



See a Social Security Number? Say Something!
Report Privacy Problems to <https://public.resource.org/privacy>
Or call the IRS Identity Theft Hotline at 1-800-908-4490



2013

Department of the Treasury
Internal Revenue ServiceReturn of Private Foundation
or Section 4947(a)(1) Trust Treated as Private Foundation

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

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

HARRIET & M. FRED CARTOUN
FOUNDATION, INC.
PO BOX 139
REDDING, CT 06896-0139

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

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

I Fair market value of all assets at end of year (from Part II, column (c), line 16) \$ 797,295.
J Accounting method: ☒ Cash ☐ Accrual
☐ Other (specify) (Part I, column (d) must be on cash basis.)

A Employer identification number 13-6161735
B Telephone number (see the instructions) 203-270-0806
C If exemption application is pending, check here ☐
D 1 Foreign organizations, check here ☐
2 Foreign organizations meeting the 85% test, check here and attach computation ☐
E If private foundation status was terminated under section 507(b)(1)(A), check here ☐
F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐

Part I Analysis of Revenue and Expenses

(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions).)

(a) Revenue and expenses per books (b) Net investment income (c) Adjusted net income (d) Disbursements for charitable purposes (cash basis only)

1	Contributions, gifts, grants, etc. received (att sch)				
2	Ck <input checked="" type="checkbox"/> if the foundn is not req to att Sch B				
3	Interest on savings and temporary cash investments				
4	Dividends and interest from securities	30,287.	30,287.	30,287.	
5a	Gross rents				
b	Net rental income or (loss)				
6a	Net gain/(loss) from sale of assets not on line 10	2,354.			
b	Gross sales price for all assets on line 6a	106,630.			
7	Capital gain net income (from Part IV, line 2)		2,354.		
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/(loss) (att sch)				
11	Other income (attach schedule)				
12	Total. Add lines 1 through 11	32,641.	32,641.	30,287.	
13	Compensation of officers, directors, trustees, etc.	0.			
14	Other employee salaries and wages				
15	Pension plans, employee benefits				
16a	Legal fees (attach schedule)				
b	Accounting fees (attach sch) SEE. ST 1	4,000.	500.	500.	3,500.
c	Other prof fees (attach sch)				
17	Interest				
18	Depreciation (attach schedule) (see inst's) SEE STM. 2	643.			643.
19	Depreciation (attach sch) and depletion				
20	Occupancy				
21	Travel, conferences, and meetings				
22	Printing and publications				
23	Other expenses (attach schedule) SEE STATEMENT 3	156.	8.		148.
24	Total operating and administrative expenses. Add lines 13 through 23	4,799.	508.	500.	4,291.
25	Contributions, gifts, grants paid PART XV	27,915.			27,915.
26	Total expenses and disbursements. Add lines 24 and 25	32,714.	508.	500.	32,206.
27	Subtract line 26 from line 12:				
a	Excess of revenue over expenses and disbursements	-73.			
b	Net investment income (if negative, enter -0-)		32,133.		
c	Adjusted net income (if negative, enter -0-)			29,787.	

SCANNED MAY 29 2014

ADMINISTRATIVE EXPENSES

RECEIVED
MAY 23 2014
OGDEN UT

p4

Part II Balance Sheets		Beginning of year (a) Book Value	End of year	
			(b) Book Value	(c) Fair Market Value
ASSETS	1 Cash — non-interest-bearing	32,387.	9,195.	9,195.
	2 Savings and temporary cash investments	101,790.	53,904.	53,904.
	3 Accounts receivable			
	Less: allowance for doubtful accounts ▶			
	4 Pledges receivable			
	Less: allowance for doubtful accounts ▶			
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
	7 Other notes and loans receivable (attach sch) ▶			
	Less: allowance for doubtful accounts ▶			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges		257.	287.
	10a Investments — U.S. and state government obligations (attach schedule)			
	b Investments — corporate stock (attach schedule) STATEMENT 4	231,281.	235,311.	289,986.
	c Investments — corporate bonds (attach schedule) STATEMENT 5	188,444.	246,659.	237,485.
	11 Investments — land, buildings, and equipment: basis			
LIABILITIES	Less: accumulated depreciation (attach schedule)			
	12 Investments — mortgage loans	74,586.	70,121.	66,473.
	13 Investments — other (attach schedule) STATEMENT 6	121,035.	133,775.	139,965.
	14 Land, buildings, and equipment: basis ▶			
	Less: accumulated depreciation (attach schedule)			
	15 Other assets (describe ▶)			
	16 Total assets (to be completed by all filers — see the instructions. Also, see page 1, item I)	749,523.	749,222.	797,295.
	17 Accounts payable and accrued expenses			
	18 Grants payable			
	19 Deferred revenue			
	20 Loans from officers, directors, trustees, & other disqualified persons			
	21 Mortgages and other notes payable (attach schedule)			
	22 Other liabilities (describe ▶)	227.		
	23 Total liabilities (add lines 17 through 22)	227.	0.	
NET ASSETS OR FUND BALANCES	Foundations that follow SFAS 117, check here and complete lines 24 through 26 and lines 30 and 31. ▶			
	24 Unrestricted			
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here and complete lines 27 through 31. ▶ <input checked="" type="checkbox"/>			
	27 Capital stock, trust principal, or current funds	749,296.	749,222.	
	28 Paid-in or capital surplus, or land, building, and equipment fund			
	29 Retained earnings, accumulated income, endowment, or other funds			
	30 Total net assets or fund balances (see instructions)	749,296.	749,222.	
	31 Total liabilities and net assets/fund balances (see instructions)	749,523.	749,222.	

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	749,296.
2	Enter amount from Part I, line 27a	2	-73.
3	Other increases not included in line 2 (itemize)	3	
4	Add lines 1, 2, and 3	4	749,223.
5	Decreases not included in line 2 (itemize) ▶ SEE STATEMENT 7	5	1.
6	Total net assets or fund balances at end of year (line 4 minus line 5) — Part II, column (b), line 30	6	749,222.

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 shares MLC Company)		(b) How acquired P — Purchase D — Donation	(c) Date acquired (month, day, year)	(d) Date sold (month, day, year)
1 a SEE STATEMENT 8				
b				
c				
d				
e				

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(i) Gains (Column (h) gain minus column (k), but not less than -0-) or Losses (from column (h))
(i) Fair Market Value as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of column (i) over column (j), if any	
a			
b			
c			
d			
e			

2 Capital gain net income or (net capital loss). [If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7]	2	2,354.
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c) (see instructions). If (loss), enter -0- in Part I, line 8]	3	0.

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.)

N/A

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 (column (b) divided by column (c))
2012			
2011			
2010			
2009			
2008			

2 Total of line 1, column (d)**2****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****4** Enter the net value of noncharitable-use assets for 2013 from Part X, line 5**4****5** Multiply line 4 by line 3**5****6** Enter 1% of net investment income (1% of Part I, line 27b)**6****7** Add lines 5 and 6**7****8** Enter qualifying distributions from Part XII, line 4**8**

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

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

1 a 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 instrs)		1	643.
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			
c All other domestic foundations enter 2% of line 27b Exempt foreign organizations enter 4% of Part I, line 12, column (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	643.
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	643.
6 Credits/Payments			
a 2013 estimated tax prmts and 2012 overpayment credited to 2013	6 a 900.		
b Exempt foreign organizations — tax withheld at source	6 b		
c Tax paid with application for extension of time to file (Form 8868)	6 c		
d Backup withholding erroneously withheld	6 d		
7 Total credits and payments. Add lines 6a through 6d	7	900.	
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	0.	
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	257.	
11 Enter the amount of line 10 to be: Credited to 2014 estimated tax 257. Refunded	11	0.	

Part VII-A Statements Regarding Activities

	Yes	No
1 a 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
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see the instructions for definition)?		X
If the answer is 'Yes' to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities		
c Did the foundation file Form 1120-POL for this year?		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
4 a 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?		N/A
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, column (c), and Part XV.	X	
8 a 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.	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

BAA

Form 990-PF (2013)

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?	13	X	
Website address <u>N/A</u>				
14	The books are in care of <u>ANDREW CARTOUN</u> Telephone no <u>203-270-0806</u>			
Located at <u>9 NEWFIELD AVENUE NEWTOWN CT</u> ZIP + 4 <u>06470</u>				
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 – Check here <u>N/A</u> and enter the amount of tax-exempt interest received or accrued during the year <u>15</u>	<u>N/A</u>		
16	At any time during calendar year 2013, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country?	16		X
See the instructions for exceptions and filing requirements for Form TD F 90-22.1. If 'Yes,' enter the name of the foreign country				

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

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

	Yes	No
1 a 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?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> 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)?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> 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.)	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> 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)?	1 b	N/A
Organizations relying on a current notice regarding disaster assistance check here <input type="checkbox"/>		
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?	1 c	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?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
If 'Yes,' list the years <u>20</u> , <u>20</u> , <u>20</u> , <u>20</u>		
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.)	2 b	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 <u>20</u> , <u>20</u> , <u>20</u> , <u>20</u>		
3 a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> 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)	3 b	N/A
4 a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4 a	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?	4 b	X

BAA

Form 990-PF (2013)

Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required (continued)**5 a** During the year did the foundation pay or incur any amount to:

- (1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? ☐ Yes ☒ No
- (2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive? ☐ Yes ☒ No
- (3) Provide a grant to an individual for travel, study, or other similar purposes? ☐ Yes ☒ No
- (4) Provide a grant to an organization other than a charitable, etc., organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? (see instructions) ☐ Yes ☒ No
- (5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? ☐ Yes ☒ No

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

5 b N/A

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)

6 a 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?

6 b X

If 'Yes' to 6b, file Form 8870.

7 a 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 7 b

Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors**1** List all officers, directors, trustees, foundation managers and their compensation (see instructions).

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
ALAN R. CARTOUN PO BOX 139 WEST REDDING, CT 06896	SECRETARY 0	0.	0.	0.
ANDREW CARTOUN 9 NEWFIELD AVENUE NEWTOWN, CT 06470	PRESIDENT 0	0.	0.	0.

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

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

Total number of other employees paid over \$50,000

0

3 Five highest-paid independent contractors for professional services (see instructions). If none, enter 'NONE.'

(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
NONE		
Total number of others receiving over \$50,000 for professional services		0

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	<u>N/A</u>	
2		
3		
4		

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

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

Form 990-PF (2013)

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	1 a	677,425.
b Average of monthly cash balances	1 b	90,971.
c Fair market value of all other assets (see instructions)	1 c	
d Total (add lines 1a, b, and c)	1 d	768,396.
e Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1 e	0.
2 Acquisition indebtedness applicable to line 1 assets	2	0.
3 Subtract line 2 from line 1d	3	768,396.
4 Cash deemed held for charitable activities. Enter 1-1/2% of line 3 (for greater amount, see instructions)	4	11,526.
5 Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	756,870.
6 Minimum investment return. Enter 5% of line 5	6	37,844.

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

1 Minimum investment return from Part X, line 6	1	37,844.
2a Tax on investment income for 2013 from Part VI, line 5	2 a	643.
b Income tax for 2013 (This does not include the tax from Part VI.)	2 b	
c Add lines 2a and 2b	2 c	643.
3 Distributable amount before adjustments Subtract line 2c from line 1	3	37,201.
4 Recoveries of amounts treated as qualifying distributions	4	
5 Add lines 3 and 4	5	37,201.
6 Deduction from distributable amount (see instructions)	6	
7 Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	37,201.

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	1 a	32,206.
b Program-related investments — total from Part IX-B	1 b	
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)	3 a	
b Cash distribution test (attach the required schedule)	3 b	
4 Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	32,206.
5 Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b (see instructions)	5	
6 Adjusted qualifying distributions. Subtract line 5 from line 4	6	32,206.

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

Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2012	(c) 2012	(d) 2013
1 Distributable amount for 2013 from Part XI, line 7				37,201.
2 Undistributed income, if any, as of the end of 2013:				
a Enter amount for 2012 only			31,958.	
b Total for prior years: 20 , 20 , 20		0.		
3 Excess distributions carryover, if any, to 2013:				
a From 2008				
b From 2009				
c From 2010				
d From 2011				
e From 2012				
f Total of lines 3a through e	0.			
4 Qualifying distributions for 2013 from Part XII, line 4: \$ 32,206.				
a Applied to 2012, but not more than line 2a			31,958.	
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				248.
e Remaining amount distributed out of corpus	0.			
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	0.			
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 instructions			0.	
f Undistributed income for 2013. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2014				36,953.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions)	0.			
8 Excess distributions carryover from 2008 not applied on line 5 or line 7 (see instructions)	0.			
9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a	0.			
10 Analysis of line 9:				
a Excess from 2009				
b Excess from 2010				
c Excess from 2011				
d Excess from 2012				
e Excess from 2013				

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)

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
<i>a Paid during the year</i> SEE ATTACHED SCHEDULE ,	N/A	N/A	ALL ARE CHARITABLE, RELIGIOUS OR EDUCATIONAL	27,915.
Total			► 3 a	27,915.
<i>b Approved for future payment</i>				
Total			► 3 b	

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated.

Enter gross amounts unless otherwise indicated.		Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See instructions)
		(a) Business code	(b) Amount	(c) Exclu- sion code	(d) Amount	
1	Program service revenue					
a						
b						
c						
d						
e						
f						
g	Fees and contracts from government agencies					
2	Membership dues and assessments					
3	Interest on savings and temporary cash investments					
4	Dividends and interest from securities			14	30,287.	
5	Net rental income or (loss) from real estate.					
a	Debt-financed property					
b	Not debt-financed property					
6	Net rental income or (loss) from personal property					
7	Other investment income					
8	Gain or (loss) from sales of assets other than inventory					2,354.
9	Net income or (loss) from special events					
10	Gross profit or (loss) from sales of inventory					
11	Other revenue.					
a						
b						
c						
d						
e						
12	Subtotal. Add columns (b), (d), and (e)				30,287.	2,354.
13	Total. Add line 12, columns (b), (d), and (e)				13 30,287.	32,641.

(See worksheet in line 13 instructions to verify calculations.)

Part XVI-B Relationship of Activities to the Accomplishment of Exempt Purposes

[illegible]

HARRIET & M. FRED CARTOUN
FOUNDATION, INC.

13-6161735

STATEMENT 1
FORM 990-PF, PART I, LINE 16B
ACCOUNTING FEES

	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
TAX PREPARATION	\$ 4,000.	\$ 500.	\$ 500.	\$ 3,500.
TOTAL	<u>\$ 4,000.</u>	<u>\$ 500.</u>	<u>\$ 500.</u>	<u>\$ 3,500.</u>

STATEMENT 2
FORM 990-PF, PART I, LINE 18
TAXES

	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
EXCISE TAX	\$ 643.			\$ 643.
TOTAL	<u>\$ 643.</u>	<u>\$ 0.</u>	<u>\$ 0.</u>	<u>\$ 643.</u>

STATEMENT 3
FORM 990-PF, PART I, LINE 23
OTHER EXPENSES

	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
BUSINESS REGISTRATION FEE	\$ 130.			\$ 130.
INVESTMENT FEES	8.	\$ 8.		
OFFICE EXPENSE	18.			18.
TOTAL	<u>\$ 156.</u>	<u>\$ 8.</u>	<u>\$ 0.</u>	<u>\$ 148.</u>

STATEMENT 4
FORM 990-PF, PART II, LINE 10B
INVESTMENTS - CORPORATE STOCKS

CORPORATE STOCKS	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
750 DOW CHEMICAL	COST	\$ 35,852.	\$ 33,300.
1,000 DUPONT E I DE NEMOURS	COST	52,342.	64,970.
500 HELMERICH & PAYNE INC	COST	19,867.	42,040.
400 COVODIEN PLC	COST	18,447.	27,240.
1,500 COSTAMARE INC	COST	23,822.	27,405.
300 BORGWARNER INC	COST	22,081.	33,546.
1,000 INTEL CORP	COST	21,990.	25,955.
400 PETROLEO BRASILEIRO	COST	14,548.	5,512.
900 HARTFORD FINANCIAL	COST	0.	0.
1,500 COSTAMARE INC	COST	24,595.	27,405.
50 MALLINCKRODT PUBLIC	COST	1,767.	2,613.
TOTAL		<u>\$ 235,311.</u>	<u>\$ 289,986.</u>

HARRIET & M. FRED CARTOUN
FOUNDATION, INC.

13-6161735

STATEMENT 5
FORM 990-PF, PART II, LINE 10C
INVESTMENTS - CORPORATE BONDS

<u>CORPORATE BONDS</u>	<u>VALUATION METHOD</u>	<u>BOOK VALUE</u>	<u>FAIR MARKET VALUE</u>
20,000 VERIZON COMM	COST	\$ 19,680.	\$ 22,595.
15,000 GE CAPITAL INTERNOTES	COST	0.	0.
25,000 CATERPILLAR FINANCIAL	COST	0.	0.
75,000 PNC FINANCIAL	COST	79,881.	78,038.
50,000 WACHOVIA CAPITAL TR	COST	48,878.	45,750.
41,000 JP MORGAN CHASE	COST	48,413.	45,202.
45,000 FPL GROUP CAP	COST	49,807.	45,900.
	TOTAL	\$ 246,659.	\$ 237,485.

STATEMENT 6
FORM 990-PF, PART II, LINE 13
INVESTMENTS - OTHER

<u>OTHER SECURITIES</u>	<u>VALUATION METHOD</u>	<u>BOOK VALUE</u>	<u>FAIR MARKET VALUE</u>
174 SHS GE CAPITAL- PREFERRED	COST	\$ 0.	\$ 0.
1,400 SHS JP MORGAN CHASE- PREFERRED	COST	0.	0.
1,500 ISHARES S&P	COST	53,849.	55,245.
250 ISHARES JP MORGAN EM BOND FD	COST	27,836.	27,040.
500 ISHARES RUSSELL 2000	COST	52,090.	57,680.
	TOTAL	\$ 133,775.	\$ 139,965.

STATEMENT 7
FORM 990-PF, PART III, LINE 5
OTHER DECREASES

ROUNDING TOTAL \$ 1.
\$ 1.

STATEMENT 8
FORM 990-PF, PART IV, LINE 1
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

<u>ITEM</u>	<u>(A) DESCRIPTION</u>	<u>(B) HOW ACQUIRED</u>	<u>(C) DATE ACQUIRED</u>	<u>(D) DATE SOLD</u>
1	174 GE CAPITAL PREFERRED	PURCHASED	6/13/2002	1/02/2013
2	25,000 CATERPILLAR FINANCIAL CORP	PURCHASED	2/20/2009	2/15/2013
3	15,000 GE CAPITAL INTERNOTES	PURCHASED	1/31/2008	2/15/2013
4	900 HARTFORD FINANCIAL	PURCHASED	2/24/2012	4/02/2013
5	1,400 JP MORGAN CHASE- PREFERRED	PURCHASED	9/30/2003	5/08/2013
6	GNMA	PURCHASED	4/08/2011	VARIOUS

2013

FEDERAL STATEMENTS

PAGE 3

HARRIET & M. FRED CARTOUN
FOUNDATION, INC.

13-6161735

STATEMENT 8 (CONTINUED)
FORM 990-PF, PART IV, LINE 1
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

ITEM	(E) GROSS SALES	(F) DEPREC. ALLOWED	(G) COST BASIS	(H) GAIN (LOSS)	(I) FMV 12/31/69	(J) ADJ. BAS. 12/31/69	(K) EXCESS (I) - (J)	(L) GAIN (LOSS)
1	4,350.		4,350.	0.				\$ 0.
2	25,000.		25,000.	0.				0.
3	15,000.		15,005.	-5.				-5.
4	22,991.		20,566.	2,425.				2,425.
5	35,000.		35,000.	0.				0.
6	4,289.		4,355.	-66.				-66.
							TOTAL	\$ 2,354.

STATEMENT 9
FORM 990-PF, PART XV, LINE 2A-D
APPLICATION SUBMISSION INFORMATION

NAME OF GRANT PROGRAM:	
NAME:	HARRIET & M FRED CARTOUN FOUNDATION, INC
CARE OF:	ALAN R. CARTOUN
STREET ADDRESS:	PO BOX 139
CITY, STATE, ZIP CODE:	REDDING, CT 06896
TELEPHONE:	
E-MAIL ADDRESS:	
FORM AND CONTENT:	DESCRIPTION OF CHARITY'S PURPOSE & ACTIVITIES & NUMBER OF YEARS IN EXISTENCE.
SUBMISSION DEADLINES:	NONE
RESTRICTIONS ON AWARDS:	NONE

STATE OF NEW YORK

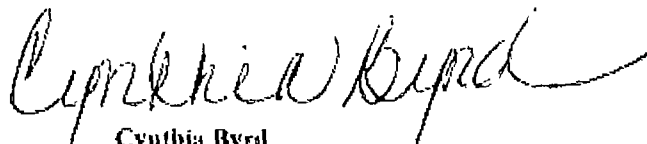
County of New York, s:

THE ANNUAL RETURN
OF HARRIET AND FRED
CARTOON FOUNDA-
TION For the Calendar
year ended December 31,
2012 is available at the of-
fice located at Polit & Mag-
nifico CPA's 40 East Put-
nam Ave., Greenwich CT
06830 for inspection during
regular business hours by
any citizen who requests it
within 180 days hereof.
Principal Manager of the
Foundation is ALAN CAR-
TOUN
2052852 m20

Mary Pawlina, being duly sworn, says that she is the PRINCIPAL CLERK of the Publisher of the **NEW YORK LAW JOURNAL**, a Daily Newspaper; that the Advertisement hereto annexed has been published in the said **NEW YORK LAW JOURNAL** *one time* on the 20th day of March, 2013.

TO WIT: MARCH 20, 2013

SWORN BEFORE ME, this 20th day
Of March, 2013.



Cynthia Byrd
Notary Public, State of New York
No. 01BY6056945
Qualified in Kings County
Commission Expires April 09, 2015

Harriet & M. Fred Cartoun Foundation, Inc.
Part XV, #3 Grants & Contributions

	<u>Date</u>	<u>Name</u>	<u>Paid Amount</u>
Contributions			
	01/07/2013	Danbury Hospital	15,000.00
	03/11/2013	Joel Barlow H.S.	50.00
	03/27/2013	CARE	50.00
	03/27/2013	March of Dimes	100.00
	03/27/2013	Fresh Air Fund	50.00
	03/27/2013	Unity	100.00
	03/27/2013	American Cancer Society	50.00
	03/27/2013	American Red Cross	100.00
	03/27/2013	NY Public Library	100.00
	03/27/2013	Metropolitan Museum of Art	100.00
	03/27/2013	Arthritis Foundation	100.00
	03/27/2013	Leukemia Soc.	50.00
	03/27/2013	Thirteen Public TV	65.00
	03/27/2013	Congregation Emanuel of Westchester	200.00
	03/27/2013	american Folk Art Museum	60.00
	03/27/2013	Redding Land Trust	50.00
	03/27/2013	Doctors W/O Borders	100.00
	03/27/2013	Easter Seals	50.00
	04/02/2013	WNET Public TV	65.00
	04/09/2013	Special Olympics	25.00
	04/09/2013	New Pond Farm	75.00
	04/09/2013	Multible Sclerosis Society	100.00
	04/09/2013	Make A Wish Foundation	100.00
	04/09/2013	NYc Rescue Mission	50.00
	04/09/2013	Children's Aid Society	100.00
	04/09/2013	Sloan-Ketterins	100.00
	04/09/2013	WNYC Public Radio	60.00
	04/09/2013	U.S.O.	100.00
	04/09/2013	Guiding Eyes For The Blind	100.00
	05/14/2013	Mark Twain Library	125.00
	05/14/2013	American Heart Association	25.00
	05/14/2013	Sierra Club	50.00
	05/24/2013	NY State Department of Law	100.00
	05/24/2013	New York University	500.00
	06/19/2013	Congregation Emanuel of Westchester	200.00
	06/30/2013	MDA	300.00
	07/09/2013	BSA West Putnam Council	1,000.00
	07/30/2013	Congregation Emanuel of Westchester	3,850.00
	08/12/2013	NYc Rescue Mission	50.00
	08/12/2013	CT Public TV	60.00
	08/12/2013	Museum of Modern Art	250.00
	08/20/2013	West Redding Vol Fire Dept	20.00
	08/27/2013	WLIW Public TV	65.00

Harriet & M. Fred Cartoun Foundation, Inc.
Part XV, #3 Grants & Contributions

<u>Date</u>	<u>Name</u>	<u>Paid Amount</u>
08/27/2013	City Harvest	50.00
08/29/2013	American Diabetes Assoc.	20.00
09/09/2013	National Park Foundation	50.00
10/01/2013	Samaritans Inc.	800.00
10/05/2013	Unity	100.00
10/05/2013	Georgetown Vol. Fire Co	50.00
10/18/2013	Am Friends of Alyn Hospital	100.00
10/21/2013	Special Olympics	50.00
11/05/2013	NY Times Neediest	100.00
11/11/2013	American Diabetes Assoc.	25.00
11/11/2013	Congregation Emanuel of Westchester	100.00
11/18/2013	Salvation Army	100.00
11/20/2013	Alzheimer's Research	25.00
11/25/2013	B.S.A.	100.00
11/25/2013	Swarthmore College	1,000.00
11/25/2013	Unity	100.00
11/29/2013	Redding Police Shop With A Cop	50.00
12/08/2013	Citi Meals on Wheels	50.00
12/26/2013	WLIW Public TV	75.00
12/26/2013	Thirteen Public TV	125.00
12/26/2013	Congregation Emanuel of Westchester	1,000.00
		<u>27,915.00</u>