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Return of Private Foundation

OMB No 1545-0052

Department of the Treasury
Internal Revenue Service

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.

2013

Open to Public Inspection

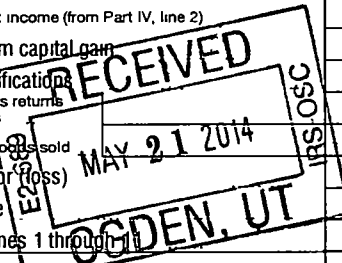
For calendar year 2013 or tax year beginning

, and ending

Name of foundation SILVER MOUNTAIN FOUNDATION FOR THE ARTS C/O WILLIAM E. SIMON & SONS, LLC		A Employer identification number 13-3157286
Number and street (or P.O. box number if mail is not delivered to street address) 310 SOUTH STREET, PO BOX 1913	Room/suite	B Telephone number 973-898-0290
City or town, state or province, country, and ZIP or foreign postal code MORRISTOWN, NJ 07962-1913		C If exemption application is pending, check here ☐
G Check all that apply: ☐ Initial return ☐ Final return ☐ Address change ☐ Initial return of a former public charity ☐ Amended return ☐ 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) \$ 12,468,344. (Part I, column (d) must be on cash basis.)	J Accounting method: ☒ Cash ☐ Accrual ☐ Other (specify) _____	F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a).)		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
1 Contributions, gifts, grants, etc., received		2,000,000.		N/A	
2 Check ☐ if the foundation is not required to attach Sch. B					
3 Interest on savings and temporary cash investments		14.	14.		Statement 2
4 Dividends and interest from securities		163,333.	163,333.		Statement 3
5a Gross rents					
b Net rental income or (loss)					
6a Net gain or (loss) from sale of assets not on line 10		533,280.			Statement 1
b Gross sales price for all assets on line 6a		1,698,613.			
7 Capital gain net income (from Part IV, line 2)			538,720.		
8 Net short-term capital gain					
9 Income modifications					
10a Gross sales less returns and allowances					
b Less Cost of goods sold					
c Gross profit or (loss)					
11 Other income		2,764.	546.		Statement 4
12 Total. Add lines 1 through 11		2,699,391.	702,613.		
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 Stmt 5		111,397.	111,397.		0.
17 Interest					
18 Taxes Stmt 6		19,324.	19,324.		0.
19 Depreciation and depletion					
20 Occupancy					
21 Travel, conferences, and meetings					
22 Printing and publications					
23 Other expenses Stmt 7		3,070.	2,685.		0.
24 Total operating and administrative expenses. Add lines 13 through 23		133,791.	133,406.		0.
25 Contributions, gifts, grants paid		1,100,440.			1,100,440.
26 Total expenses and disbursements. Add lines 24 and 25		1,234,231.	133,406.		1,100,440.
27 Subtract line 26 from line 12:					
a Excess of revenue over expenses and disbursements		1,465,160.			
b Net investment income (if negative, enter -0-)			569,207.		
c Adjusted net income (if negative, enter -0-)				N/A	

SCANNED MAY 29 2014



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Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only		Beginning of year	End of year	
				(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash - non-interest-bearing				
	2	Savings and temporary cash investments		1,361,673.	2,269,145.	2,269,145.
	3	Accounts receivable ▶				
		Less: allowance for doubtful accounts ▶				
	4	Pledges receivable ▶				
		Less: allowance for doubtful accounts ▶				
	5	Grants receivable				
	6	Receivables due from officers, directors, trustees, and other disqualified persons				
	7	Other notes and loans receivable ▶				
		Less: allowance for doubtful accounts ▶				
	8	Inventories for sale or use				
	9	Prepaid expenses and deferred charges				
	10a	Investments - U.S. and state government obligations				
	b	Investments - corporate stock Stmt. 9		1,129,805.	1,268,732.	1,931,291.
	c	Investments - corporate bonds				
	11	Investments - land, buildings, and equipment: basis ▶				
	Less: accumulated depreciation ▶					
12	Investments - mortgage loans					
13	Investments - other Stmt. 10		6,748,216.	7,164,320.	8,265,888.	
14	Land, buildings, and equipment: basis ▶					
	Less: accumulated depreciation ▶					
15	Other assets (describe ▶ Statement 11)		7.	2,020.	2,020.	
16	Total assets (to be completed by all filers - see the instructions. Also, see page 1, item 1)		9,239,701.	10,704,217.	12,468,344.	
Liabilities	17	Accounts payable and accrued expenses				
	18	Grants payable				
	19	Deferred revenue				
	20	Loans from officers, directors, trustees, and other disqualified persons				
	21	Mortgages and other notes payable				
	22	Other liabilities (describe ▶)				
	23	Total liabilities (add lines 17 through 22)		0.	0.	
Net Assets or Fund Balances		Foundations that follow SFAS 117, check here ▶ ☐				
	24	Unrestricted				
	25	Temporarily restricted				
	26	Permanently restricted				
		Foundations that do not follow SFAS 117, check here ▶ ☒				
	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		9,239,701.	10,704,217.	Statement 8
	30	Total net assets or fund balances		9,239,701.	10,704,217.	
31	Total liabilities and net assets/fund balances		9,239,701.	10,704,217.		

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	9,239,701.
2	Enter amount from Part I, line 27a	2	1,465,160.
3	Other increases not included in line 2 (itemize) ▶	3	0.
4	Add lines 1, 2, and 3	4	10,704,861.
5	Decreases not included in line 2 (itemize) ▶ UBS ACCT BALANCE ADJUSTMENT	5	644.
6	Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	10,704,217.

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Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.)	(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a SEE ATTACHED STMTS D-1 & D-2	P	Various	Various
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 1,698,613.		1,159,893.	538,720.
b			
c			
d			
e			

(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			538,720.
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	538,720.
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	948,500.	8,964,104.	.105811
2011	468,000.	6,283,257.	.074484
2010	2,130,600.	6,815,107.	.312629
2009	1,878,522.	3,678,503.	.510676
2008	575,000.	3,307,838.	.173830

2 Total of line 1, column (d)	2	1.177430
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	.235486
4 Enter the net value of noncharitable-use assets for 2013 from Part X, line 5	4	10,155,000.
5 Multiply line 4 by line 3	5	2,391,360.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	5,692.
7 Add lines 5 and 6	7	2,397,052.
8 Enter qualifying distributions from Part XII, line 4	8	1,100,440.

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.

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Part VI Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948 - see instructions)1a Exempt operating foundations described in section 4940(d)(2), check here ☐ and enter "N/A" on line 1.

Date of ruling or determination letter: _____ (attach copy of letter if necessary-see instructions)

b Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☐ and enter 1% of Part I, line 27b

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-)

3 Add lines 1 and 2

4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)

5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-

6 Credits/Payments:

a 2013 estimated tax payments and 2012 overpayment credited to 2013

b Exempt foreign organizations - tax withheld at source

c Tax paid with application for extension of time to file (Form 8868)

d Backup withholding erroneously withheld

7 Total credits and payments. Add lines 6a through 6d

8 Enter any penalty for underpayment of estimated tax. Check here ☐ if Form 2220 is attached

9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed

10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid

11 Enter the amount of line 10 to be: Credited to 2014 estimated tax

Refunded

Part VII-A Statements Regarding Activities

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?

b 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.

c Did the foundation file Form 1120-POL for this year?

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.

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

4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?

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

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?

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

8a Enter the states to which the foundation reports or with which it is registered (see instructions) NY

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

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

10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses

Yes No

1a X

1b X

1c X

2 X

3 X

4a X

4b

5 X

6 X

7 X

8b X

9 X

10 X

N/A

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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)	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? Website address ► N/A	13	X	
14	The books are in care of ► CHERYL M. BROWN, C.P.A. Telephone no. ► (973) 898-0290 Located at ► C/O WES&SONS LLC, 310 SOUTH ST., MORRISTOWN, NJ ZIP+4 ► 07962-1913			
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 ►	16	Yes	No
				X

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

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.

		Yes	No
1a	During the year did the foundation (either directly or indirectly):		
(1)	Engage in the sale or exchange, or leasing of property with a disqualified person? ☐ Yes ☒ No		
(2)	Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☒ No		
(3)	Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☐ Yes ☒ No		
(4)	Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☐ Yes ☒ No		
(5)	Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? ☐ Yes ☒ No		
(6)	Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.) ☐ Yes ☒ No		
b	If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? Organizations relying on a current notice regarding disaster assistance check here	1b	N/A
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?	1c	X
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)):		
a	At the end of tax year 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 ►		
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.)	2b	N/A
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. ►		
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☐ Yes ☒ No		
b	If "Yes," did it have excess business holdings in 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.)	3b	N/A
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

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

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

(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?

☐ Yes ☒ No

(2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive?

☐ Yes ☒ No

(3) Provide a grant to an individual for travel, study, or other similar purposes?

☐ Yes ☒ No

(4) Provide a grant to an organization other than a charitable, etc., organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)?

☐ Yes ☒ No

(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?

☐ Yes ☒ No

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

N/A

5b

Organizations relying on a current notice regarding disaster assistance check here

☒

c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?

N/A

☐ Yes ☐ No

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

6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?

☐ Yes ☒ No

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?

6b

If "Yes" to 6b, file Form 8870

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?

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
DONALD GUMMER	TRUSTEE / AS	REQUIRED		
C/O WES&SONS LLC, 310 SOUTH ST.				
MORRISTOWN, NJ 07962	0.00	0.	0.	0.
M.S. GUMMER	TRUSTEE / AS	REQUIRED		
C/O WES&SONS LLC, 310 SOUTH ST.				
MORRISTOWN, NJ 07962	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

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Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors (continued)**3** Five highest-paid independent contractors for professional services. If none, enter "NONE."

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

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

0

Part IX-A Summary of Direct Charitable Activities

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

	Expenses
1 N/A	
2	
3	
4	

Part IX-B Summary of Program-Related Investments

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2.

	Amount
1 N/A	
2	
All other program-related investments. See instructions.	
3	
Total. Add lines 1 through 3	0.

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
a	Average monthly fair market value of securities	1a	9,421,904.
b	Average of monthly cash balances	1b	887,741.
c	Fair market value of all other assets	1c	
d	Total (add lines 1a, b, and c)	1d	10,309,645.
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	10,309,645.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	154,645.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	10,155,000.
6	Minimum investment return. Enter 5% of line 5	6	507,750.

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	507,750.
2a	Tax on investment income for 2013 from Part VI, line 5	2a	11,384.
b	Income tax for 2013. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	11,384.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	496,366.
4	Recoveries of amounts treated as qualifying distributions	4	1,000.
5	Add lines 3 and 4	5	497,366.
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	497,366.

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	1,100,440.
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	1,100,440.
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	1,100,440.

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

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Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2012	(c) 2012	(d) 2013
1 Distributable amount for 2013 from Part XI, line 7				497,366.
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	410,500.			
b From 2009	1,695,353.			
c From 2010	1,790,645.			
d From 2011	155,943.			
e From 2012	508,853.			
f Total of lines 3a through e	4,561,294.			
4 Qualifying distributions for 2013 from Part XII, line 4: ▶ \$ 1,100,440.				
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				497,366.
e Remaining amount distributed out of corpus	603,074.			
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	5,164,368.			
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	410,500.			
9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a	4,753,868.			
10 Analysis of line 9:				
a Excess from 2009	1,695,353.			
b Excess from 2010	1,790,645.			
c Excess from 2011	155,943.			
d Excess from 2012	508,853.			
e Excess from 2013	603,074.			

Form 990-PF (2013)

Form 990-PF (2013)

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N/A

- b. Check box to indicate whether the foundation is a private operating foundation described in section

☐ 4942(1)(3) or ☐ 4942(1)(5)

- b 85% of line 2a

- c** Qualifying distributions from Part XII,
line 4 for each year listed

- d** Amounts included in line 2c not used directly for active conduct of exempt activities

- e** Qualifying distributions made directly for active conduct of exempt activities.

Subtract line 2d from line 2c

- 3 Complete 3a, b, or c for the alternative test relied upon:

- a "Assets" alternative test - enter:
(1) Value of all assets

- (2) Value of assets qualifying under section 4942(j)(3)(B)(i)**

- b "Endowment" alternative test** - enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed

- c "Support" alternative test - enter:

- (1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)

- (2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii)

- (3) Largest amount of support from an exempt organization**

- (4) Gross investment income**

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

1 Information Regarding Foundation Managers:

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

None

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

None

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

Check here ☐ 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:

See Statement 12

- 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 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.			

[illegible]

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

(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.

Signature of officer of trustee *[Signature]* Date *5/9/14* Title **TRUSTEE**

May the IRS discuss this return with the preparer shown below (see instr. 7)? ☒ Yes ☐ No

Paid Preparer Use Only	Print/Type preparer's name	Preparer's signature	Date	Check ☐ if self-employed	PTIN
	CHERYL M. BROWN	<i>Cheryl Brown</i>	5/13/14		P01222245
	Firm's name ▶ WILLIAM E. SIMON & SONS, LLC			Firm's EIN ▶ 22-3338529	
	Firm's address ▶ 310 SOUTH STREET, PO BOX 1913 MORRISTOWN, NJ 07962-1913			Phone no. (973)898-0290	

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, or 990-PF) and
its instructions is at www.irs.gov/form990.

OMB No 1545-0047

2013

Name of the organization

SILVER MOUNTAIN FOUNDATION FOR THE ARTS
C/O WILLIAM E. SIMON & SONS, LLC

Employer identification number

13-3157286

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).

LHA For Paperwork Reduction Act Notice, see the Instructions for Form 990, 990-EZ, or 990-PF. Schedule B (Form 990, 990-EZ, or 990-PF) (2013)

Name of organization

SILVER MOUNTAIN FOUNDATION FOR THE ARTS
C/O WILLIAM E. SIMON & SONS, LLC

Employer identification number

13-3157286

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	DONALD & M.S. GUMMER C/O WES&SONS LLC, 310 SOUTH STREET MORRISTOWN, NJ 07962	\$ 2,000,000.	Person ☒ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
2		\$	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)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)

Name of organization

SILVER MOUNTAIN FOUNDATION FOR THE ARTS
C/O WILLIAM E. SIMON & SONS, LLC

Employer identification number

13-3157286

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

Use duplicate copies of Part III if additional space is needed.

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee

Form 990-PF	Gain or (Loss) from Sale of Assets	Statement	1
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(a) Description of Property			Manner Acquired	Date Acquired	Date Sold
	(b) Gross Sales Price	(c) Cost or Other Basis	(d) Expense of Sale	(e) Deprec.	(f) Gain or Loss
SEE ATTACHED STMTS D-1 & D-2				Purchased	Various
	1,698,613.	1,165,333.	0.	0.	533,280.

Capital Gains Dividends from Part IV	0.
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Total to Form 990-PF, Part I, line 6a	533,280.
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Form 990-PF	Interest on Savings and Temporary Cash Investments	Statement	2
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Source	(a) Revenue Per Books	(b) Net Investment Income	(c) Adjusted Net Income
BANK OF AMERICA - CHECKING	12.	12.	
UBS - INTEREST INCOME	2.	2.	
Total to Part I, line 3	14.	14.	

Form 990-PF	Dividends and Interest from Securities	Statement	3
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Source	Gross Amount	Capital Gains Dividends	(a) Revenue Per Books	(b) Net Invest- ment Income	(c) Adjusted Net Income
NEWPORT ASIA GROWTH & INCOME FD SOUTH STREET CAPITAL, LP	1,334.	0.	1,334.	1,334.	
U.S. TRUST ACCOUNT	18,184.	0.	18,184.	18,184.	
UBS ACCOUNT	74,569.	0.	74,569.	74,569.	
VANGUARD - FEDERAL MMKT FD	14,853.	0.	14,853.	14,853.	
VANGUARD - LT	78.	0.	78.	78.	
INVEST-GR ADM	17,678.	0.	17,678.	17,678.	

VANGUARD - ST INVEST-GR ADM	36,637.	0.	36,637.	36,637.
To Part I, line 4	163,333.	0.	163,333.	163,333.

Form 990-PF	Other Income	Statement	4
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Description	(a) Revenue Per Books	(b) Net Invest- ment Income	(c) Adjusted Net Income
NEWPORT ASIA GROWTH & INCOME FUND, LP-SEC 988 & PFIC	<64.>	<64.>	
KKR & CO, LP (PTP)	864.	576.	
ATLAS ENERGY RESOURCES LLC	34.	34.	
RETURN OF CONTRIBUTION	1,000.	0.	
NONDIVIDEND DISTRIBUTION (UBS)	930.	0.	
Total to Form 990-PF, Part I, line 11	2,764.	546.	

Form 990-PF	Other Professional Fees	Statement	5
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Description	(a) Expenses Per Books	(b) Net Invest- ment Income	(c) Adjusted Net Income	(d) Charitable Purposes
UBS ACCT MGMT FEE	17,813.	17,813.		0.
U.S. TRUST ACCT MGMT FEE	5,640.	5,640.		0.
NEW VERNON ADVISORS MGMT FEE	87,944.	87,944.		0.
To Form 990-PF, Pg 1, ln 16c	111,397.	111,397.		0.

Form 990-PF	Taxes	Statement	6
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Description	(a) Expenses Per Books	(b) Net Invest- ment Income	(c) Adjusted Net Income	(d) Charitable Purposes
UBS - FOREIGN TAX PAID	539.	539.		0.
U.S. TRUST - FOREIGN TAX PAID	3,817.	3,817.		0.
NEWPORT ASIA FUND - FOREIGN TAX PAID	74.	74.		0.
FEDERAL ESTIMATED TAX PAID	14,894.	14,894.		0.
To Form 990-PF, Pg 1, ln 18	19,324.	19,324.		0.

Form 990-PF	Other Expenses			Statement	7
Description	(a) Expenses Per Books	(b) Net Invest- ment Income	(c) Adjusted Net Income	(d) Charitable Purposes	
PUBLIC NOTICE - NY LAW JOURNAL	135.	0.			0.
ANNUAL FILING - NYS DEPT OF LAW	250.	0.			0.
FOREIGN AGENT FEE - UBS ACCT	42.	42.			0.
OTHER DEDUCTIONS - NEWPORT ASIA FUND	2,643.	2,643.			0.
To Form 990-PF, Pg 1, ln 23	3,070.	2,685.			0.

Form 990-PF	Other Funds		Statement	8
Description	(A) Beginning of Year	(B) End of Year		
Endowment Fund	9,239,701.	10,704,217.		
Total to Form 990-PF, Part II, line 29	9,239,701.	10,704,217.		

Form 990-PF	Corporate Stock		Statement	9
Description	Book Value	Fair Market Value		
MERCK & CO INC	69,632.	70,821.		
UBS FINANCIAL SERVICES	1,186,701.	1,843,893.		
EXPRESS SCRIPTS HLDG CO	12,399.	16,577.		
Total to Form 990-PF, Part II, line 10b	1,268,732.	1,931,291.		

Form 990-PF	Other Investments	Statement	10
Description	Valuation Method	Book Value	Fair Market Value
VANGUARD FEDERAL MONEY MARKET FUND	COST	392,985.	392,985.
VANGUARD LONG-TERM INVEST-GRADE ADMIRAL	COST	0.	0.
VANGUARD SHORT-TERM INVEST-GRADE ADMIRAL	COST	1,905,232.	1,899,590.
NEWPORT ASIA GROWTH & INCOME FUND, LP	COST	0.	0.
WINTERGREEN FUND	COST	734,153.	992,295.
DAVIS NEW YORK VENTURE FUND	COST	750,000.	907,330.
OAKMARK INTERNATIONAL FUND	COST	800,000.	1,191,771.
SOUTH STREET CAPITAL,LP-GMO QUALITY FUND	COST	672,213.	839,130.
TWEEDY BROWN GLOBAL VALUE FUND	COST	790,000.	923,568.
EATON VANCE FLTG RATE FUND	COST	501,688.	502,781.
MATTHEWS ASIA DIVIDEND FUND	COST	618,049.	616,438.
Total to Form 990-PF, Part II, line 13		7,164,320.	8,265,888.

Form 990-PF	Other Assets	Statement	11
Description	Beginning of Yr Book Value	End of Year Book Value	Fair Market Value
DIVIDEND RECEIVABLE - U.S. TRUST	7.	2,020.	2,020.
To Form 990-PF, Part II, line 15	7.	2,020.	2,020.

Form 990-PF

Grant Application Submission Information
Part XV, Lines 2a through 2d

Statement 12

Name and Address of Person to Whom Applications Should be Submitted

DONALD & M.S. GUMMER, C/O WES & SONS, LLC
310 SOUTH STREET, PO BOX 1913
MORRISTOWN, NJ 07962

Telephone Number

(973) 898-0290

Form and Content of Applications

IN WRITING WITH A COPY OF THE I.R.S. DETERMINATION LETTER STATING IT IS A
TAX-EXEMPT CHARITABLE ORGANIZATION.

Any Submission Deadlines

NONE

Restrictions and Limitations on Awards

NONE

Silver Mountain Foundation for the Arts
E.I.No 13-3157286
2013 Form 990-PF

<u>Check Date</u>	<u>Payee Organization</u>	<u>Status of Recipient</u>	<u>Program Area</u>	<u>Amount</u>
04/18/2013	A R.T /New York c/o Katrina Allen 520 Eighth Avenue, Ste 319 New York, NY 10018	Public Charity	Arts & Culture	10,000
01/04/2013	Amas Musical Theatre 257 West 52nd Street New York, NY 10019	Public Charity	Arts & Culture	10,000
12/11/2013	Amnesty International USA 322 Eighth Avenue, 10th Floor New York, NY 10001	Public Charity	Social Welfare	1,000
12/11/2013	Berkshire Taconic Community Foundation 271 Main Street Great Barrington, MA 01230	Public Charity	Other	500
12/11/2013	Broadway Cares/Equity Fights Aids Inc 165 W. 46th Street, Suite 1300 New York, NY 10036	Public Charity	Social Welfare	2,000
04/15/2013	Butler Museum of American Art 524 Wick Avenue Youngstown, OH 44502	Public Charity	Arts & Culture	50,000
12/11/2013	Christopher Reeve Foundation 500 Morris Avenue Springfield, NJ 07081	Public Charity	Healthcare	1,000
06/12/2013	City Meals On Wheels 355 Lexington Avenue New York, NY 10017-6603	Public Charity	Social Welfare	5,000
06/12/2013	Coalition for the Homeless 89 Chambers Street, 3rd Floor New York, NY 10007	Public Charity	Social Welfare	5,000
12/11/2013	Congregational Church Of Salisbury 30 Main Street, PO Box 392 Salisbury, CT 06068	Public Charity	Religion	1,000
12/11/2013	Connecticut Farmland Trust 77 Buckingham Street Hartford, CT 06106	Public Charity	Environmental	3,000
06/12/2013	Connecticut Junior Republic Association Goshen Road, PO Box 161 Litchfield, CT 06759	Public Charity	Other	1,000
06/12/2013	Conservation Law Foundation 62 Summer Street Boston, MA 02110-1008	Public Charity	Environmental	1,000

Silver Mountain Foundation for the Arts

E.I.No 13-3157286

2013 Form 990-PF

<u>Check Date</u>	<u>Payee Organization</u>	<u>Status of Recipient</u>	<u>Program Area</u>	<u>Amount</u>
12/11/2013	Denison Pequotsepos Nature Center PO Box 122 Mystic, CT 06355	Public Charity	Environmental	500
06/12/2013	Equality Now Inc 250 West 57th Steet, Suite 1527 New York, NY 10107	Public Charity	Social Welfare	10,000
06/12/2013	Eugene O'Neill Theater Center 305 Great Neck Road Waterford, CT 06385	Public Charity	Arts & Culture	10,000
06/12/2013	Extras Town Hall Salisbury, CT 06068	Public Charity	Youth	500
12/11/2013	George Eastman House 900 East Avenue Rochester, NY 14607-2298	Public Charity	Historic Preservation	1,000
07/03/2013	Girltank Foundation, Inc 5644 S. Monte Vista Drive Atlanta, GA 30331	Public Charity	Youth	5,000
06/11/2013	Hearts Of The Father Outreach PO Box 491 Sheffield, MA 01257	Public Charity	Religion	5,000
12/11/2013	Hearts Of The Father Outreach PO Box 491 Sheffield, MA 01257	Public Charity	Religion	2,000
12/11/2013	Hole in the Wall Gang Fund, Inc. 555 Long Wharf Drive New Haven, CT 06511	Public Charity	Youth	1,000
06/12/2013	Housatonic Child Care Center 30 Salmon Kill Road Salisbury, CT 06068	Public Charity	Youth	1,000
06/12/2013	Housatonic Valley Association 150 Kent Rd., PO Box 28 Cornwall Bridge, CT 06754	Public Charity	Other	1,000
06/12/2013	Housatonic Youth Service Bureau PO Box 356 Falls Village, CT 06031	Public Charity	Youth	1,000
04/15/2013	Indiana University Foundation 735 West New York Street Indianapolis, IN 46202	Public Charity	Education	30,000

Silver Mountain Foundation for the Arts

E.I.No 13-3157286

2013 Form 990-PF

<u>Check Date</u>	<u>Payee Organization</u>	<u>Status of Recipient</u>	<u>Program Area</u>	<u>Amount</u>
06/12/2013	Institute Of Eco-System Studies Box AB Millbrook, NY 12545-0129	Public Charity	Environmental	500
06/12/2013	Juvenile Diabetes Foundation Internationa 432 Park Avenue South, 15th Floor New York, NY 10016	Public Charity	Healthcare	10,000
06/12/2013	Kageno Worldwide 261 Broadway, Suite 10D New York, NY 10007	Public Charity	Healthcare	10,000
12/11/2013	Lake Wononscopomuc Association PO Box 243 Salisbury, CT 06039-0243	Public Charity	Other	500
12/11/2013	Mass MoCA Foundation 1040 Mass MoCA Way North Adams, MA 01247	Public Charity	Arts & Culture	1,000
12/11/2013	Memorial Sloan-Kettering Cancer Center 1275 York Avenue New York, NY 10021	Public Charity	Healthcare	1,000
06/12/2013	Ms. Foundation For Women 120 Wall Street, 33rd Floor New York, NY 10005	Public Charity	Other	500
04/15/2013	Museum Of Fine Arts 230 The Fenway Boston, MA 02115	Public Charity	Arts & Culture	50,000
06/12/2013	Museum Of Fine Arts 230 The Fenway Boston, MA 02115	Public Charity	Arts & Culture	5,000
12/11/2013	National Museum of Women's History 205 S Whiting Street, Suite 254 Alexandria, VA 22304	Public Charity	Arts & Culture	200,000
12/11/2013	Natural Resources Defense Council 40 West 20th Street New York, NY 10011	Public Charity	Environmental	5,000
04/15/2013	New 42nd Street, Inc. 229 W 42nd Street New York, NY 10036	Public Charity	Arts & Culture	5,000
11/06/2013	New York Foundation for the Arts 67 Dubois Road New Paltz, NY 12561	Public Charity	Arts & Culture	5,000

Silver Mountain Foundation for the Arts

E.I.No 13-3157286

2013 Form 990-PF

<u>Check Date</u>	<u>Payee Organization</u>	<u>Status of Recipient</u>	<u>Program Area</u>	<u>Amount</u>
05/22/2013	New York Shakespeare Festival 425 Lafayette Street New York, NY 10003	Public Charity	Arts & Culture	335,000
06/12/2013	New York Stage and Film 315 West 36th Street, Ste. 1006 New York, NY 10018	Public Charity	Arts & Culture	2,500
10/15/2013	New York Women's Foundation 39 Broadway 23rd Floor New York, NY 10006	Public Charity	Social Welfare	5,000
05/23/2013	Noon Day Farm, Inc. 96 Windsor Road PO Box 71 Winchendon Springs, MA 01477	Public Charity	Environmental	70,000
12/11/2013	Older Women's League PO Box 153 Lakeville, CT 06039	Public Charity	Other	1,000
06/28/2013	Opus 118 Harlem School of Music 112 E 106th Street, PO Box 986 New York, NY 10029	Public Charity	Arts & Culture	10,000
06/12/2013	Our Time Theatre Company 1 Union Square West, Ste. 810A New York, NY 10003	Public Charity	Arts & Culture	500
12/20/2013	Oxfam-America 226 Causeway Street, 5th Floor Boston, MA 02114-2206	Public Charity	Social Welfare	25,000
06/12/2013	Partners in Health 641 Huntington Avenue, 1st Floor Boston, MA 02115	Public Charity	Healthcare	20,000
12/11/2013	Pilobolus Inc PO Box 388 Washington Depot, CT 06794	Public Charity	Arts & Culture	2,000
06/12/2013	Plan International USA Inc 155 Plan Way Warwick, RI 02886-9928	Public Charity	Other	2,000
10/24/2013	Poly Prep Country Day School 9216 Seventh Avenue Brooklyn, NY 11228	Public Charity	Education	25,000
06/12/2013	Project Troubador 374 Taconic Road Salisbury, CT 06068	Public Charity	Other	2,000

Silver Mountain Foundation for the Arts

E.I.No 13-3157286

2013 Form 990-PF

<u>Check Date</u>	<u>Payee Organization</u>	<u>Status of Recipient</u>	<u>Program Area</u>	<u>Amount</u>
12/11/2013	Rainforest Foundation 32 Broadway, Suite 1614 New York, NY 10004	Public Charity	Environmental	1,000
12/11/2013	Research to Prevent Blindness 645 Madison Avenue, 21st Floor New York, NY 10022-1010	Public Charity	Healthcare	1,000
06/12/2013	Row New York 1 Liberty Plaza, 34th Floor New York, NY 10006	Public Charity	Youth	500
12/11/2013	Salisbury Association PO Box 553 Salisbury, CT 06068	Public Charity	Other	1,000
12/11/2013	Salisbury Family Service 30A Salmon Kill Road - PO Box 379 Salisbury, CT 06069	Public Charity	Social Welfare	1,000
06/12/2013	Salisbury Visiting Nurse Association 30A Salmon Kill Road, PO Box 645 Salisbury, CT 06068	Public Charity	Healthcare	1,000
12/11/2013	Salisbury Volunteer Ambulance Service PO Box 582 Salisbury, CT 06068	Public Charity	Healthcare	1,000
06/12/2013	Salisbury/Lakeville Fire Department Lakeville Hose #1 Lakeville, CT 06039	Public Charity	Social Welfare	1,000
06/12/2013	Scenic Hudson 1 Civic Center Plaza Poughkeepsie, NY 12601	Public Charity	Environmental	5,000
06/12/2013	Scoville Memorial Library Association 38 Main Street Salisbury, CT 06068	Public Charity	Library	1,000
12/11/2013	Screen Actors Guild Fund 5757 Wilshire Blvd., 7th Floor Los Angeles, CA 90036-3600	Public Charity	Arts & Culture	1,000
06/12/2013	Second Stage 5757 Wilshire Blvd., 7th Floor Los Angeles, CA 90036-3600	Public Charity	Arts & Culture	1,000
06/12/2013	Streetsquash, Inc. 420 Lexington Ave , Ste. 246 New York, NY 10170	Public Charity	Youth	500

Silver Mountain Foundation for the Arts

E.I.No 13-3157286

2013 Form 990-PF

<u>Check Date</u>	<u>Payee Organization</u>	<u>Status of Recipient</u>	<u>Program Area</u>	<u>Amount</u>
12/11/2013	The Hunger Project 5 Union Square West New York, NY 10003	Public Charity	Social Welfare	1,000
12/11/2013	Union Of Concerned Scientists 2 Brattle Square, PO Box 9105 Cambridge, MA 02238	Public Charity	Environmental	1,000
06/12/2013	Vassar College 124 Raymond Avenue, PO Box 14 Poughkeepsie, NY 12604-0014	Public Charity	Education	25,000
12/11/2013	Vassar College 124 Raymond Avenue, PO Box 14 Poughkeepsie, NY 12604-0014	Public Charity	Education	25,000
06/12/2013	WAMC-North East Public Radio 318 Central Avenue, PO Box 66600 Albany, NY 12206	Public Charity	Arts & Culture	1,000
06/12/2013	Williamstown Film Festival Box 81 Williamstown, MA 01267	Public Charity	Arts & Culture	1,000
07/30/2013	Wilmington Fund VT 14 Castle Hill Road Wilmington, VT 05363	Public Charity	Other	425
06/12/2013	WNYC-New York Public Radio One Centre Street New York, NY 10007	Public Charity	Arts & Culture	10,000
12/11/2013	Women for Women International 4455 Connecticut Ave. N.W. Washington, DC 20008	Public Charity	Social Welfare	5,000
06/12/2013	Women In Need 115 West 31st Street, 7th Floor New York, NY 10001	Public Charity	Social Welfare	2,000
06/12/2013	Women's Support Services PO Box 341 Sharon, CT 06069	Public Charity	Social Welfare	1,000
06/26/2013	Women's Support Services PO Box 341 Sharon, CT 06069	Public Charity	Social Welfare	15
04/15/2013	Yale University School of Art PO Box 2038 New Haven, CT 06521-2038	Public Charity	Education	60,000
			Total Amount:	<u>1,100,440</u>

SILVER MOUNTAIN FOUNDATION FOR THE ARTS

EIN: 13-3157286

FOR THE YEAR ENDED DECEMBER 31, 2013

Form 990-PF

Part I, Line 6a Net Gain or (Loss) from Sale of Assets - for Column (a)

QUANTITY	DESCRIPTION	HOW ACQUIRED	DATE ACQUIRED	DATE SOLD	PROCEED	BOOK COST BASIS	(a) Revenue and expenses per books GAIN / (LOSS)
<u>UBS ACCOUNT</u>							
130	SHS AGRUM INC (CANADA) CAD	PURCHASE	04/03/13	04/09/13	12,311 92	12,350 83	(38 91)
130	SHS AGRUM INC (CANADA) - Wash Sale Loss	PURCHASE	04/03/13	04/09/13	20 05		20 05 Disallowed
67	SHS AGRUM INC (CANADA) CAD	PURCHASE	05/08/13	07/12/13	6,152 84	6,315 57	(162 73)
53 333	SHS ALLEGION PLC	PURCHASE	03/04/13	12/03/13	2,292 81	1,695 48	597 33
9	SHS APPLE INC	PURCHASE	11/09/12	06/27/13	3,570 40	5,029 05	(1,458 65)
8	SHS APPLE INC	PURCHASE	11/09/12	06/27/13	3,173 69	4,335 76	(1,162 07)
17	SHS APPLE INC	PURCHASE	11/19/12	06/27/13	6,744 08	9,340 48	(2,596 40)
1100	SHS CEMEX S.A B DE C V SPON ADR	PURCHASE	07/25/13	10/11/13	11,868 14	12,891 50	(1,023 36)
168	SHS CISCO SYSTEMS INC	PURCHASE	04/11/13	04/19/13	3,438 04	3,629 49	(191 45)
65	SHS CISCO SYSTEMS INC	PURCHASE	04/11/13	04/22/13	1,332 80	1,404 27	(71 47)
267	SHS CISCO SYSTEMS INC	PURCHASE	04/11/13	04/30/13	5,642 70	5,768 29	(125 59)
800	SHS DELTA AIR LINES INC DELA NEW	PURCHASE	02/06/13	04/03/13	11,595 82	11,326 34	269 48
14	SHS DELTA AIR LINES INC DELA NEW	PURCHASE	03/04/13	04/03/13	202 93	216 92	(13 99)
14	SHS DELTA AIR LINES INC - Wash Sale Loss	PURCHASE	03/04/13	04/03/13	13 99	-	13 99 Disallowed
199	SHS DELTA AIR LINES INC DELA NEW	PURCHASE	03/04/13	04/22/13	3,086 98	3,083 43	3 55
300	SHS EATON CORP PLC	PURCHASE	12/03/12	01/18/13	14,672 67	15,496 50	(823 83)
78	SHS EBAY INC	PURCHASE	05/24/12	03/08/13	4,135 61	3,160 30	975 31
152	SHS EBAY INC	PURCHASE	05/24/12	03/08/13	8,053 15	6,158 54	1,894 61
1	SHS EBAY INC	PURCHASE	06/11/12	03/08/13	52 98	41 19	11 79
107	SHS EXPEDIA INC	PURCHASE	07/26/13	10/16/13	5,132 38	5,185 67	(53 29)
43	SHS EXPEDIA INC	PURCHASE	07/26/13	10/21/13	2,069 32	2,083 95	(14 63)
100	SHS EXPEDIA INC	PURCHASE	07/26/13	10/22/13	4,874 90	4,846 42	28 48
200	SHS EXPEDIA INC	PURCHASE	09/06/13	10/22/13	9,749 79	9,976 14	(226 35)
360	SHS FACEBOOK INC CL A	PURCHASE	11/26/12	05/09/13	9,812 92	9,311 63	501 29
100	SHS GENL ELECTRIC CO	PURCHASE	07/26/12	01/11/13	2,116 27	2,020 00	96 27
450	SHS TELEVISA SA DE CV GLOBAL	PURCHASE	10/11/13	12/04/13	13,083 88	13,333 21	(249 33)
534	SHS KEYCORP NEW	PURCHASE	06/20/12	04/26/13	5,224 68	4,061 18	1,163 50
138	SHS KEYCORP NEW	PURCHASE	06/20/12	04/29/13	1,365 37	1,049 51	315 86
30	SHS KOPPERS HOLDINGS INC	PURCHASE	06/19/12	02/06/13	1,232 80	1,005 39	227 41
47	SHS KOPPERS HOLDINGS INC	PURCHASE	06/19/12	02/06/13	1,931 39	1,587 53	343 86
73	SHS KOPPERS HOLDINGS INC	PURCHASE	06/19/12	03/12/13	3,117 03	2,465 73	651 30
446	SHS LEAPFROG ENTERPRISES INC	PURCHASE	09/10/12	09/03/13	4,010 78	3,762 67	248 11
9	SHS LEAPFROG ENTERPRISES INC	PURCHASE	09/10/12	09/03/13	80 93	75 51	5 42
150	SHS MEADWESTVACO CORP	PURCHASE	03/08/13	04/19/13	5,153 13	5,457 86	(304 73)
180	SHS MEADWESTVACO CORP	PURCHASE	03/08/13	04/22/13	6,255 44	6,549 43	(293 99)
900	SHS MERITOR INC	PURCHASE	05/08/13	10/29/13	6,499 39	5,538 07	961 32
200	SHS MONSTER BEVERAGE CORP COM	PURCHASE	09/19/12	09/06/13	11,146 21	10,820 47	325 74
90	SHS MONSTER BEVERAGE CORP COM	PURCHASE	09/21/12	09/06/13	5,015 80	5,031 22	(15 42)
55	SHS MONSTER BEVERAGE CORP COM	PURCHASE	09/21/12	09/06/13	3,066 74	3,074 63	(7 89)
55	SHS MONSTER BEVERAGE CORP COM	PURCHASE	09/21/12	09/09/13	3,082 99	3,074 63	8 36
120	SHS MONSTER BEVERAGE CORP COM	PURCHASE	01/30/13	09/09/13	6,726 53	5,781 16	945 37
110	SHS MONSTER BEVERAGE CORP COM	PURCHASE	02/06/13	09/09/13	6,165 98	5,473 60	692 38
150	SHS MOSAIC CO	PURCHASE	07/11/12	03/04/13	8,708 95	8,297 97	410 98
800	SHS NEWS CORP NEW CL B	PURCHASE	10/23/13	12/16/13	14,037 90	14,028 16	9 74
500	SHS PENNEY J C CO INC (HLDG CO)	PURCHASE	09/09/13	09/12/13	6,921 53	7,235 03	(313 50)
600	SHS PFIZER	PURCHASE	11/07/12	07/25/13	17,522 98	14,669 76	2,853.22
180	SHS PLY GEM HOLDINGS INC	PURCHASE	07/12/13	07/26/13	3,276 00	3,660 31	(384 31)
180	SHS PLY GEM HOLDINGS INC - Wash Sale Loss	PURCHASE	07/12/13	07/26/13	384 31	-	384.31 Disallowed
300	SHS PULTE GROUP INC	PURCHASE	12/18/12	07/22/13	5,712 50	5,565 07	147 43
450	SHS PULTE GROUP INC	PURCHASE	04/26/13	07/22/13	8,568 75	9,567 90	(999.15)
396	SHS QEP RES INC COM	PURCHASE	11/13/12	01/11/13	11,605 13	11,184 18	420 95
400	SHS QEP RES INC COM	PURCHASE	10/22/13	12/06/13	12,653 42	13,413 01	(759 59)
300	SHS STARZ SER	PURCHASE	04/12/13	11/07/13	8,371 75	6,594 69	1,777 06
150	SHS STARZ SER	PURCHASE	10/11/13	11/07/13	4,185 88	4,360 09	(174 21)
300	SHS TRANSOCEAN LTD CHF	PURCHASE	11/07/13	11/21/13	15,738 70	15,434 21	304 49
80	SHS UNTD RENTALS INC	PURCHASE	11/20/12	04/30/13	4,227 62	3,240 79	986 83
24	SHS UNTD RENTALS INC	PURCHASE	11/21/12	04/30/13	1,268.29	992 26	276 03
375	SHS UTI WORLDWIDE INC	PURCHASE	09/04/13	09/12/13	5,607 57	6,441 76	(834 19)
200	SHS WATSCO INC	PURCHASE	07/26/13	02/15/13	13,999 69	13,520 96	478 73
62	SHS WILLIAMS COS INC (DEL)	PURCHASE	06/13/12	03/07/13	2,096 99	1,831 24	265 75
500	SHS YAHOO INC	PURCHASE	04/17/13	07/22/13	13,954 36	11,874 30	2,080 06
147	SHS ADOBE SYSTEMS INC	PURCHASE	11/15/11	04/26/13	6,613 64	4,189 10	2,424 54
8	SHS ADOBE SYSTEMS INC	PURCHASE	11/15/11	05/17/13	356 18	227 98	128 20

SILVER MOUNTAIN FOUNDATION FOR THE ARTS

EIN: 13-3157286

FOR THE YEAR ENDED DECEMBER 31, 2013

Form 990-PF

Part I, Line 6a Net Gain or (Loss) from Sale of Assets - for Column (a)

QUANTITY	DESCRIPTION	HOW ACQUIRED	DATE ACQUIRED	DATE SOLD	PROCEED	BOOK COST BASIS	(a) Revenue and expenses per books GAIN / (LOSS)
89	SHS ADOBE SYSTEMS INC	PURCHASE	03/28/12	05/17/13	3,962 55	3,064 96	897 59
201	SHS ADOBE SYSTEMS INC	PURCHASE	03/28/12	07/18/13	9,733 90	6,922 00	2,811 90
38	SHS ADOBE SYSTEMS INC	PURCHASE	06/22/12	07/18/13	1,840 24	1,199 91	640 33
162	SHS ADOBE SYSTEMS INC	PURCHASE	06/22/12	08/08/13	7,666 42	5,115 40	2,551 02
248	SHS AGILENT TECHNOLOGIES INC	PURCHASE	10/24/11	07/18/13	11,367 40	9,244 36	2,123 04
37	SHS AGILENT TECHNOLOGIES INC	PURCHASE	10/24/11	07/29/13	1,676 07	1,379 20	296 87
135	SHS AGILENT TECHNOLOGIES INC	PURCHASE	10/26/11	07/29/13	6,115 39	4,835 80	1,279 59
30 667	SHS ALLEGION PLC	PURCHASE	10/25/12	12/03/13	1,318 37	863 09	455 28
36	SHS BMC SOFTWARE INC	PURCHASE	09/27/11	05/15/13	1,632 58	1,443 53	189 05
316	SHS BMC SOFTWARE INC	PURCHASE	10/12/11	05/15/13	14,330 42	11,630 72	2,699 70
120	SHS BMC SOFTWARE INC	PURCHASE	05/18/12	05/30/13	5,440 71	5,005 96	434 75
155	SHS BMC SOFTWARE INC	PURCHASE	05/21/12	05/30/13	7,027 58	6,642 28	385 30
84	SHS BMC SOFTWARE INC	PURCHASE	07/11/12	07/12/13	3,850 67	3,350 75	499 92
100	SHS BROGWARNER INC	PURCHASE	07/03/12	10/23/13	10,528 54	6,560 37	3,968 17
495	SHS C&C GROUP PLC EUR	PURCHASE	04/04/11	03/18/13	3,162 83	2,383 68	779 15
122	SHS C&C GROUP PLC EUR	PURCHASE	04/04/11	04/03/13	793 10	587 49	205 61
940	SHS C&C GROUP PLC EUR	PURCHASE	05/19/11	04/03/13	6,110 81	4,851 06	1,259 75
40	SHS CHARTER COMMUNICATIONS INC	PURCHASE	02/22/12	10/04/13	5,299 45	2,510 89	2,788 56
30	SHS CHARTER COMMUNICATIONS INC	PURCHASE	02/22/12	10/04/13	3,984 53	1,883 17	2,101 36
41	SHS CHARTER COMMUNICATIONS INC	PURCHASE	02/22/12	11/14/13	5,254 91	2,573 66	2,681 25
64	SHS CHARTER COMMUNICATIONS INC	PURCHASE	02/22/12	11/15/13	8,224 02	4,017 42	4,206 60
40	SHS CHARTER COMMUNICATIONS INC	PURCHASE	06/12/12	11/15/13	5,140 01	2,571 03	2,568 98
18	SHS CHARTER COMMUNICATIONS INC	PURCHASE	06/12/12	11/26/13	2,417 99	1,156 96	1,261 03
651	SHS CHESAPEAKE LODGING TR	PURCHASE	11/29/11	02/15/13	14,306 67	9,905 13	4,401 54
200	SHS CHEVRON CORP	PURCHASE	10/12/11	01/18/13	23,435 48	19,644 96	3,790 52
50	SHS COLFAX CORP	PURCHASE	02/13/12	04/24/13	2,196 20	1,740 86	455 34
100	SHS COLFAX CORP	PURCHASE	02/13/12	10/16/13	5,523 44	3,481 72	2,041 72
22	SHS COLFAX CORP	PURCHASE	02/13/12	11/14/13	1,288 89	765 98	522 91
128	SHS COLFAX CORP	PURCHASE	02/13/12	11/15/13	7,514 19	4,456 60	3,057 59
60	SHS COTT CORP QUE CANADA CAD	PURCHASE	05/10/12	05/17/13	533 68	438 59	95 09
500	SHS COTT CORP QUE CANADA CAD	PURCHASE	05/10/12	05/17/13	4,447 34	3,678 01	769 33
350	SHS COTT CORP QUE CANADA CAD	PURCHASE	05/22/12	06/19/13	2,765 79	2,583 74	182 05
55	SHS EBAY INC	PURCHASE	06/11/12	07/23/13	2,837 61	2,265 68	571 93
62	SHS EBAY INC	PURCHASE	06/11/12	07/26/13	3,224 66	2,554 04	670 62
170	SHS EMC CORP MASS	PURCHASE	09/08/11	07/29/13	4,467 79	3,763 65	704 14
208	SHS EXPRESS SCRIPTS HLDG CO	PURCHASE	03/28/12	04/12/13	11,802 83	11,203 53	599 30
200	SHS GENL ELECTRIC CO	PURCHASE	10/17/11	01/18/13	14,499 68	12,270 00	2,229 68
15	SHS GILEAD SCIENCES INC	PURCHASE	04/19/12	07/23/13	890 85	393 60	497 25
28	SHS GILEAD SCIENCES INC	PURCHASE	04/19/12	07/23/13	1,670 30	734 71	935 59
5	SHS HARRIS CORP DEL A	PURCHASE	08/05/11	02/08/13	233 32	186 86	46 46
387	SHS HERTZ GLOBAL HOLDINGS INC	PURCHASE	09/05/12	10/17/13	9,138 83	5,607 82	3,531 01
220	SHS INGERSOLL-RAND PLC	PURCHASE	08/30/12	11/05/13	14,893 85	10,077 48	4,816 37
28	SHS INGERSOLL-RAND PLC	PURCHASE	10/25/12	11/05/13	1,895 58	1,293 27	602 31
450	SHS KEYCORP NEW	PURCHASE	12/23/11	04/24/13	4,324 45	3,519 30	805 15
25	SHS KEYCORP NEW	PURCHASE	12/23/11	04/26/13	244 60	195 52	49 08
70	SHS KOPPERS HOLDINGS INC	PURCHASE	09/08/11	02/06/13	2,876 53	2,163 73	712 80
400	SHS KOPPERS HOLDINGS INC	PURCHASE	06/19/12	06/20/13	15,858 60	13,510 88	2,347 72
341	SHS LEAPFROG ENTERPRISES INC	PURCHASE	09/10/12	10/11/13	2,995 92	2,860 96	134 96
137	SHS LEAPFROG ENTERPRISES INC	PURCHASE	09/10/12	10/11/13	1,203 64	1,168 61	35 03
322	SHS LEAPFROG ENTERPRISES INC	PURCHASE	09/10/12	10/11/13	2,829 00	2,734 07	94 93
40	SHS LIFE TECHNOLOGIES CORP	PURCHASE	09/20/11	04/25/13	2,947 53	1,612 10	1,335 43
85	SHS LIFE TECHNOLOGIES CORP	PURCHASE	09/20/11	05/08/13	6,249 92	3,425 70	2,824 22
236	SHS LOWES COMPANIES INC	PURCHASE	10/18/11	03/18/13	9,151 87	5,051 40	4,100 47
164	SHS LOWES COMPANIES INC	PURCHASE	10/18/11	04/24/13	6,202 57	3,510 30	2,692 27
100	SHS LOWES COMPANIES INC	PURCHASE	10/21/11	04/24/13	3,782 06	2,199 74	1,582 32
129	SHS LYONDELLBASELL INDUSTRIES	PURCHASE	01/12/12	02/06/13	7,840 37	4,772 43	3,067 94
100	SHS LYONDELLBASELL INDUSTRIES	PURCHASE	01/12/12	02/15/13	6,041 21	3,699 56	2,341 65
41	SHS LYONDELLBASELL INDUSTRIES	PURCHASE	01/12/12	05/17/13	2,739 36	1,516 82	1,222 54
43	SHS LYONDELLBASELL INDUSTRIES	PURCHASE	05/10/12	05/17/13	2,872 98	1,675 06	1,197 92
3	SHS LYONDELLBASELL INDUSTRIES	PURCHASE	05/10/12	05/17/13	200 44	118 56	81 88
112	SHS LYONDELLBASELL INDUSTRIES	PURCHASE	05/10/12	05/30/13	7,449 40	4,426 19	3,023 21
100	SHS MOHAWK INDUSTRIES INC	PURCHASE	07/12/12	08/08/13	12,850 87	6,915 85	5,935 02
20	SHS MOHAWK INDUSTRIES INC	PURCHASE	07/12/12	08/08/13	2,570 17	1,385 68	1,184 49
200	SHS SIEMENS A G SPON ADR	PURCHASE	02/01/12	07/25/13	601 20	684 41	(83 21)

SILVER MOUNTAIN FOUNDATION FOR THE ARTS

EIN: 13-3157286

FOR THE YEAR ENDED DECEMBER 31, 2013

Form 990-PF

Part I, Line 6a Net Gain or (Loss) from Sale of Assets - for Column (a)

QUANTITY	DESCRIPTION	HOW ACQUIRED	DATE ACQUIRED	DATE SOLD	PROCEED	BOOK COST BASIS	(a) Revenue and expenses per books GAIN / (LOSS)
100	SHS SIEMENS A G SPON ADR	PURCHASE	02/01/12	10/23/13	12,752 78	9,360 20	3,392 58
100	SHS SIEMENS A G SPON ADR	PURCHASE	02/01/12	11/26/13	13,273.47	9,360 19	3,913 28
33	SHS STARZ SER A	PURCHASE	09/21/11	02/06/13	537 84	248 70	289 14
30	SHS STARZ SER A	PURCHASE	09/21/11	02/06/13	488 95	226 37	262 58
123	SHS TRW AUTOMOTIVE HOLDGS COR	PURCHASE	02/13/12	07/25/13	8,519 35	5,137 56	3,381 79
50	SHS TRW AUTOMOTIVE HOLDGS COR	PURCHASE	02/13/12	10/04/13	3,710 95	2,088 44	1,622 51
35	SHS VIACOM INC NEW CL B	PURCHASE	05/10/12	11/26/13	2,769 39	1,677 09	1,092 30
10	SHS VIACOM INC NEW CL B	PURCHASE	05/29/12	11/26/13	791.26	485 00	306 26
180	SHS WILLIAMS COS INC (DEL)	PURCHASE	07/15/11	03/07/13	6,088 04	4,350 61	1,737 43
9	SHS WILLIAMS COS INC (DEL)	PURCHASE	08/05/11	03/07/13	304 40	201 21	103 19
478	SHS WILLIAMS COS INC (DEL)	PURCHASE	06/13/12	07/22/13	16,474 26	14,118 31	2,355 95
11	SHS CHESAPEAKE LODGING TR	PURCHASE	07/28/10	02/15/13	241 74	191 98	49 76
196	SHS COTT CORP QUE CANADA CAD	PURCHASE	08/19/10	04/25/13	2,155 95	1,315 86	840 09
554	SHS COTT CORP QUE CANADA CAD	PURCHASE	09/10/10	04/25/13	6,093 87	4,047 52	2,046 35
81	SHS COTT CORP QUE CANADA CAD	PURCHASE	09/10/10	04/26/13	905 15	591 79	313 36
78	SHS EMC CORP MASS	PURCHASE	01/26/10	04/11/13	1,787 81	1,339.46	448 35
22	SHS EMC CORP MASS	PURCHASE	06/04/10	04/11/13	504 26	415 32	88 94
117	SHS EMC CORP MASS	PURCHASE	06/04/10	04/19/13	2,512 32	2,208 77	303 55
83	SHS EMC CORP MASS	PURCHASE	06/04/10	07/29/13	2,181 33	1,566 91	614 42
95	SHS EXPRESS SCRIPTS HLDG CO	DONATION	09/21/11	04/12/13	5,390 72	5,339 48	51 24 *
5	SHS HARRIS CORP DEL A	PURCHASE	09/23/09	01/30/13	234 40	194 44	39 96
21	SHS HARRIS CORP DEL A	PURCHASE	09/23/09	02/08/13	979 95	816 62	163 33
60	SHS HARRIS CORP DEL A	PURCHASE	10/13/09	02/08/13	2,799 84	2,249 07	550 77
109	SHS HARRIS CORP DEL A	PURCHASE	11/01/10	02/08/13	5,086 38	4,987 24	99 14
33	SHS INTL BUSINESS MACHINE	DONATION	09/21/11	03/12/13	6,928 73	5,709 66	1,219 07 *
735	SHS KKR & CO LP (PTP)	PURCHASE	02/01/12	05/01/13	15,330 70	10,696 41	4,634 29 **
500	SHS KKR & CO LP (PTP)	PURCHASE	04/03/12	05/01/13	10,429 04	7,498 55	2,930 49 **
120	SHS LIVE NATION ENTERTAINMENT INC	PURCHASE	01/08/09	05/17/13	1,653 88	748 68	905 20
140	SHS LIVE NATION ENTERTAINMENT INC	PURCHASE	07/24/09	05/17/13	1,929 52	818 08	1,111 44
135	SHS LIVE NATION ENTERTAINMENT INC	PURCHASE	08/25/09	05/17/13	1,860 61	897 19	963 42
137	SHS LIVE NATION ENTERTAINMENT INC	PURCHASE	08/25/09	11/14/13	2,459 81	910 49	1,549 32
2	SHS LIVE NATION ENTERTAINMENT INC	PURCHASE	06/04/10	11/14/13	35 91	23 25	12 66
285	SHS LIVE NATION ENTERTAINMENT INC	PURCHASE	06/04/10	11/15/13	5,036 04	3,313 55	1,722 49
178	SHS LIVE NATION ENTERTAINMENT INC	PURCHASE	06/04/10	11/19/13	3,073 99	2,069 52	1,004 47
74 278	SHS STARZ SER A	PURCHASE	03/16/10	02/06/13	1,210 59	261 25	949 34
83 723	SHS STARZ SER A	PURCHASE	05/10/10	02/06/13	1,364 52	517 57	846 95
3	CALL ASTRAZENECA PLC	PURCHASE	11/20/13	02/26/13	254 97	1,130 96	(875 99)
3	CALL BP PLC DUE 1/18/14	PURCHASE	12/20/13	02/14/13	465 01	627 00	(161 99)
3	CALL BP PLC DUE 1/19/13	PURCHASE	01/22/13	10/17/11	1,049 97	-	1,049 97
5	CALL INTEL CORP DUE 1/18/14	PURCHASE	12/09/13	11/14/12	634 98	1,517 00	(882 02)
1	CALL NETFLIX COM DUE 12/21/13	PURCHASE	10/23/13	06/04/13	2,489 96	8,081 96	(5,592 00)
3	CALL OIL STATES INTL DUE 9/21/13	PURCHASE	09/16/13	08/05/13	570 20	480 00	90 20
4	CALL ORACLE CORP DUE 1/19/13	PURCHASE	01/10/13	01/10/12	951 98	1,820 00	(868 02)
2	CALL SIEMENS A G DUE 1/18/14	PURCHASE	VARIOUS	VARIOUS	659 98	2,860 00	(2,200 02)
2	CALL SIEMENS A G DUE 1/19/13	PURCHASE	01/10/13	02/01/12	1,569 96	1,200 00	369 96
2	CALL UNTD RENTALS DUE 9/21/13	PURCHASE	09/13/13	09/11/13	259 99	360.00	(100 01)
2	CALL UNTD RENTALS DUE 12/21/13	PURCHASE	12/02/13	09/17/13	659 99	2,624 79	(1,964 80)
4	CALL VODAFONE GRP DUE 1/19/13	PURCHASE	01/22/13	10/12/11	591 98	-	591 98
<u>U S TRUST ACCOUNT</u>							
	TOTAL CAPITAL GAIN DISTRIBUTIONS	PURCHASE	VARIOUS	VARIOUS	136,289 00	-	136,289 00
<u>VANGUARD</u>							
	CAPITAL GAIN DISTRI - S-T INVEST-GR	PURCHASE	VARIOUS	VARIOUS	6,320 00	-	6,320 00
	CAPITAL GAIN DISTRI - L-T INVEST-GR	PURCHASE	VARIOUS	VARIOUS	1,842 00	-	1,842 00
	CAPITAL GAIN ON VANGUARD LT INVEST LIQUIDATION	PURCHASE	VARIOUS	10/21/13	444,786 35	414,523 69	30,262 66
<u>OTHERS</u>							
	NEWPORT ASIA FD - NET ST CAPITAL LOSS	PURCHASE	VARIOUS	VARIOUS	(12,738 00)	-	(12,738 00)
	NEWPORT ASIA FD - NET LT CAPITAL GAIN	PURCHASE	VARIOUS	VARIOUS	155,335 00	-	155,335 00
	SOUTH ST CAPITAL - NET LT CAPITAL GAIN	PURCHASE	VARIOUS	VARIOUS	71,316 00	-	71,316 00
	EL PASO SHAREHOLDER LITIGATION SETTLEMENT FUND	PURCHASE	VARIOUS	12/20/13	39 62	-	39.62
CAPITAL GAINS AND LOSSES FOR BOOKS ON INVESTMENT INCOME:					1,698,613.24	1,165,332.85	533,280.39

* Cost basis is the FMV of securities on the date of donation.

** Cost basis is the original purchase amount without K-1 adjustments

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Part I, Line 7 Capital Gain Net Income for Column (b) Net Investment Income

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

QUANTITY	DESCRIPTION	HOW ACQUIRED	DATE ACQUIRED	DATE SOLD	PROCEED	BOOK COST BASIS	(b) Net Investment Income GAIN / (LOSS)
UBS ACCOUNT							
130	SHS AGRIMUM INC (CANADA) CAD	PURCHASE	04/03/13	04/09/13	12,311 92	12,350 83	(38 91)
130	SHS AGRIMUM INC (CANADA) - Wash Sale Loss	PURCHASE	04/03/13	04/09/13	20 05		20 05 Disallowed
67	SHS AGRIMUM INC (CANADA) CAD	PURCHASE	05/08/13	07/12/13	6,152 84	6,315 57	(162 73)
53 333	SHS ALLEGION PLC	PURCHASE	03/04/13	12/03/13	2,292 81	1,695 48	597 33
9	SHS APPLE INC	PURCHASE	11/09/12	06/27/13	3,570 40	5,029 05	(1,458 65)
8	SHS APPLE INC	PURCHASE	11/09/12	06/27/13	3,173 69	4,335 76	(1,162 07)
17	SHS APPLE INC	PURCHASE	11/19/12	06/27/13	6,744 08	9,340 48	(2,596 40)
1100	SHS CEMEX S.A B DE C V SPON ADR	PURCHASE	07/25/13	10/11/13	11,868 14	12,891 50	(1,023 36)
168	SHS CISCO SYSTEMS INC	PURCHASE	04/11/13	04/19/13	3,438 04	3,629 49	(191 45)
65	SHS CISCO SYSTEMS INC	PURCHASE	04/11/13	04/22/13	1,332 80	1,404 27	(71 47)
267	SHS CISCO SYSTEMS INC	PURCHASE	04/11/13	04/30/13	5,642 70	5,768 29	(125 59)
800	SHS DELTA AIR LINES INC DELA NEW	PURCHASE	02/06/13	04/03/13	11,595 82	11,326 34	269 48
14	SHS DELTA AIR LINES INC DELA NEW	PURCHASE	03/04/13	04/03/13	202 93	216 92	(13 99)
14	SHS DELTA AIR LINES INC - Wash Sale Loss	PURCHASE	03/04/13	04/03/13	13 99	-	13 99 Disallowed
199	SHS DELTA AIR LINES INC DELA NEW	PURCHASE	03/04/13	04/22/13	3,086 98	3,083 43	3 55
300	SHS EATON CORP PLC	PURCHASE	12/03/12	01/18/13	14,672 67	15,496 50	(823 83)
78	SHS EBAY INC	PURCHASE	05/24/12	03/08/13	4,135 61	3,160 30	975 31
152	SHS EBAY INC	PURCHASE	05/24/12	03/08/13	8,053 15	6,158 54	1,894 61
1	SHS EBAY INC	PURCHASE	06/11/12	03/08/13	52 98	41 19	11 79
107	SHS EXPEDIA INC	PURCHASE	07/26/13	10/16/13	5,132 38	5,185 67	(53 29)
43	SHS EXPEDIA INC	PURCHASE	07/26/13	10/21/13	2,069 32	2,083 95	(14 63)
100	SHS EXPEDIA INC	PURCHASE	07/26/13	10/22/13	4,874 90	4,846 42	28 48
200	SHS EXPEDIA INC	PURCHASE	09/06/13	10/22/13	9,749 79	9,976 14	(226 35)
360	SHS FACEBOOK INC CL A	PURCHASE	11/26/12	05/09/13	9,812 92	9,311 63	501 29
100	SHS GENL ELECTRIC CO	PURCHASE	07/26/12	01/11/13	2,116 27	2,020 00	96 27
450	SHS TELEVISA SA DE CV GLOBAL	PURCHASE	10/11/13	12/04/13	13,083 88	13,333 21	(249 33)
534	SHS KEYCORP NEW	PURCHASE	06/20/12	04/26/13	5,224 68	4,061 18	1,163 50
138	SHS KEYCORP NEW	PURCHASE	06/20/12	04/29/13	1,365 37	1,049 51	315 86
30	SHS KOPPERS HOLDINGS INC	PURCHASE	06/19/12	02/06/13	1,232 80	1,005 39	227 41
47	SHS KOPPERS HOLDINGS INC	PURCHASE	06/19/12	02/06/13	1,931 39	1,587 53	343 86
73	SHS KOPPERS HOLDINGS INC	PURCHASE	06/19/12	03/12/13	3,117 03	2,465 73	651 30
446	SHS LEAPFROG ENTERPRISES INC	PURCHASE	09/10/12	09/03/13	4,010 78	3,762 67	248 11
9	SHS LEAPFROG ENTERPRISES INC	PURCHASE	09/10/12	09/03/13	80 93	75 51	5 42
150	SHS MEADWESTVACO CORP	PURCHASE	03/08/13	04/19/13	5,153 13	5,457 86	(304 73)
180	SHS MEADWESTVACO CORP	PURCHASE	03/08/13	04/22/13	6,255 44	6,549 43	(293 99)
900	SHS MERITOR INC	PURCHASE	05/08/13	10/29/13	6,499 39	5,538 07	961 32
200	SHS MONSTER BEVERAGE CORP COM	PURCHASE	09/19/12	09/06/13	11,146 21	10,820 47	325 74
90	SHS MONSTER BEVERAGE CORP COM	PURCHASE	09/21/12	09/06/13	5,015 80	5,031 22	(15 42)
55	SHS MONSTER BEVERAGE CORP COM	PURCHASE	09/21/12	09/06/13	3,066 74	3,074 63	(7 89)
55	SHS MONSTER BEVERAGE CORP COM	PURCHASE	09/21/12	09/09/13	3,082 99	3,074 63	8 36
120	SHS MONSTER BEVERAGE CORP COM	PURCHASE	01/30/13	09/09/13	6,726 53	5,781 16	945 37
110	SHS MONSTER BEVERAGE CORP COM	PURCHASE	02/06/13	09/09/13	6,165 98	5,473 60	692 38
150	SHS MOSAIC CO	PURCHASE	07/11/12	03/04/13	8,708 95	8,297 97	410 98
800	SHS NEWS CORP NEW CL B	PURCHASE	10/23/13	12/16/13	14,037 90	14,028 16	9 74
500	SHS PENNEY J C CO INC (HLDG CO)	PURCHASE	09/09/13	09/12/13	6,921 53	7,235 03	(313 50)
600	SHS PFIZER	PURCHASE	11/07/12	07/25/13	17,522 98	14,669 76	2,853 22
180	SHS PLY GEM HOLDINGS INC	PURCHASE	07/12/13	07/26/13	3,276 00	3,660 31	(384 31)
180	SHS PLY GEM HOLDINGS INC - Wash Sale Loss	PURCHASE	07/12/13	07/26/13	384 31	-	384 31 Disallowed
300	SHS PULTE GROUP INC	PURCHASE	12/18/12	07/22/13	5,712 50	5,565 07	147 43
450	SHS PULTE GROUP INC	PURCHASE	04/26/13	07/22/13	8,568 75	9,567 90	(999 15)
396	SHS QEP RES INC COM	PURCHASE	11/13/12	01/11/13	11,605 13	11,184 18	420 95
400	SHS QEP RES INC COM	PURCHASE	10/22/13	12/06/13	12,653 42	13,413 01	(759 59)
300	SHS STARZ SER	PURCHASE	04/12/13	11/07/13	8,371 75	6,594 69	1,777 06
150	SHS STARZ SER	PURCHASE	10/11/13	11/07/13	4,185 88	4,360 09	(174 21)
300	SHS TRANSOCEAN LTD CHF	PURCHASE	11/07/13	11/21/13	15,738 70	15,434 21	304 49
80	SHS UNTD RENTALS INC	PURCHASE	11/20/12	04/30/13	4,227 62	3,240 79	986 83
24	SHS UNTD RENTALS INC	PURCHASE	11/21/12	04/30/13	1,268 29	992 26	276 03
375	SHS UTI WORLDWIDE INC	PURCHASE	09/04/13	09/12/13	5,607 57	6,441 76	(834 19)
200	SHS WATSCO INC	PURCHASE	07/26/13	02/15/13	13,999 69	13,520 96	478 73
62	SHS WILLIAMS COS INC (DEL)	PURCHASE	06/13/12	03/07/13	2,096 99	1,831 24	265 75
500	SHS YAHOO INC	PURCHASE	04/17/13	07/22/13	13,954 36	11,874 30	2,080 06
147	SHS ADOBE SYSTEMS INC	PURCHASE	11/15/11	04/26/13	6,613 64	4,189 10	2,424 54
8	SHS ADOBE SYSTEMS INC	PURCHASE	11/15/11	05/17/13	356 18	227 98	128 20

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Part I, Line 7 Capital Gain Net Income for Column (b) Net Investment Income

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

QUANTITY	DESCRIPTION	HOW ACQUIRED	DATE ACQUIRED	DATE SOLD	PROCEED	BOOK COST BASIS	(b) Net Investment Income GAIN / (LOSS)
89	SHS ADOBE SYSTEMS INC	PURCHASE	03/28/12	05/17/13	3,962 55	3,064 96	897 59
201	SHS ADOBE SYSTEMS INC	PURCHASE	03/28/12	07/18/13	9,733 90	6,922 00	2,811 90
38	SHS ADOBE SYSTEMS INC	PURCHASE	06/22/12	07/18/13	1,840 24	1,199 91	640 33
162	SHS ADOBE SYSTEMS INC	PURCHASE	06/22/12	08/08/13	7,666 42	5,115 40	2,551 02
248	SHS AGILENT TECHNOLOGIES INC	PURCHASE	10/24/11	07/18/13	11,367 40	9,244 36	2,123 04
37	SHS AGILENT TECHNOLOGIES INC	PURCHASE	10/24/11	07/29/13	1,676 07	1,379 20	296 87
135	SHS AGILENT TECHNOLOGIES INC	PURCHASE	10/26/11	07/29/13	6,115 39	4,835 80	1,279 59
30 667	SHS ALLEGION PLC	PURCHASE	10/25/12	12/03/13	1,318 37	863.09	455 28
36	SHS BMC SOFTWARE INC	PURCHASE	09/27/11	05/15/13	1,632 58	1,443 53	189 05
316	SHS BMC SOFTWARE INC	PURCHASE	10/12/11	05/15/13	14,330 42	11,630 72	2,699 70
120	SHS BMC SOFTWARE INC	PURCHASE	05/18/12	05/30/13	5,440 71	5,005 96	434 75
155	SHS BMC SOFTWARE INC	PURCHASE	05/21/12	05/30/13	7,027 58	6,642 28	385 30
84	SHS BMC SOFTWARE INC	PURCHASE	07/11/12	07/12/13	3,850 67	3,350.75	499 92
100	SHS BROGWARNER INC	PURCHASE	07/03/12	10/23/13	10,528 54	6,560 37	3,968 17
495	SHS C&C GROUP PLC EUR	PURCHASE	04/04/11	03/18/13	3,162 83	2,383 68	779 15
122	SHS C&C GROUP PLC EUR	PURCHASE	04/04/11	04/03/13	793 10	587 49	205 61
940	SHS C&C GROUP PLC EUR	PURCHASE	05/19/11	04/03/13	6,110 81	4,851 06	1,259 75
40	SHS CHARTER COMMUNICATIONS INC	PURCHASE	02/22/12	10/04/13	5,299 45	2,510 89	2,788 56
30	SHS CHARTER COMMUNICATIONS INC	PURCHASE	02/22/12	10/04/13	3,984 53	1,883 17	2,101 36
41	SHS CHARTER COMMUNICATIONS INC	PURCHASE	02/22/12	11/14/13	5,254 91	2,573 66	2,681.25
64	SHS CHARTER COMMUNICATIONS INC	PURCHASE	02/22/12	11/15/13	8,224 02	4,017 42	4,206 60
40	SHS CHARTER COMMUNICATIONS INC	PURCHASE	06/12/12	11/15/13	5,140 01	2,571 03	2,568 98
18	SHS CHARTER COMMUNICATIONS INC	PURCHASE	06/12/12	11/26/13	2,417 99	1,156 96	1,261 03
651	SHS CHESAPEAKE LODGING TR	PURCHASE	11/29/11	02/15/13	14,306 67	9,905 13	4,401 54
200	SHS CHEVRON CORP	PURCHASE	10/12/11	01/18/13	23,435 48	19,644 96	3,790 52
50	SHS COLFAX CORP	PURCHASE	02/13/12	04/24/13	2,196 20	1,740 86	455 34
100	SHS COLFAX CORP	PURCHASE	02/13/12	10/16/13	5,523 44	3,481 72	2,041 72
22	SHS COLFAX CORP	PURCHASE	02/13/12	11/14/13	1,288 89	765 98	522 91
128	SHS COLFAX CORP	PURCHASE	02/13/12	11/15/13	7,514 19	4,456 60	3,057 59
60	SHS COTT CORP QUE CANADA CAD	PURCHASE	05/10/12	05/17/13	533 68	438 59	95 09
500	SHS COTT CORP QUE CANADA CAD	PURCHASE	05/10/12	05/17/13	4,447 34	3,678 01	769 33
350	SHS COTT CORP QUE CANADA CAD	PURCHASE	05/22/12	06/19/13	2,765 79	2,583 74	182 05
55	SHS EBAY INC	PURCHASE	06/11/12	07/23/13	2,837 61	2,265 68	571 93
62	SHS EBAY INC	PURCHASE	06/11/12	07/26/13	3,224 66	2,554 04	670 62
170	SHS EMC CORP MASS	PURCHASE	09/08/11	07/29/13	4,467 79	3,763 65	704 14
208	SHS EXPRESS SCRIPTS HLDG CO	PURCHASE	03/28/12	04/12/13	11,802 83	11,203 53	599 30
200	SHS GENL ELECTRIC CO	PURCHASE	10/17/11	01/18/13	14,499 68	12,270 00	2,229 68
15	SHS GILEAD SCIENCES INC	PURCHASE	04/19/12	07/23/13	890 85	393 60	497 25
28	SHS GILEAD SCIENCES INC	PURCHASE	04/19/12	07/23/13	1,670 30	734 71	935.59
5	SHS HARRIS CORP DEL A	PURCHASE	08/05/11	02/08/13	233 32	186 86	46 46
387	SHS HERTZ GLOBAL HOLDINGS INC	PURCHASE	09/05/12	10/17/13	9,138 83	5,607 82	3,531 01
220	SHS INGERSOLL-RAND PLC	PURCHASE	08/30/12	11/05/13	14,893 85	10,077.48	4,816 37
28	SHS INGERSOLL-RAND PLC	PURCHASE	10/25/12	11/05/13	1,895.58	1,293 27	602 31
450	SHS KEYCORP NEW	PURCHASE	12/23/11	04/24/13	4,324 45	3,519 30	805 15
25	SHS KEYCORP NEW	PURCHASE	12/23/11	04/26/13	244.60	195 52	49 08
70	SHS KOPPERS HOLDINGS INC	PURCHASE	09/08/11	02/06/13	2,876 53	2,163.73	712 80
400	SHS KOPPERS HOLDINGS INC	PURCHASE	06/19/12	06/20/13	15,858 60	13,510 88	2,347 72
341	SHS LEAPFROG ENTERPRISES INC	PURCHASE	09/10/12	10/11/13	2,995 92	2,860 96	134 96
137	SHS LEAPFROG ENTERPRISES INC	PURCHASE	09/10/12	10/11/13	1,203 64	1,168 61	35 03
322	SHS LEAPFROG ENTERPRISES INC	PURCHASE	09/10/12	10/11/13	2,829 00	2,734 07	94 93
40	SHS LIFE TECHNOLOGIES CORP	PURCHASE	09/20/11	04/25/13	2,947 53	1,612 10	1,335 43
85	SHS LIFE TECHNOLOGIES CORP	PURCHASE	09/20/11	05/08/13	6,249 92	3,425 70	2,824 22
236	SHS LOWES COMPANIES INC	PURCHASE	10/18/11	03/18/13	9,151 87	5,051 40	4,100 47
164	SHS LOWES COMPANIES INC	PURCHASE	10/18/11	04/24/13	6,202 57	3,510 30	2,692 27
100	SHS LOWES COMPANIES INC	PURCHASE	10/21/11	04/24/13	3,782 06	2,199 74	1,582 32
129	SHS LYONDELLBASELL INDUSTRIES	PURCHASE	01/12/12	02/06/13	7,840 37	4,772 43	3,067 94
100	SHS LYONDELLBASELL INDUSTRIES	PURCHASE	01/12/12	02/15/13	6,041 21	3,699 56	2,341 65
41	SHS LYONDELLBASELL INDUSTRIES	PURCHASE	01/12/12	05/17/13	2,739 36	1,516 82	1,222.54
43	SHS LYONDELLBASELL INDUSTRIES	PURCHASE	05/10/12	05/17/13	2,872 98	1,675 06	1,197 92
3	SHS LYONDELLBASELL INDUSTRIES	PURCHASE	05/10/12	05/17/13	200.44	118 56	81 88
112	SHS LYONDELLBASELL INDUSTRIES	PURCHASE	05/10/12	05/30/13	7,449 40	4,426 19	3,023 21
100	SHS MOHAWK INDUSTRIES INC	PURCHASE	07/12/12	08/08/13	12,850.87	6,915.85	5,935 02
20	SHS MOHAWK INDUSTRIES INC	PURCHASE	07/12/12	08/08/13	2,570 17	1,385 68	1,184 49
200	SHS SIEMENS A G SPON ADR	PURCHASE	02/01/12	07/25/13	601 20	684.41	(83 21)

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

QUANTITY	DESCRIPTION	HOW ACQUIRED	DATE ACQUIRED	DATE SOLD	PROCEED	BOOK COST BASIS	(b) Net Investment Income GAIN / (LOSS)
100	SHS SIEMENS A G SPON ADR	PURCHASE	02/01/12	10/23/13	12,752 78	9,360 20	3,392 58
100	SHS SIEMENS A G SPON ADR	PURCHASE	02/01/12	11/26/13	13,273 47	9,360 19	3,913 28
33	SHS STARZ SER A	PURCHASE	09/21/11	02/06/13	537 84	248 70	289 14
30	SHS STARZ SER A	PURCHASE	09/21/11	02/06/13	488 95	226 37	262 58
123	SHS TRW AUTOMOTIVE HOLDGS COR	PURCHASE	02/13/12	07/25/13	8,519 35	5,137 56	3,381 79
50	SHS TRW AUTOMOTIVE HOLDGS COR	PURCHASE	02/13/12	10/04/13	3,710 95	2,088 44	1,622 51
35	SHS VIACOM INC NEW CL B	PURCHASE	05/10/12	11/26/13	2,769 39	1,677 09	1,092 30
10	SHS VIACOM INC NEW CL B	PURCHASE	05/29/12	11/26/13	791 26	485 00	306 26
180	SHS WILLIAMS COS INC (DEL)	PURCHASE	07/15/11	03/07/13	6,088 04	4,350 61	1,737 43
9	SHS WILLIAMS COS INC (DEL)	PURCHASE	08/05/11	03/07/13	304 40	201 21	103 19
478	SHS WILLIAMS COS INC (DEL)	PURCHASE	06/13/12	07/22/13	16,474 26	14,118 31	2,355 95
11	SHS CHESAPEAKE LODGING TR	PURCHASE	07/28/10	02/15/13	241 74	191 98	49 76
196	SHS COTT CORP QUE CANADA CAD	PURCHASE	08/19/10	04/25/13	2,155 95	1,315 86	840 09
554	SHS COTT CORP QUE CANADA CAD	PURCHASE	09/10/10	04/25/13	6,093 87	4,047 52	2,046 35
81	SHS COTT CORP QUE CANADA CAD	PURCHASE	09/10/10	04/26/13	905 15	591 79	313 36
78	SHS EMC CORP MASS	PURCHASE	01/26/10	04/11/13	1,787 81	1,339 46	448 35
22	SHS EMC CORP MASS	PURCHASE	06/04/10	04/11/13	504 26	415 32	88 94
117	SHS EMC CORP MASS	PURCHASE	06/04/10	04/19/13	2,512 32	2,208 77	303 55
83	SHS EMC CORP MASS	PURCHASE	06/04/10	07/29/13	2,181 33	1,566 91	614 42
95	SHS EXPRESS SCRIPTS HLDG CO	DONATION	09/21/11	04/12/13	5,390 72	1,005 71	4,385 01 *
5	SHS HARRIS CORP DEL A	PURCHASE	09/23/09	01/30/13	234 40	194 44	39 96
21	SHS HARRIS CORP DEL A	PURCHASE	09/23/09	02/08/13	979 95	816 62	163 33
60	SHS HARRIS CORP DEL A	PURCHASE	10/13/09	02/08/13	2,799 84	2,249 07	550 77
109	SHS HARRIS CORP DEL A	PURCHASE	11/01/10	02/08/13	5,086 38	4,987 24	99 14
33	SHS INTL BUSINESS MACHINE	DONATION	09/21/11	03/12/13	6,928 73	3,225 42	3,703 31 *
735	SHS KKR & CO LP (PTP)	PURCHASE	02/01/12	05/01/13	15,330 70	11,611 00	3,719 70 **
500	SHS KKR & CO LP (PTP)	PURCHASE	04/03/12	05/01/13	10,429 04	7,962 00	2,467 04 **
120	SHS LIVE NATION ENTERTAINMENT INC	PURCHASE	01/08/09	05/17/13	1,653 88	748 68	905 20
140	SHS LIVE NATION ENTERTAINMENT INC	PURCHASE	07/24/09	05/17/13	1,929 52	818 08	1,111 44
135	SHS LIVE NATION ENTERTAINMENT INC	PURCHASE	08/25/09	05/17/13	1,860 61	897 19	963 42
137	SHS LIVE NATION ENTERTAINMENT INC	PURCHASE	08/25/09	11/14/13	2,459 81	910 49	1,549 32
2	SHS LIVE NATION ENTERTAINMENT INC	PURCHASE	06/04/10	11/14/13	35 91	23.25	12 66
285	SHS LIVE NATION ENTERTAINMENT INC	PURCHASE	06/04/10	11/15/13	5,036 04	3,313 55	1,722 49
178	SHS LIVE NATION ENTERTAINMENT INC	PURCHASE	06/04/10	11/19/13	3,073 99	2,069.52	1,004.47
74	278 SHS STARZ SER A	PURCHASE	03/16/10	02/06/13	1,210 59	261 25	949 34
83	723 SHS STARZ SER A	PURCHASE	05/10/10	02/06/13	1,364 52	517.57	846 95
3	CALL ASTRAZENECA PLC	PURCHASE	11/20/13	02/26/13	254 97	1,130 96	(875 99)
3	CALL BP PLC DUE 1/18/14	PURCHASE	12/20/13	02/14/13	465 01	627 00	(161 99)
3	CALL BP PLC DUE 1/19/13	PURCHASE	01/22/13	10/17/11	1,049 97	-	1,049 97
5	CALL INTEL CORP DUE 1/18/14	PURCHASE	12/09/13	11/14/12	634 98	1,517 00	(882 02)
1	CALL NETFLIX COM DUE 12/21/13	PURCHASE	10/23/13	06/04/13	2,489 96	8,081 96	(5,592 00)
3	CALL OIL STATES INTL DUE 9/21/13	PURCHASE	09/16/13	08/05/13	570 20	480 00	90 20
4	CALL ORACLE CORP DUE 1/19/13	PURCHASE	01/10/13	01/10/12	951.98	1,820 00	(868 02)
2	CALL SIEMENS A G DUE 1/18/14	PURCHASE	VARIOUS	VARIOUS	659 98	2,860 00	(2,200 02)
2	CALL SIEMENS A G DUE 1/19/13	PURCHASE	01/10/13	02/01/12	1,569 96	1,200 00	369 96
2	CALL UNTD RENTALS DUE 9/21/13	PURCHASE	09/13/13	09/11/13	259 99	360 00	(100 01)
2	CALL UNTD RENTALS DUE 12/21/13	PURCHASE	12/02/13	09/17/13	659 99	2,624 79	(1,964 80)
4	CALL VODAFONE GRP DUE 1/19/13	PURCHASE	01/22/13	10/12/11	591 98	-	591 98
U.S. TRUST ACCOUNT							-
	TOTAL CAPITAL GAIN DISTRIBUTIONS	PURCHASE	VARIOUS	VARIOUS	136,289 00	-	136,289 00
VANGUARD:							-
	CAPITAL GAIN DISTRI - S-T INVEST-GR	PURCHASE	VARIOUS	VARIOUS	6,320 00	-	6,320 00
	CAPITAL GAIN DISTRI - L-T INVEST-GR	PURCHASE	VARIOUS	VARIOUS	1,842 00	-	1,842 00
	CAPITAL GAIN ON VANGUARD LT INVEST LIQUIDATION	PURCHASE	VARIOUS	10/21/13	444,786 35	414,523 69	30,262 66
OTHERS:							-
	NEWPORT ASIA FD - NET ST CAPITAL LOSS	PURCHASE	VARIOUS	VARIOUS	(12,738.00)	-	(12,738 00)
	NEWPORT ASIA FD - NET LT CAPITAL GAIN	PURCHASE	VARIOUS	VARIOUS	155,335 00	-	155,335 00
	SOUTH ST CAPITAL - NET LT CAPITAL GAIN	PURCHASE	VARIOUS	VARIOUS	71,316 00	-	71,316 00
	EL PASO SHAREHOLDER LITIGATION SETTLEMENT FUND	PURCHASE	VARIOUS	12/20/13	39 62	-	39 62
CAPITAL GAINS AND LOSSES FOR BOOKS ON INVESTMENT INCOME:					1,698,613.24	1,159,892.88	538,720.36

* Cost basis is the original cost of securities that donor purchased or inherited

** Cost basis is the adjusted purchase amount with K-1 adjustments