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**Return of Private Foundation**

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

**2013**

Department of the Treasury  
Internal Revenue Service

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Open to Public Inspection

For calendar year 2013 or tax year beginning

, and ending

Name of foundation <b>THE WARD FOUNDATION, INC.</b>		A Employer identification number <b>06-1519409</b>
Number and street (or P O box number if mail is not delivered to street address) <b>77 WINFIELD LANE</b>	Room/suite	B Telephone number <b>203-966-7885</b>
City or town, state or province, country, and ZIP or foreign postal code <b>NEW CANAAN, CT 06840</b>		C If exemption application is pending, check here <input type="checkbox"/>
G Check all that apply <input type="checkbox"/> Initial return <input type="checkbox"/> Final return <input type="checkbox"/> Address change <input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Amended return <input type="checkbox"/> Name change		D 1. Foreign organizations, check here <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/>
H Check type of organization <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/>
I Fair market value of all assets at end of year (from Part II, col (c), line 16) \$ <b>610,932.</b>	J Accounting method <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____	F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>

Part I Analysis of Revenue and Expenses <small>(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a))</small>	(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
1 Contributions, gifts, grants, etc., received			N/A	
2 Check <input checked="" type="checkbox"/> if the foundation is not required to attach Sch B				
3 Interest on savings and temporary cash investments				
4 Dividends and interest from securities	9,942.	9,942.		STATEMENT 1
5a Gross rents				
b Net rental income or (loss)				
6a Net gain or (loss) from sale of assets not on line 10	66,980.			
b Gross sales price for all assets on line 6a	956,732.			
7 Capital gain net income (from Part IV, line 2)		66,980.		
8 Net short-term capital gain				
9 Income modifications				
10a Gross sales less returns and allowances				
b Less Cost of goods sold				
c Gross profit or (loss)				
11 Other income				
12 Total. Add lines 1 through 11	76,922.	76,922.		
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	37.	37.		0.
18 Taxes <span style="float:right">STMT 2</span>	168.	168.		0.
19 Depreciation and depletion				
20 Occupancy				
21 Travel, conferences, and meetings				
22 Printing and publications				
23 Other expenses <span style="float:right">STMT 3</span>	7,950.	7,950.		0.
24 Total operating and administrative expenses. Add lines 13 through 23	8,155.	8,155.		0.
25 Contributions, gifts, grants paid	32,550.			32,550.
26 Total expenses and disbursements. Add lines 24 and 25	40,705.	8,155.		32,550.
27 Subtract line 26 from line 12				
a Excess of revenue over expenses and disbursements	36,217.			
b Net investment income (if negative, enter -0-)		68,767.		
c Adjusted net income (if negative, enter -0-)			N/A	

SCANNED MAY 27 2014

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			
	3 Accounts receivable ▶ 290.			
	Less allowance for doubtful accounts ▶		290.	290.
	4 Pledges receivable ▶			
	Less allowance for doubtful accounts ▶			
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons			
	7 Other notes and loans receivable ▶			
	Less allowance for doubtful accounts ▶			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10a Investments - U S and state government obligations			
	b Investments - corporate stock			
	c Investments - corporate bonds			
	11 Investments - land, buildings, and equipment basis ▶			
Less: accumulated depreciation ▶				
12 Investments - mortgage loans				
13 Investments - other STMT 4	535,748.	571,675.	610,642.	
14 Land, buildings, and equipment basis ▶				
Less accumulated depreciation ▶				
15 Other assets (describe ▶)				
16 Total assets (to be completed by all filers - see the instructions Also, see page 1, item 1)	535,748.	571,965.	610,932.	
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 ▶ DUE TO TRUSTEE)	4,000.	4,000.	
	23 Total liabilities (add lines 17 through 22)	4,000.	4,000.	
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ <input type="checkbox"/>			
	and complete lines 24 through 26 and lines 30 and 31.			
	24 Unrestricted			
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ <input checked="" type="checkbox"/>			
	and complete lines 27 through 31.			
27 Capital stock, trust principal, or current funds	0.	0.		
28 Paid-in or capital surplus, or land, bldg., and equipment fund	0.	0.		
29 Retained earnings, accumulated income, endowment, or other funds	531,748.	567,965.		
30 Total net assets or fund balances	531,748.	567,965.		
31 Total liabilities and net assets/fund balances	535,748.	571,965.		

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	531,748.
2 Enter amount from Part I, line 27a	2	36,217.
3 Other increases not included in line 2 (itemize) ▶	3	0.
4 Add lines 1, 2, and 3	4	567,965.
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	567,965.

**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 MORGANSTANLY SMITH BARNEY - SEE ATTACHED	P	VARIOUS	12/31/13
b CONSULTING GRP CORE FIXED - WASH SALE	P	03/21/13	11/01/13
c MORGANSTANLY SMITH BARNEY - SEE ATTACHED	P	VARIOUS	12/31/13
d MORGANSTANLY SMITH BARNEY - SEE ATTACHED	P	VARIOUS	12/31/13
e CONSULTING GRP - CAPITAL GAIN DISTRIBUTIONS			

(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 356,262.		376,500.	-20,238.
b 14.			14.
c 111,410.		100,000.	11,410.
d 476,933.		413,252.	63,681.
e 12,113.			12,113.

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) FMV as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
a			-20,238.
b			14.
c			11,410.
d			63,681.
e			12,113.

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	66,980.
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) If (loss), enter -0- in Part I, line 8		3	N/A

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

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

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

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period?

Yes  No

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2012	45,334.	577,354.	.078520
2011	32,450.	619,138.	.052412
2010	36,400.	645,198.	.056417
2009	40,850.	600,248.	.068055
2008	55,998.	718,608.	.077926

2 Total of line 1, column (d)	2	.333330
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	.066666
4 Enter the net value of noncharitable-use assets for 2013 from Part X, line 5	4	606,427.
5 Multiply line 4 by line 3	5	40,428.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	688.
7 Add lines 5 and 6	7	41,116.
8 Enter qualifying distributions from Part XII, line 4 If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate See the Part VI instructions	8	32,550.

**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 <input type="checkbox"/> and enter "N/A" on line 1 Date of ruling or determination letter _____ (attach copy of letter if necessary-see instructions)		
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input type="checkbox"/> and enter 1% of Part I, line 27b	1	1,375.
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	1,375.
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	1,375.
6	Credits/Payments		
a	2013 estimated tax payments and 2012 overpayment credited to 2013	6a	354.
b	Exempt foreign organizations - tax withheld at source	6b	
c	Tax paid with application for extension of time to file (Form 8868)	6c	
d	Backup withholding erroneously withheld	6d	
7	Total credits and payments Add lines 6a through 6d	7	354.
8	Enter any penalty for underpayment of estimated tax Check here <input type="checkbox"/> if Form 2220 is attached	8	
9	Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9	1,021.
10	Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	
11	Enter the amount of line 10 to be Credited to 2014 estimated tax Refunded	11	

**Part VII-A Statements Regarding Activities**

	Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		X
1b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for the definition)? 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		X
1c Did the foundation file Form 1120-POL for this year?		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		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		X
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		X
b If "Yes," has it filed a tax return on Form 990-T for this year?		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by General Instruction T		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?	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	X	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) CT		
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	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		X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses		X

N/A

Part VII-A Statements Regarding Activities (continued)

11 At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)
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)
13 Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address N/A
14 The books are in care of RICHARD S. WARD Telephone no 203-966-7885 Located at 77 WINFIELD LANE, NEW CANAAN, CONNECTICUT ZIP+4 06840
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
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? 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.

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?
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?
(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)?
(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.)
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)? 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?
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? 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)
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?
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.)
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?
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?

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

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

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

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

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

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

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

b If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)?  Yes  No  
 Organizations relying on a current notice regarding disaster assistance check here  N/A

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?  Yes  No  
 If "Yes," attach the statement required by Regulations section 53.4945-5(d). N/A

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?  Yes  No  
 If "Yes" to 6b, file Form 8870. 6b X

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?  Yes  No  
 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
RICHARD S. WARD 77 WINFIELD LANE NEW CANAAN, CT 06840	PRESIDENT 0.00	0.	0.	0.
ANNE S. WARD 77 WINFIELD LANE NEW CANAAN, CT 06840	CHAIRMAN 0.00	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

1 MAINTAINS INVESTMENTS AND DISTRIBUTES CONTRIBUTIONS TO SELECT CHARITABLE ORGANIZATIONS.	Expenses
	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.

1 N/A	Amount
2	
3 All other program-related investments See instructions	
<b>Total.</b> Add lines 1 through 3 <span style="float: right;">▶</span>	0.

**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	587,084.
b	Average of monthly cash balances	1b	28,578.
c	Fair market value of all other assets	1c	
d	Total (add lines 1a, b, and c)	1d	615,662.
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	615,662.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	9,235.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	606,427.
6	Minimum investment return. Enter 5% of line 5	6	30,321.

**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	30,321.
2a	Tax on investment income for 2013 from Part VI, line 5	2a	1,375.
b	Income tax for 2013 (This does not include the tax from Part VI)	2b	
c	Add lines 2a and 2b	2c	1,375.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	28,946.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	28,946.
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	28,946.

**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	32,550.
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	32,550.
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	0.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	32,550.

**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				28,946.
2 Undistributed income, if any, as of the end of 2013				
a Enter amount for 2012 only			0.	
b Total for prior years		0.		
3 Excess distributions carryover, if any, to 2013				
a From 2008	20,372.			
b From 2009	11,186.			
c From 2010	4,393.			
d From 2011	2,003.			
e From 2012	16,798.			
f Total of lines 3a through e	54,752.			
4 Qualifying distributions for 2013 from Part XII, line 4 ▶ \$	32,550.			
a Applied to 2012, 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 2013 distributable amount				28,946.
e Remaining amount distributed out of corpus	3,604.			
5 Excess distributions carryover applied to 2013 (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	58,356.			
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 2012 Subtract line 4a from line 2a Taxable amount - see instr			0.	
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)	0.			
8 Excess distributions carryover from 2008 not applied on line 5 or line 7	20,372.			
9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a	37,984.			
10 Analysis of line 9				
a Excess from 2009	11,186.			
b Excess from 2010	4,393.			
c Excess from 2011	2,003.			
d Excess from 2012	16,798.			
e Excess from 2013	3,604.			

**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 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)

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

	Tax year		Prior 3 years		(e) Total
	(a) 2013	(b) 2012	(c) 2011	(d) 2010	
b 85% of line 2a					
c Qualifying distributions from Part XII, line 4 for each year listed					
d Amounts included in line 2c not used directly for active conduct of exempt activities					
e Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c					
3 Complete 3a, b, or c for the alternative test relied upon					
a "Assets" alternative test - enter					
(1) Value of all assets					
(2) Value of assets qualifying under section 4942(j)(3)(B)(i)					
b "Endowment" alternative test - enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed					
c "Support" alternative test - enter					
(1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)					
(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii)					
(3) Largest amount of support from an exempt organization					
(4) Gross investment income					

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

**1 Information Regarding Foundation Managers:**

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

SEE STATEMENT 5

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

NONE

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

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

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

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

c Any submission deadlines

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

**Part XV** Supplementary Information (continued)

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
<p>a <i>Paid during the year</i></p> <p>AMERICAN CANCER SOCIETY 372 DANBURY ROAD WILTON, CT 06897</p>			GENERAL PURPOSE	500.
<p>EARLHAM ALUMNI FUND 801 NATIONAL ROAD WEST RICHMOND, IN 47374</p>			GENERAL PURPOSE	1,000.
<p>INTERNATIONAL COLLEGE 215 PARK AVE SOUTH NEW YORK, NY 10003</p>			GENERAL PURPOSE	5,000.
<p>KENT SCHOOL 1 MACEDONIA ROAD KENT, CT 06757</p>			GENERAL PURPOSE	6,000.
<p>NEW CANAAN NATURE CENTER 182 SOUTH AVENUE W NEW CANAAN, CT 06840</p>			GENERAL PURPOSE	100.
<p><b>Total</b> SEE CONTINUATION SHEET(S) <span style="float: right;">▶ 3a</span></p>				32,550.
<p>b <i>Approved for future payment</i></p> <p>NONE</p>				
<p><b>Total</b> <span style="float: right;">▶ 3b</span></p>				0.





**Part XV** Supplementary Information**3 Grants and Contributions Paid During the Year (Continuation)**

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
NEW CANAAN COMMUNITY FOUNDATION 21 LOCUST AVE. SUITE # 1B NEW CANAAN, CT 06840			GENERAL PURPOSE	1,000.
NEW CANAAN GROUP HOME INC. 162 SOUTH AVENUE NEW CANAAN, CT 06840			GENERAL PURPOSE	500.
NEW CANAAN HIGH SCHOOL ACTIVITY FUND 11 FARM ROAD NEW CANAAN, CT 06840			GENERAL PURPOSE	500.
NEW CANAAN LIBRARY 151 MAIN STREET NEW CANAAN, CT 06840			GENERAL PURPOSE	300.
STAR INC. LIGHTING THE WAY 182 WOLFPIT AVE. NORWALK, CT 06851			GENERAL PURPOSE	250.
STAYING PUT IN NEW CANAAN 58 PINE STREET NEW CANAAN, CT 06840			GENERAL PURPOSE	1,000.
UNIVERSITY OF VIRGINIA LAW SCHOOL FOUNDATION 580 MASSIE ROAD CHARLOTTESVILLE, VA 22903			GENERAL PURPOSE	5,000.
WAVENY CARE NETWORK 3 FARM ROAD NEW CANAAN, CT 06840			GENERAL PURPOSE	300.
YALE UNIVERSITY 38 HILLHOUSE AVE. NEW HAVEN, CT 06520			GENERAL PURPOSE	10,000.
VISTA VACATIONAL & LIFE SKILLS CENTER 1301 OLEANDER AVE. CHULA VISTA, CA 91911			GENERAL PURPOSE	1,000.
Total from continuation sheets				19,950.



FORM 990-PF	DIVIDENDS AND INTEREST FROM SECURITIES				STATEMENT	1
SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	(A) REVENUE PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	
MORGANSTANLEY SMITH BARNEY NON-DIVIDEND DISTRIBUTIONS	9,551.	0.	9,551.	9,551.		
	391.	0.	391.	391.		
TO PART I, LINE 4	9,942.	0.	9,942.	9,942.		

FORM 990-PF	TAXES				STATEMENT	2
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES		
FOREIGN TAX	168.	168.		0.		
TO FORM 990-PF, PG 1, LN 18	168.	168.		0.		

FORM 990-PF	OTHER EXPENSES				STATEMENT	3
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES		
REIMBURSEMENT - INVESTMENT FEES	7,950.	7,950.		0.		
TO FORM 990-PF, PG 1, LN 23	7,950.	7,950.		0.		

FORM 990-PF	OTHER INVESTMENTS	STATEMENT	4
DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
DELAWARE EMERGING MARKETS FUND CLASS A	COST	0.	0.
FUNDING IN TRANSIT	COST	-18,457.	-18,457.
IVY ASSET STRATEGY FUND (5165 SHS)	COST	0.	0.
NEUBERGER BERMAN EQUITY INCOME FUND	COST	0.	0.
SUNAMERICA FOCUSED DIVIDEND STRATEGY PORTFOLIO	COST	0.	0.
CONSULTING GP GOVT' MMKT INV	COST	21,234.	21,234.
CONSULTING GP CORE FIXED INC.	COST	98,046.	94,483.
CONSULTING GP EMERG MKT EQ INV	COST	24,093.	21,183.
CONSULTING GRP HI YLD INV	COST	16,027.	15,973.
CONSULTING GRP INTL EQ INV	COST	94,290.	105,085.
CONSULTING GRP INTL FIX INC. INV	COST	22,878.	20,926.
CONSULTING GRP LP CAP VAL EQ	COST	91,966.	105,916.
CONSULTING GRP LG CP GW INV	COST	116,080.	131,773.
CONSULTING GRP SM CP GW INV	COST	14,039.	17,714.
CONSULTING GRP SM CP VL EQ INV	COST	16,479.	16,812.
GOLDMAN SACHS MLP INC OPPTY FD	COST	75,000.	78,000.
TOTAL TO FORM 990-PF, PART II, LINE 13		571,675.	610,642.

FORM 990-PF	PART XV - LINE 1A	STATEMENT	5
	LIST OF FOUNDATION MANAGERS		

NAME OF MANAGER  
 RICHARD S. WARD  
 ANNE S. WARD

## Corporate Tax Statement Tax Year 2013

Morgan Stanley Smith Barney Holdings LLC  
1 New York Plaza  
8th Floor  
New York, NY 10004  
Identification Number: 26-4310632  
Taxpayer ID Number: 06-1519409  
Account Number: 409 114461 146

THE WARD FOUNDATION  
RICHARD WARD  
77 WINFIELD LANE  
NEW CANAAN CT 06840-3439

**Customer Service: 866-324-6088**

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### 1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS

OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

**Short Term - Covered Securities** (Consider Box 6b (Basis Reported to IRS) as being checked for this section. These transactions should be reported on Form 8949 Part I with box A checked.)

DESCRIPTION (Box 8)	QUANTITY ACQUIRED (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
APOLLO TACTICAL INCOME FND INC	5,000 000	02/25/13	05/08/13	\$94,454.51	\$100,000.00	\$0.00	(\$5,545.49)	\$0.00
CUSIP: 037638103				Symbol (Box 1d): AIF				
CENTER COAST MLP & INFRSTR FD	3,750 000	09/25/13	11/14/13	\$70,168.70	\$75,000.00	\$0.00	(\$4,831.30)	\$0.00
CUSIP: 151461100				Symbol (Box 1d): CEN				
CONSULTING GRP CORE FIXED INC	23.101	03/21/13	11/08/13	\$190.77	\$197.00	\$6.23	(\$6.23)	\$0.00
27.440	03/21/13	11/08/13	\$226.62	\$234.03	\$7.41	(\$7.41)	\$0.00	
618.108	03/21/13	11/08/13	\$5,105.65	\$5,272.54	\$0.00	(\$166.89)	\$0.00	
668.649			\$5,523.04	\$5,703.57	\$13.64	(\$180.53)	\$0.00	
CUSIP: 210474201				Symbol (Box 1d): TIUX				
CONSULTING GRP EMRG MKT EQ INV	721.295	03/21/13	11/08/13	\$10,653.52	\$11,043.02	\$0.00	(\$389.50)	\$0.00
CUSIP: 210474847				Symbol (Box 1d): TEMUX				
CONSULTING GRP INTL FX INC INV	1,951.185	03/21/13	11/08/13	\$15,863.13	\$16,233.84	\$0.00	(\$370.71)	\$0.00
CUSIP: 210474854				Symbol (Box 1d): TIFUX				
CONSULTING GRP LG CP GW INVEST	971.661	03/21/13	09/13/13	\$19,520.67	\$17,451.03	\$0.00	\$2,069.64	\$0.00
CUSIP: 210474870				Symbol (Box 1d): TLGUX				
CONSULTING GRP SM CP GW INVEST	86.711	03/21/13	09/13/13	\$2,289.16	\$1,969.21	\$0.00	\$319.95	\$0.00
200.052	03/21/13	11/08/13	\$5,551.43	\$4,543.18	\$0.00	\$1,008.25	\$0.00	
286.763			\$7,840.59	\$6,512.39	\$0.00	\$1,328.20	\$0.00	
CUSIP: 210474888				Symbol (Box 1d): TSGUX				
Security Subtotal	19.667	03/21/13	09/13/13	\$295.01	\$274.75	\$0.00	\$20.26	\$0.00
CUSIP: 210474805				Symbol (Box 1d): TSVUX				

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IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS

## Corporate Tax Statement Tax Year 2013

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Identification Number. 26-4310632

Taxpayer ID Number: 06-1519409  
Account Number 409 114461 146

**Customer Service: 866-324-6088**

THE WARD FOUNDATION  
RICHARD WARD  
77 WINFIELD LANE  
NEW CANAAN CT 06840-3439

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### 1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

**Short Term - Covered Securities** (Consider Box 6b (Basis Reported to IRS) as being checked for this section. These transactions should be reported on Form 8949 Part I with box A checked )  
(Continued)

DESCRIPTION (Box 8)	QUANTITY ACQUIRED (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
DELAWARE EMERGING MARKETS A	CUSIP: 245914841	Symbol (Box 1d): DEMAX						
	44 215	12/21/12	03/13/13	\$652.62	\$621.22	\$0.00	\$31.40	\$0.00
FIRST TR INTERM DUR PRF&INC FD	CUSIP: 33718W103	Symbol (Box 1d): FPF						
	4,000 000	05/23/13	08/15/13	\$83,641.63	\$100,000.00	\$0.00	(\$16,358.37)	\$0.00
IVY ASSET STRATEGY A	CUSIP: 466000759	Symbol (Box 1d): WASAX						
	186 905	12/13/12	03/13/13	\$5,055.79	\$4,756.73	\$0.00	\$299.06	\$0.00
NEUBERGER BERMAN EQ INCA	CUSIP: 641224522	Symbol (Box 1d): NBHAX						
	72 413	03/27/12	03/13/13	\$885.61	\$822.61	\$0.00	\$63.00	\$0.00
	93 040	06/26/12	03/13/13	\$1,137.88	\$1,029.95	\$0.00	\$107.93	\$0.00
	91 923	09/21/12	03/13/13	\$1,124.22	\$1,094.80	\$0.00	\$29.42	\$0.00
	176 907	12/14/12	03/13/13	\$2,163.66	\$2,036.20	\$0.00	\$127.46	\$0.00
	57 063	12/14/12	03/13/13	\$697.88	\$656.80	\$0.00	\$41.08	\$0.00
	15 769	12/14/12	03/13/13	\$192.85	\$181.50	\$0.00	\$11.35	\$0.00
<b>Security Subtotal</b>	<b>507.115</b>			<b>\$6,202.10</b>	<b>\$5,821.86</b>	<b>\$0.00</b>	<b>\$380.24</b>	<b>\$0.00</b>
SUNAMERICA NEW FOC DIV STRA A	CUSIP: 86704B822	Symbol (Box 1d): FDSAX						
	1,886 792	03/22/12	03/13/13	\$27,396.20	\$24,999.99	\$0.00	\$2,396.21	\$0.00
	74 918	03/28/12	03/13/13	\$1,087.81	\$963.45	\$0.00	\$124.36	\$0.00
	100 594	06/27/12	03/13/13	\$1,460.62	\$1,277.54	\$0.00	\$183.08	\$0.00
	92 472	09/26/12	03/13/13	\$1,342.69	\$1,242.83	\$0.00	\$99.86	\$0.00
	166.158	12/13/12	03/13/13	\$2,412.76	\$2,173.35	\$0.00	\$239.41	\$0.00

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**1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715**

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

**Short Term - Covered Securities** (Consider Box 6b (Basis Reported to IRS) as being checked for this section. These transactions should be reported on Form 8949 Part I with box A checked )  
(Continued)

DESCRIPTION (Box 8)	QUANTITY ACQUIRED (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
SUNAMERICA NEW FOC DIV STRA	141.928	12/13/12	03/13/13	\$2,060.79	\$1,856.42	\$0.00	\$204.37	\$0.00
	43.407	12/13/12	03/13/13	\$630.27	\$567.76	\$0.00	\$62.51	\$0.00
<b>Security Subtotal</b>	<b>2,506,269</b>			<b>\$36,391.14</b>	<b>\$33,081.34</b>	<b>\$0.00</b>	<b>\$3,309.80</b>	<b>\$0.00</b>
<b>Total Short Term Covered Securities</b>				<b>\$356,262.45</b>	<b>\$376,499.75</b>	<b>\$13.64</b>	<b>(\$20,237.30)</b>	<b>\$0.00</b>

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### 1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS

OMB NO. 1545-0715

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Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

**Long Term - Covered Securities** (Consider Box 6b (Basis Reported to IRS) as being checked for this section. These transactions should be reported on Form 8949 Part II with box D checked.)

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
IVY ASSET STRATEGY A	2,016.942	01/20/12	03/13/13	\$54,558.28	\$49,999.99	\$0.00	\$4,558.29	\$0.00
SUNAMERICA NEW FOC DIV STRA A	3,915.427	01/20/12	03/13/13	\$56,851.96	\$50,000.00	\$0.00	\$6,851.96	\$0.00
<b>Total Long Term Covered Securities</b>				<b>\$111,410.24</b>	<b>\$99,999.99</b>	<b>\$0.00</b>	<b>\$11,410.25</b>	<b>\$0.00</b>

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### 1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS

OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Long Term - Noncovered Securities # (Consider Box 6a (Noncovered Security) as being checked for this section. These transactions should be reported on Form 8949 Part II with box E checked.)

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
<b>DELAWARE EMERGING MARKETS A</b>								
		CUSIP: 245914841			Symbol (Box 1d): DEMAX			
	1,696,065	09/20/11	01/31/13	\$25,000.00	\$23,185.21	\$0.00	\$1,814.79	\$0.00
	1,961,579	09/20/11	03/13/13	\$28,952.91	\$26,814.78	\$0.00	\$2,138.13	\$0.00
	1,921,599	10/10/11	03/13/13	\$28,362.80	\$25,000.00	\$0.00	\$3,362.80	\$0.00
	11,158	12/23/11	03/13/13	\$164.69	\$139.48	\$0.00	\$25.21	\$0.00
	50,882	12/23/11	03/13/13	\$751.02	\$636.03	\$0.00	\$114.99	\$0.00
	58,024	12/23/11	03/13/13	\$856.43	\$725.30	\$0.00	\$131.13	\$0.00
<b>Security Subtotal</b>	<b>5,699,307</b>			<b>\$84,087.85</b>	<b>\$76,500.80</b>	<b>\$0.00</b>	<b>\$7,587.05</b>	<b>\$0.00</b>
<b>IVY ASSET STRATEGY A</b>								
		CUSIP: 466000759			Symbol (Box 1d): WASAX			
	2,752,294	03/17/09	01/31/13	\$75,000.00	\$53,284.41	\$0.00	\$21,715.59	\$0.00
	63,351	03/17/09	03/13/13	\$1,713.64	\$1,226.48	\$0.00	\$487.16	\$0.00
	21,399	12/10/09	03/13/13	\$578.84	\$473.13	\$0.00	\$105.71	\$0.00
	9,851	12/09/10	03/13/13	\$266.47	\$238.59	\$0.00	\$27.88	\$0.00
	40,309	12/08/11	03/13/13	\$1,090.36	\$916.63	\$0.00	\$173.73	\$0.00
	2,179,599	12/20/11	03/13/13	\$58,958.15	\$50,000.00	\$0.00	\$8,958.15	\$0.00
<b>Security Subtotal</b>	<b>5,066,803</b>			<b>\$137,607.46</b>	<b>\$106,139.24</b>	<b>\$0.00</b>	<b>\$31,468.22</b>	<b>\$0.00</b>
<b>NEUBERGER BERMAN EQ INC A</b>								
		CUSIP: 641224522			Symbol (Box 1d): NBHAX			
	169,348	04/07/11	01/04/13	\$2,000.00	\$1,983.07	\$0.00	\$16.93	\$0.00
	2,079,867	04/07/11	01/31/13	\$25,000.00	\$24,355.24	\$0.00	\$644.76	\$0.00
	2,020,640	04/07/11	03/13/13	\$24,712.41	\$23,661.69	\$0.00	\$1,050.72	\$0.00
	6,493,506	04/12/11	03/13/13	\$79,415.51	\$74,999.99	\$0.00	\$4,415.52	\$0.00
	72,713	06/27/11	03/13/13	\$889.28	\$818.02	\$0.00	\$71.26	\$0.00
	93,891	09/27/11	03/13/13	\$1,148.29	\$977.41	\$0.00	\$170.88	\$0.00
	21,758	12/20/11	03/13/13	\$266.10	\$233.90	\$0.00	\$32.20	\$0.00

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## Corporate Tax Statement Tax Year 2013

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**1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued)** **OMB NO. 1545-0715**

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Long Term - Noncovered Securities # (Consider Box 6a (Noncovered Security) as being checked for this section. These transactions should be reported on Form 8949 Part II with box E checked) (Continued)

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
NEUBERGER BERMAN EQ INC A	46,567	12/20/11	03/13/13	\$569.51	\$500.59	\$0.00	\$68.92	\$0.00
	88,049	12/20/11	03/13/13	\$1,076.84	\$946.53	\$0.00	\$130.31	\$0.00
<b>Security Subtotal</b>	<b>11,086,339</b>			<b>\$135,077.94</b>	<b>\$128,476.44</b>	<b>\$0.00</b>	<b>\$6,601.50</b>	<b>\$0.00</b>
CUSIP: 86704B822 Symbol (Box 1d): FDSAX								
SUNAMERICA NEW FOC DIV STRA A	981,873	05/18/11	01/08/13	\$13,000.00	\$12,204.68	\$0.00	\$795.32	\$0.00
	2,855,697	05/18/11	03/13/13	\$41,464.69	\$35,496.31	\$0.00	\$5,968.38	\$0.00
	4,336,601	05/18/11	03/13/13	\$62,967.40	\$52,299.41	\$0.00	\$10,667.99	\$0.00
	56,461	06/28/11	03/13/13	\$819.81	\$663.42	\$0.00	\$156.39	\$0.00

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Morgan Stanley Smith Barney Holdings LLC  
1 New York Plaza  
8th Floor  
New York, NY 10004  
Identification Number: 26-4310632

Taxpayer ID Number 06-1519409  
Account Number 409 114461 146

**Customer Service: 866-324-6088**

THE WARD FOUNDATION  
RICHARD WARD  
77 WINFIELD LANE  
NEW CANAAN CT 06840-3439

This information is NOT being furnished to the Internal Revenue Service. It is provided to you for informational purposes only.

### 1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Long Term - Noncovered Securities # (Consider Box 6a (Noncovered Security) as being checked for this section. These transactions should be reported on Form 8949 Part II with box E checked )  
(Continued)

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
SUNAMERICA NEW FOC DIV STRA	59.936	09/27/11	03/13/13	\$870.27	\$654.50	\$0.00	\$215.77	\$0.00
	71.455	12/15/11	03/13/13	\$1,037.53	\$817.45	\$0.00	\$220.08	\$0.00
Security Subtotal	8,362.023			\$120,159.70	\$102,135.77	\$0.00	\$18,023.93	\$0.00
<b>Total Long Term Noncovered Securities</b>				<b>\$476,932.95</b>	<b>\$413,252.25</b>	<b>\$0.00</b>	<b>\$63,680.70</b>	<b>\$0.00</b>
<b>Total Long Term Covered and Noncovered Securities</b>				<b>\$588,343.19</b>	<b>\$513,252.24</b>	<b>\$0.00</b>	<b>\$75,090.95</b>	<b>\$0.00</b>
<b>Total Short and Long Term, Covered and Noncovered Securities</b>				<b>\$944,605.64</b>	<b>\$889,751.99</b>	<b>\$13.64</b>	<b>\$54,853.65</b>	<b>\$0.00</b>
<b>Form 1099-B Total Reportable Amounts</b>								
Total Sales Price (Box 2a)	\$944,605.64							
Total Cost or Other Basis (Box 3)	\$476,499.74							
Total Wash Sale Loss Disallowed (Box 5)	\$13.64							
Total Fed Tax Withheld (Box 4)	\$0.00							

# Noncovered securities are not subject to the IRS cost basis reporting regulations, therefore their date of acquisition, cost basis, short or long term designation and any disallowed loss resulting from a wash sale will not be reported to the IRS.