245 50	1,017 25	LT
Security total		150 000	85 808	12,871 25		18,736 50	5,865 25	
COLGATE PALMOLIVE CO								
Symbol CL Exchange NYSE								
EAI. $408 Current yield 2 09%	Jun 21, 06	250 000	30 163	7,540 96	65 210	16,302 50	8,761 54	LT
	Jul 24, 06	50 000	31 150	1,557 53	65 210	3,260 50	1,702 97	LT
Security total		300 000	30 328	9,098 49		19,563 00	10,464 51	
DANAHER CORP								
Symbol. DHR Exchange: NYSE								
EAI $20 Current yield 0 13%	Jun 27, 03	200 000	17 097	3,419 50	77 200	15,440 00	12,020 50	LT
EMC CORP MASS								
Symbol· EMC Exchange· NYSE								
EAI $160 Current yield· 1 59%	Jul 22, 09	400 000	14 397	5,758 92	25 150	10,060 00	4,301 08	LT
HONEYWELL INTL INC								
Symbol HON Exchange NYSE								
EAI $270 Current yield 1 97%	Dec 21, 11	150 000	53 955	8,093 25	91 370	13,705 50	5,612 25	LT
INTEL CORP								
Symbol. INTC Exchange OTC								
EAI $630 Current yield 3 47%	Jan 8, 92	700 000	1 585	1,110 08	25 955	18,168 50	17,058 42	LT
INTL BUSINESS MACH								
Symbol IBM Exchange NYSE								
EAI $285 Current yield 2 03%	May 1, 08	75 000	123 532	9,264 95	187 570	14,067 75	4,802 80	LT

continued next page

Account name NORWOTTOCK CHARITABLE TRUST
Account number [redacted]

Your Financial Advisor
PETER ERRETT VAN NICE, JR
312-525-4500/800-621-0684

Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 31 ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
KRAFT FOODS GROUP INC Symbol KRFT Exchange OTC EAI $105 Current yield 3 90%	Dec 21, 11	50 000	39 115	1,955 78	53 910	2,695 50	739.72	LT
LOWES COMPANIES INC Symbol LOW Exchange NYSE EAI $144 Current yield 1 45%	Mar 24, 10	200 000	24 470	4,894 00	49 550	9,910 00	5,016 00	LT
MCKESSON CORP Symbol MCK Exchange NYSE EAI $96 Current yield 0 59%	Mar 24, 10	100 000	64 185	6,418 50	161 400	16,140 00	9,721.50	LT
MICROSOFT CORP Symbol MSFT Exchange OTC EAI $364 Current yield 2 99%	Jun 27, 03	325 000	25 750	8,368 75	37 410	12,158 25	3,789 50	LT
MONDELEZ INTL INC Symbol MDLZ Exchange OTC EAI $84 Current yield 1 59%	Dec 21, 11	150 000	24 291	3,643 72	35 300	5,295 00	1,651 28	LT
MYLAN INC Symbol MYL Exchange OTC	Dec 23, 10	200 000	21 435	4,287 00	43 400	8,680 00	4,393.00	LT
OCCIDENTAL PETROLEUM CRP Symbol OXY Exchange NYSE EAI $320 Current yield 2 69%	Jul 22, 09	125 000	70 280	8,785 00	95 100	11,887 50	3,102 50	LT
ORACLE CORP Symbol ORCL Exchange NYSE EAI $144 Current yield 1 25%	Jul 22, 09	300 000	21 757	6,527 19	38 260	11,478 00	4,950 81	LT
PARKER HANNIFIN CORP Symbol PH Exchange NYSE EAI $180 Current yield 1 40%	Jul 22, 09	100 000	47 223	4,722 33	128 640	12,864 00	8,141 67	LT
PEPSICO INC Symbol PEP Exchange NYSE EAI $454 Current yield 2 74%	Feb 4, 04	125 000	48 160	6,020 00	82 940	10,367 50	4,347 50	LT
	Aug 6, 04	50 000	51 161	2,558 08	82 940	4,147 00	1,588 92	LT
	Nov 9, 07	25 000	73 220	1,830 50	82 940	2,073 50	243 00	LT
Security total		200 000	52 043	10,408 58		16,588 00	6,179 42	

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Your Financial Advisor
PETER ERRETT VAN NICE, JR
312-525-4500/800-621-0684

Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 31 ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
PNC FINANCIAL SERVICES GROUP								
Symbol PNC Exchange. NYSE								
EAI $352 Current yield 2.27%	Jul 22, 09	200 000	36 917	7,383 46	77 580	15,516 00	8,132 54	LT
PRAXAIR INC								
Symbol PX Exchange: NYSE								
EAI $180 Current yield 1 85%	Apr 7, 05	50 000	48 080	2,404 00	130 030	6,501 50	4,097 50	LT
	Nov 9, 07	25 000	85 090	2,127 25	130 030	3,250 75	1,123 50	LT
Security total		75 000	60 417	4,531 25		9,752 25	5,221 00	
PROCTER & GAMBLE CO								
Symbol PG Exchange. NYSE								
EAI: $481 Current yield: 2 95%	Mar 7, 06	100 000	60 429	6,042 94	81 410	8,141 00	2,098 06	LT
	Mar 7, 06	25 000	60 429	1,510 73	81 410	2,035 25	524 52	LT
	Dec 23, 10	75.000	65 225	4,891 88	81 410	6,105 75	1,213 87	LT
Security total		200 000	62 228	12,445 55		16,282 00	3,836 45	
QUALCOMM INC								
Symbol QCOM Exchange OTC								
EAI $140 Current yield 1 89%	Apr 1, 04	100 000	33 080	3,308 00	74 250	7,425 00	4,117 00	LT
SCHLUMBERGER LTD NETHERLANDS ANTILLES								
Symbol SLB Exchange NYSE								
EAI $156 Current yield. 1 38%	Earnings	125 000	27 010	3,376 25	90.110	11,263 75	7,887 50	
SEMPRA ENERGY								
Symbol: SRE Exchange NYSE								
EAI: $252 Current yield 2 81%	Mar 24, 10	100 000	49 515	4,951 50	89 760	8,976 00	4,024 50	LT
SOUTHERN CO								
Symbol SO Exchange NYSE								
EAI $203 Current yield 4 94%	Mar 19, 09	100 000	30 097	3,009 77	41 110	4,111.00	1,101 23	LT
TARGET CORP								
Symbol TGT Exchange NYSE								
EAI $172 Current yield 2 72%	Earnings	100 000	51 774	5,177 45	63 270	6,327 00	1,149 55	
UNTD TECHNOLOGIES CORP								
Symbol UTX Exchange NYSE								
EAI $354 Current yield 2 07%	Jul 6, 06	100 000	64 261	6,426 18	113 800	11,380 00	4,953 82	LT
	Oct 19, 06	50 000	65 037	3,251 88	113 800	5,690 00	2,438 12	LT

continued next page

Account name NORWOTTOCK CHARITABLE TRUST
Account number [redacted]

Your Financial Advisor:
PETER ERRETT VAN NICE, JR
312-525-4500/800-621-0684

Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 31 ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
Security total		150 000	64 520	9,678 06		17,070 00	7,391 94	
US BANCORP DEL (NEW)								
Symbol USB Exchange NYSE								
EAI $276 Current yield 2 28%	May 8, 09	200 000	19 475	3,895 02	40 400	8,080 00	4,184 98	LT
	Jul 22, 09	100 000	19 089	1,908 99	40 400	4,040 00	2,131 01	LT
Security total		300 000	19 347	5,804 01		12,120 00	6,315 99	
WALT DISNEY CO (HOLDING CO)								
DISNEY COM								
Symbol DIS Exchange NYSE								
EAI $151 Current yield 1 13%	Sep 24, 08	175 000	32 044	5,607 70	76 400	13,370 00	7,762 30	LT
Total				**$201,893.30**		**$393,464.00**	**$191,570.70**	

Total estimated annual income: $7,714

Closed end funds & Exchange traded products

Total reinvested is the total of all reinvested dividends It does not include any cash dividends It is not a tax lot for the purposes of determining holding periods or cost basis The shares you receive each time you reinvest dividends become a separate tax lot

Cost basis is the total purchase cost of the security, including reinvested dividends The cost basis may need to be adjusted for return of capital payments in order to determine the adjusted cost basis for tax reporting purposes

Unrealized (tax) gain or loss is the difference between the current value and the cost basis and would generally be your taxable gain or loss if the security was sold on this date The unrealized (tax) gain or loss may need to be adjusted for return of capital payments in order to determine the realized gain or loss for tax reporting purposes

Investment return is the current value minus the amount you invested It does not include shares that are not reflected on your statement, including shares that have been realized as either a gain or a loss It also does not include cash dividends that were not reinvested

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Dec 31 ($)	Value on Dec 31 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
ISHARES TRUST CORE S&P									
SMALL-CAP ETF									
Symbol IJR									
Trade date Jun 27, 03	500 000	36 653	18,326 67	18,326 67	109 130	54,565 00	36,238 33		LT
Trade date Nov 9, 07	50 000	65 756	3,287 82	3,287 82	109 130	5,456 50	2,168 68		LT
Trade date May 7, 09	150 000	44 230	6,634 50	6,634 50	109 130	16,369 50	9,735 00		LT
EAI $765 Current yield 1 00%									
Security total	700 000	40 356	28,248 99	28,248 99		76,391 00	48,142 01	48,142 01	
ISHARES MSCI EAFE ETF									
Symbol EFA									

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Your assets › Equities › Closed end funds & Exchange traded products (continued)

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Dec 31 ($)	Value on Dec 31 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
Trade date Dec 23, 03	800 000	44 066	35,253 33	35,253 33	67 095	53,676 00	18,422 67	18,422 67	LT
EAI $1,362 Current yield 2 54%									
ISHARES MSCI EMERGING MARKETS ETF									
Symbol EEM									
Trade date Jul 22, 09	100 000	34 750	3,475 00	3,475 00	41 795	4,179 50	704 50	704 50	LT
EAI $86 Current yield 2 06%									
SPDR S&P MIDCAP 400 ETF TR									
Symbol MDY									
Trade date Oct 28, 03	225 000	98 760	22,221 00	22,221 00	244.200	54,945 00	32,724 00		LT
Trade date Nov 9, 07	175 000	156 984	27,472 30	27,472 30	244 200	42,735 00	15,262 70		LT
EAI $1,042 Current yield 1 07%									
Security total	400 000	124 233	49,693 30	49,693 30		97,680 00	47,986 70	47,986 70	
Total			**$116,670.62**	**$116,670.62**		**$231,926.50**	**$115,255.88**	**$115,255.88**	

Total estimated annual income: $3,255

Fixed income

Closed end funds & Exchange traded products

Total reinvested is the total of all reinvested dividends It does not include any cash dividends It is not a tax lot for the purposes of determining holding periods or cost basis The shares you receive each time you reinvest dividends become a separate tax lot

Cost basis is the total purchase cost of the security, including reinvested dividends The cost basis may need to be adjusted for return of capital payments in order to determine the adjusted cost basis for tax reporting purposes

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Investment return is the current value minus the amount you invested It does not include shares that are not reflected on your statement, including shares that have been realized as either a gain or a loss It also does not include cash dividends that were not reinvested

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Dec 31 ($)	Value on Dec 31 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
ISHARES INTER CREDIT BOND ETF									
Symbol CIU									
Trade date May 8, 12	80 000	109 340	8,747 20	8,747 20	107 880	8,630 40	-116 80	-116 80	LT
EAI $235 Current yield 2 72%									

Your assets › **Fixed income** (continued)

Mutual funds

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Investment return is the current value minus the amount you invested It does not include shares that are not reflected on your statement, including shares that have been realized as either a gain or a loss It also does not include cash dividends that were not reinvested

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Dec 31 ($)	Value on Dec 31 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
MFS EMERGING MARKETS									
DEBT FUND CLASS I									
Symbol MEDIX									
Trade date Jun 28, 11	1,897 000	14 690	27,866 93	27,866 93	14 520	27,544 43	-322 50		LT
Total reinvested	185 849	15 480		2,877 08	14 520	2,698 53	-178 55		
EAI $1,579 Current yield 5 22%									
Security total	2,082 849	14 761	27,866 93	30,744 01		30,242 96	-501 05	2,376 03	

Non-traditional

Mutual funds

Total reinvested is the total of all reinvested dividends It does not include any cash dividends It is not a tax lot for the purposes of determining holding periods or cost basis The shares you receive each time you reinvest dividends become a separate tax lot

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Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Dec 31 ($)	Value on Dec 31 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
ARBITRAGE FUND NO LOAD									
CLASS									
Symbol ARBFX									
Trade date Aug 3, 12	389 105	12 850	5,000 00	5,000 00	12 600	4,902 72	-97 28		LT
Trade date Sep 4, 12	195 008	12 819	2,500 00	2,500 00	12 600	2,457 10	-42 90		LT
Total reinvested	19 257	12 476		240 26	12 600	242 64	2 38		

continued next page

Your assets › Non-traditional › Mutual funds (continued)

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Dec 31 ($)	Value on Dec 31 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
Security total	603 370	12 828	7,500 00	7,740 26		7,602 46	-137 80	102 46	
CALAMOS MARKET NEUTRAL INCOME FUND CLASS A									
Symbol CVSIX									
Trade date Jul 27, 12	396 197	12 619	5,000 00	5,000 00	12.960	5,134 70	134 70		LT
Total reinvested	16 063	12 843		206 31	12 960	208 18	1 87		
EAI $68 Current yield 1 27%									
Security total	412 260	12 629	5,000 00	5,206 31		5,342 88	136.57	342 88	
MAINSTAY MARKETFIELD FUND CLASS I									
Symbol MFLDX									
Trade date. Apr 9, 12	1,353 180	14 779	20,000 00	20,000 00	18 520	25,060 89	5,060 89		LT
Total reinvested	6 412	15 572		99 85	18 520	118 75	18 90		
EAI $3 Current yield 0 01%									
Security total	1,359 592	14 784	20,000 00	20,099 85		25,179 64	5,079 79	5,179 64	
Total			**$32,500.00**	**$33,046.42**		**$38,124.98**	**$5,078.56**	**$5,624.98**	

Total estimated annual income: $71

Commodities

Closed end funds & Exchange traded products

Total reinvested is the total of all reinvested dividends It does not include any cash dividends It is not a tax lot for the purposes of determining holding periods or cost basis The shares you receive each time you reinvest dividends become a separate tax lot

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Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Dec 31 ($)	Value on Dec 31 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
SPDR GOLD TRUST									
Symbol GLD									
Trade date Mar 24, 10	50 000	105 188	5,259 40	5,259 40	116 120	5,806 00	546 60	546 60	LT

Norwottock Charitable Trust
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Name	Paid Amount
Ryerson Woods	500.00
The Kensington Conservancy	1,000 00
Foundation for National Progress	1,000 00
The Chicago Council on Global Affairs	375.00
High Concept Laboratories	7,500.00
A Better Balance	512.00
Chicago Community Trust	1,000.00
Elastic Arts Foundation	500.00
Friends of Ryerson Woods	120 00
High Concept Laboratories	4,100.00
High Concept Laboratories	15,000.00
High Concept Laboratories	1,000.00
Voices for IL Children	135.00
Interfaith Youth Core	1,000.00
Openlands Project	500.00
Chicago Council on Global Affairs	10,000.00
Chicago Historical Society	100.00
Health & Medicine Policy Research Group	2,500.00
High Concept Laboratories	5,000.00
High Concept Laboratories	5,000.00
Metropolitan Opera	100.00
Harvard University	2,500 00
High Concept Laboratories	5,500.00
High Concept Laboratories	5,000.00
Strategic Learning Initiatives	250,000.00
Americans for Oxford - Linacre College	1,000.00
High Concept Laboratories	5,000 00
Lincoln Park Conservancy	250.00
metropolis Strategies	5,000.00
High Concept Laboratories	5,000 00
Hampshire College	1,561.00
Friends of Ryerson Woods	100.00
Chicago Humanities Festival	700.00
Women's Global Education Project	250 00
The Point	500 00
High Concept Laboratories	5,000 00
Indiana Firefighters	30.00
Field Museum	1,200.00
High Concept Laboratories	5,000 00
Chicago Symphony Orchestra	3,500.00
People for the American Way	100 00
Protect Our Rights	250.00
BPI	100.00
CERES	1,000.00
WFMT Fine Arts Station	150 00
World Resources Institute	250.00
WTTW Channel 11	100.00
Common Cause Education Fund	100.00
Common School	1,500.00
University of Chicago	5,000.00
Adlai Stevenson Center on Democracy	1,000.00
Arizona Center for Integrative Medicine	2,500.00
Bulletin for Atomic Scientists	500.00
Chicago Council on Global Affairs	5,000.00
Field Museum	5,000 00

All receipients are Section 501)(c)(3) organizations.

Norwottock Charitable Trust
EIN: 04-6561597
2013 Form 990-PF, Page 11, Part XV, Line 3a

Name	Paid Amount
Hampshire College	5,000.00
Peggy Notebaert Museum	1,000.00
Union of Concerned Scientists	5,000 00
American Academy of Arts & Sciences	250.00
Art Institute	2,500.00
Center for International Policy	250.00
Center On Budget & Policy Priorities	100.00
Delta Institute	250.00
Environmental Defense Fund	500.00
Environmental Law & Policy Center	250.00
Global Fund for Women	250.00
Hampshire College	1,000.00
Interfaith Worker Justice	100 00
International Crane Foundation	500 00
Lyric Opera of Chicago	2,500.00
Museum of Science & Industry	250.00
Newberry Library	500.00
Rocky Mountain Institute	1,000.00
High Concept Laboratories	5,000.00
Chicago Community Trust	1,000 00
Community Media Workshop	250.00
Hampshire College	100 00
National MS Society	100.00
The Kensington Conservancy	2,500.00
Alliance For Justice	250.00
Center for International Policy	750.00
Center for Neighborhood Technology	250.00
Institute for Policy Studies	150 00
Synergos Institute	15,000.00
Synergos Institute	5,000.00
122 E 66th St Foundation, Inc.	250.00
High Concept Laboratories	5,000.00
Sinai Health System	250.00
TOTAL	**433,633.00**

All receipients are Section 501)(c)(3) organizations.