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Return of Private Foundation

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

OMB No 1545-0052

Form **990-PF****2013**Department of the Treasury
Internal Revenue Service

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.

Open to Public Inspection

For calendar year 2013 or tax year beginning

, and ending

Name of foundation

A Employer identification number

THE ARVD FOUNDATION**20-3846779**

Number and street (or P O box number if mail is not delivered to street address)

Room/suite

225 MOUNT HERMON ROAD**182**

B Telephone number (see instructions)

813-440-1644

City or town, state or province, country, and ZIP or foreign postal code

SCOTTS VALLEY**CA 95066**C If exemption application is pending, check here ☐

G Check all that apply

☐

Initial return

☐

Initial return of a former public charity

☐

Final return

☐

Amended return

☐

Address change

☐

Name change

D 1 Foreign organizations, check here ☐2. Foreign organizations meeting the 85% test, check here and attach computation ☐H Check type of organization ☒ Section 501(c)(3) exempt private foundation☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundationE If private foundation status was terminated under section 507(b)(1)(A), check here ☐

I Fair market value of all assets at

J Accounting method ☒ Cash ☐ Accrual

end of year (from Part II, col (c),

F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐line 16) **\$ 1,066,581** (Part I, column (d) must be on cash basis)

| Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions)) | | (a) Revenue and expenses per books | (b) Net investment income | (c) Adjusted net income | (d) Disbursements for charitable purposes (cash basis only) |
|--|--|------------------------------------|---------------------------|-------------------------|---|
| Revenue | 1 Contributions, gifts, grants, etc., received (attach schedule) | 174,050 | | | |
| | 2 Check <input type="checkbox"/> if the foundation is not required to attach Sch B | | | | |
| | 3 Interest on savings and temporary cash investments | 1,941 | 924 | | |
| | 4 Dividends and interest from securities | 22,242 | 22,242 | | |
| | 5a Gross rents | | | | |
| | b Net rental income or (loss) | | | | |
| | 6a Net gain or (loss) from sale of assets not on line 10 Stmt 1 | 27,480 | | | |
| | b Gross sales price for all assets on line 6a 352,488 | | | | |
| | 7 Capital gain net income (from Part IV, line 2) | | 7,959 | | |
| | 8 Net short-term capital gain | | | 0 | |
| Operating and Administrative Expenses | 9 Income modifications | | | | |
| | 10a Gross sales less returns and allowances | | | | |
| | b Less Cost of goods sold | | | | |
| | c Gross profit or (loss) (attach schedule) | | | | |
| | 11 Other income (attach schedule) Stmt 2 | 16,174 | 16,174 | | |
| | 12 Total. Add lines 1 through 11 | 241,887 | 47,299 | 0 | |
| | 13 Compensation of officers, directors, trustees, etc | 0 | | | |
| | 14 Other employee salaries and wages | | | | |
| | 15 Pension plans, employee benefits | | | | |
| | 16a Legal fees (attach schedule) | | | | |
| b Accounting fees (attach schedule) Stmt 3 | 2,670 | | | | |
| c Other professional fees (attach schedule) | | | | | |
| 17 Interest | 71 | | | | |
| 18 Taxes (attach schedule) (see instructions) Stmt 4 | 17 | | | | |
| 19 Depreciation (attach schedule) and depletion | | | | | |
| 20 Occupancy | | | | | |
| 21 Travel, conferences, and meetings | | | | | |
| 22 Printing and publications | | | | | |
| 23 Other expenses (att sch) Stmt 5 | 1,145 | | | | |
| 24 Total operating and administrative expenses. Add lines 13 through 23 | 3,903 | 0 | 0 | 0 | |
| 25 Contributions, gifts, grants paid See Statement 6 | 53,870 | | | 53,870 | |
| 26 Total expenses and disbursements. Add lines 24 and 25 | 57,773 | 0 | 0 | 53,870 | |
| 27 Subtract line 26 from line 12 | | | | | |
| a Excess of revenue over expenses and disbursements | 184,114 | | | | |
| b Net investment income (if negative, enter -0-) | | 47,299 | | | |
| c Adjusted net income (if negative, enter -0-) | | | 0 | | |

For Paperwork Reduction Act Notice, see instructions.

Form 990-PF (2013)

DAA

| Part II Balance Sheets | | Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions.) | | Beginning of year | End of year | |
|------------------------------------|-----|--|---|-------------------|----------------|-----------------------|
| | | | | (a) Book Value | (b) Book Value | (c) Fair Market Value |
| Assets | 1 | Cash – non-interest-bearing | | 55,924 | 78,602 | 78,602 |
| | 2 | Savings and temporary cash investments | | | | |
| | 3 | Accounts receivable ▶ | | | | |
| | | Less: allowance for doubtful accounts ▶ | | | | |
| | 4 | Pledges receivable ▶ | | | | |
| | | Less: allowance for doubtful accounts ▶ | | | | |
| | 5 | Grants receivable | | | | |
| | 6 | Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions) | | | | |
| | 7 | Other notes and loans receivable (att. schedule) ▶ | | | | |
| | | Less: allowance for doubtful accounts ▶ | 0 | | | |
| | 8 | Inventories for sale or use | | | | |
| | 9 | Prepaid expenses and deferred charges | | | | |
| | 10a | Investments – U.S. and state government obligations (attach schedule) Stmt 7 | | | 117,396 | 116,618 |
| | b | Investments – corporate stock (attach schedule) See Stmt 8 | | 152,057 | 198,890 | 213,471 |
| | c | Investments – corporate bonds (attach schedule) See Stmt 9 | | | 24,666 | 24,223 |
| | 11 | Investments – land, buildings, and equipment basis ▶ | | | | |
| | | Less: accumulated depreciation (attach sch.) ▶ | | | | |
| | 12 | Investments – mortgage loans | | | | |
| | 13 | Investments – other (attach schedule) See Statement 10 | | 640,984 | 613,525 | 633,667 |
| | 14 | Land, buildings, and equipment basis ▶ | | | | |
| | | Less: accumulated depreciation (attach sch.) ▶ | | | | |
| | 15 | Other assets (describe ▶) | | | | |
| | 16 | Total assets (to be completed by all filers – see the instructions. Also, see page 1, item I) | | 848,965 | 1,033,079 | 1,066,581 |
| Liabilities | 17 | Accounts payable and accrued expenses | | | | |
| | 18 | Grants payable | | | | |
| | 19 | Deferred revenue | | | | |
| | 20 | Loans from officers, directors, trustees, and other disqualified persons | | | | |
| | 21 | Mortgages and other notes payable (attach schedule) | | | | |
| | 22 | Other liabilities (describe ▶) | | | | |
| | 23 | Total liabilities (add lines 17 through 22) | | 0 | 0 | |
| Net Assets or Fund Balances | | Foundations that follow SFAS 117, check here and complete lines 24 through 26 and lines 30 and 31. ▶ <input checked="" type="checkbox"/> | | | | |
| | 24 | Unrestricted | | 848,965 | 1,033,079 | |
| | 25 | Temporarily restricted | | | | |
| | 26 | Permanently restricted | | | | |
| | | Foundations that do not follow SFAS 117, check here and complete lines 27 through 31. ▶ <input type="checkbox"/> | | | | |
| | 27 | Capital stock, trust principal, or current funds | | | | |
| | 28 | Paid-in or capital surplus, or land, bldg., and equipment fund | | | | |
| | 29 | Retained earnings, accumulated income, endowment, or other funds | | | | |
| | 30 | Total net assets or fund balances (see instructions) | | 848,965 | 1,033,079 | |
| | 31 | Total liabilities and net assets/fund balances (see instructions) | | 848,965 | 1,033,079 | |

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 | 848,965 |
| 2 | Enter amount from Part I, line 27a | 2 | 184,114 |
| 3 | Other increases not included in line 2 (itemize) ▶ | 3 | |
| 4 | Add lines 1, 2, and 3 | 4 | 1,033,079 |
| 5 | Decreases not included in line 2 (itemize) ▶ | 5 | |
| 6 | Total net assets or fund balances at end of year (line 4 minus line 5) – Part II, column (b), line 30 | 6 | 1,033,079 |

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 McDonald Partners | | | | |
| 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 7,959 | | | 7,959 | |
| b | | | | |
| c | | | | |
| d | | | | |
| e | | | | |
| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | | |
| (i) FMV as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of col. (i) over col. (j), if any | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h)) | |
| a | | | 7,959 | |
| 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 | 7,959 |
| 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 | |

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 | 37,665 | 768,446 | 0.049015 |
| 2011 | 42,175 | 754,531 | 0.055896 |
| 2010 | 41,263 | 720,021 | 0.057308 |
| 2009 | 44,827 | 705,118 | 0.063574 |
| 2008 | 47,884 | 829,759 | 0.057708 |
| 2 Total of line 1, column (d) | | | 2 0.283501 |
| 3 Average distribution ratio for the 5-year base period – divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years | | | 3 0.056700 |
| 4 Enter the net value of noncharitable-use assets for 2013 from Part X, line 5 | | | 4 940,585 |
| 5 Multiply line 4 by line 3 | | | 5 53,331 |
| 6 Enter 1% of net investment income (1% of Part I, line 27b) | | | 6 473 |
| 7 Add lines 5 and 6 | | | 7 53,804 |
| 8 Enter qualifying distributions from Part XII, line 4 If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate. See the Part VI instructions | | | 8 53,870 |

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

| | | | |
|-----------|---|-----------|------------|
| 1a | Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1 Date of ruling or determination letter (attach copy of letter if necessary—see instructions) | | |
| b | Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input checked="" type="checkbox"/> and enter 1% of Part I, line 27b | 1 | 473 |
| c | All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col (b) | | |
| 2 | Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-) | 2 | 0 |
| 3 | Add lines 1 and 2 | 3 | 473 |
| 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 | 473 |
| 6 | Credits/Payments | | |
| a | 2013 estimated tax payments and 2012 overpayment credited to 2013 | 6a | |
| b | Exempt foreign organizations – tax withheld at source | 6b | |
| c | Tax paid with application for extension of time to file (Form 8868) | 6c | |
| d | Backup withholding erroneously withheld | 6d | |
| 7 | Total credits and payments. Add lines 6a through 6d | 7 | |
| 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 | 473 |
| 10 | Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid | 10 | |
| 11 | Enter the amount of line 10 to be Credited to 2014 estimated tax <input type="checkbox"/> Refunded <input type="checkbox"/> | 11 | |

Part VII-A Statements Regarding Activities

| | Yes | No |
|--|----------|----------|
| 1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign? | | X |
| 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 | | X |
| 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 <input type="checkbox"/> \$ _____ (2) On foundation managers <input type="checkbox"/> \$ _____ | | |
| e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers <input type="checkbox"/> \$ _____ | | |
| 2 Has the foundation engaged in any activities that have not previously been reported to the IRS? If "Yes," attach a detailed description of the activities | | X |
| 3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes | | X |
| 4a Did the foundation have unrelated business gross income of \$1,000 or more during the year? | | X |
| b If "Yes," has it filed a tax return on Form 990-T for this year? | | |
| 5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by General Instruction T | | X |
| 6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument? | X | |
| 7 Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col (c), and Part XV | X | |
| 8a Enter the states to which the foundation reports or with which it is registered (see instructions) <input type="checkbox"/> | | |
| CA | | |
| 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 |

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 ► Dr. Audrey Vizzard 225 Mount Hermon Road Located at ► Scotts Valley CA ZIP+4 ► 95066 Telephone no ► 831-440-1644 | | | |
| 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 | | |
| 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? <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)? Organizations relying on a current notice regarding disaster assistance check here N/A <input type="checkbox"/> | 1b | |
| c | Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2013? N/A | 1c | |
| 2 | Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)): | | |
| a | At the end of tax year 2013, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2013? If "Yes," list the years ► 20 , 20 , 20 , 20 <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | | |
| b | Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement – see instructions) N/A | 2b | |
| c | If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here ► 20 , 20 , 20 , 20 | | |
| 3a | Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? <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) N/A | 3b | |
| 4a | Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? | 4a | X |
| b | Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2013? | 4b | X |

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

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

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

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

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

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

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

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

Organizations relying on a current notice regarding disaster assistance check here ☐

c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? **N/A** ☐ Yes ☐ No

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

6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? ☐ Yes ☒ No

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? **6b** ☐ Yes ☒ No **X**

If "Yes" to 6b, file Form 8870

7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? ☐ Yes ☒ No

b If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction? **N/A** **7b**

Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors**1 List all officers, directors, trustees, foundation managers and their compensation (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 |
|---|---|---|---|---------------------------------------|
| Dr. Audrey Vizzard 225 Mount Hermon Road | Scotts Valley CA 95066 | President 15.00 | 0 | 0 |
| | | | | |
| | | | | |
| | | | | |

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

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

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

0

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

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

Total number of others receiving over \$50,000 for professional services ▶**Part IX-A Summary of Direct Charitable Activities**

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

| | Expenses |
|-------|----------|
| 1 N/A | |
| 2 | |
| 3 | |
| 4 | |

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

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

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

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

| | | | |
|----------|---|-----------|----------------|
| 1 | Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes | | |
| a | Average monthly fair market value of securities | 1a | 718,598 |
| b | Average of monthly cash balances | 1b | 36,311 |
| c | Fair market value of all other assets (see instructions) | 1c | 200,000 |
| d | Total (add lines 1a, b, and c) | 1d | 954,909 |
| 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 | 954,909 |
| 4 | Cash deemed held for charitable activities. Enter 1½% of line 3 (for greater amount, see instructions) | 4 | 14,324 |
| 5 | Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4 | 5 | 940,585 |
| 6 | Minimum investment return. Enter 5% of line 5 | 6 | 47,029 |

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 | 47,029 |
| 2a | Tax on investment income for 2013 from Part VI, line 5 | 2a | 473 |
| b | Income tax for 2013 (This does not include the tax from Part VI.) | 2b | |
| c | Add lines 2a and 2b | 2c | 473 |
| 3 | Distributable amount before adjustments. Subtract line 2c from line 1 | 3 | 46,556 |
| 4 | Recoveries of amounts treated as qualifying distributions | 4 | |
| 5 | Add lines 3 and 4 | 5 | 46,556 |
| 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 | 46,556 |

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 | 53,870 |
| b | Program-related investments – total from Part IX-B | 1b | |
| 2 | Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes | 2 | |
| 3 | Amounts set aside for specific charitable projects that satisfy the | | |
| a | Suitability test (prior IRS approval required) | 3a | |
| b | Cash distribution test (attach the required schedule) | 3b | |
| 4 | Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4 | 4 | 53,870 |
| 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 | 473 |
| 6 | Adjusted qualifying distributions. Subtract line 5 from line 4 | 6 | 53,397 |

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 | | | | 46,556 |
| 2 Undistributed income, if any, as of the end of 2013 | | | | |
| a Enter amount for 2012 only | | | | |
| b Total for prior years 20____, 20____, 20____ | | | | |
| 3 Excess distributions carryover, if any, to 2013: | | | | |
| a From 2008 | | | | 6,918 |
| b From 2009 | | | | 10,023 |
| c From 2010 | | | | 5,637 |
| d From 2011 | | | | 4,858 |
| e From 2012 | | | | |
| f Total of lines 3a through e | 27,436 | | | |
| 4 Qualifying distributions for 2013 from Part XII, line 4 ▶ \$ 53,870 | | | | |
| a Applied to 2012, but not more than line 2a | | | | |
| b Applied to undistributed income of prior years (Election required – see instructions) | | | | |
| c Treated as distributions out of corpus (Election required – see instructions) | | | | |
| d Applied to 2013 distributable amount | | | | 46,556 |
| e Remaining amount distributed out of corpus | 7,314 | | | |
| 5 Excess distributions carryover applied to 2013 (If an amount appears in column (d), the same amount must be shown in column (a)) | | | | |
| 6 Enter the net total of each column as indicated below: | | | | |
| a Corpus Add lines 3f, 4c, and 4e Subtract line 5 | 34,750 | | | |
| b Prior years' undistributed income Subtract line 4b from line 2b | | | | |
| c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed | | | | |
| d Subtract line 6c from line 6b Taxable amount – see instructions | | | | |
| e Undistributed income for 2012 Subtract line 4a from line 2a. Taxable amount – see instructions | | | | |
| f Undistributed income for 2013 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2014 | | | | 0 |
| 7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions) | | | | |
| 8 Excess distributions carryover from 2008 not applied on line 5 or line 7 (see instructions) | 6,918 | | | |
| 9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a | 27,832 | | | |
| 10 Analysis of line 9 | | | | |
| a Excess from 2009 | | | | 10,023 |
| b Excess from 2010 | | | | 5,637 |
| c Excess from 2011 | | | | 4,858 |
| d Excess from 2012 | | | | |
| e Excess from 2013 | | | | 7,314 |

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

1a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2013, enter the date of the ruling ▶

b Check box to indicate whether the foundation is a private operating foundation described in section ☐ 4942(j)(3) or ☐ 4942(j)(5)

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

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

1 Information Regarding Foundation Managers:

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

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

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

a The name, address, and telephone number or e-mail address of the person to whom applications should be addressed.
Dr. Audrey Vizzard 831-440-1644
225 Mount Hermon Road #182 Scotts Valley CA 95066

b The form in which applications should be submitted and information and materials they should include
A written request detailing the proposed use of the funds

c Any submission deadlines.
There are no submission deadlines

d Any restrictions or limitations on awards, such as by geographical areas, charitable fields, kinds of institutions, or other factors:
There are no formal restrictions or limitations.

Part XV Supplementary Information (continued)**3 Grants and Contributions Paid During the Year or Approved for Future Payment**

| Recipient | 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 |
|--|--|--------------------------------------|-------------------------------------|---------------|
| Name and address (home or business) | | | | |
| a Paid during the year See Statement 11 | | | | 53,870 |
| Total | | | ▶ 3a | 53,870 |
| b Approved for future payment N/A | | | | |
| Total | | | ▶ 3b | |

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

(2) Other assets

b Other transactions

(1) Sales of assets to a noncharitable exempt organization

(2) Purchases of assets from a noncharitable exempt organization

(3) Rental of facilities, equipment, or other assets

(4) Reimbursement arrangements

(5) Loans or loan guarantees

(6) Performance of services or membership or fundraising solicitations

c Sharing of facilities, equipment, mailing lists, other assets, or paid employees

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.

| | Yes | No |
|-------|-----|----|
| 1a(1) | | X |
| 1a(2) | | X |
| 1b(1) | | X |
| 1b(2) | | X |
| 1b(3) | | X |
| 1b(4) | | X |
| 1b(5) | | X |
| 1b(6) | | X |
| 1c | | X |

[illegible]

☐ Yes ☒ No

| (a) Name of organization | (b) Type of organization | (c) Description of relationship |
|--------------------------|--------------------------|---------------------------------|
| N/A | | |
| | | |
| | | |
| | | |
| | | |

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

CEO

Phone no **317-266-0480**

Schedule B
(Form 990, 990-EZ,
or 990-PF)Department of the Treasury
Internal Revenue Service**Schedule of Contributors**

OMB No 1545-0047

2013

▶ Attach to Form 990, Form 990-EZ, or Form 990-PF.

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

Name of the organization

THE ARVD FOUNDATION

Employer identification number

20-3846779

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 foundationCheck 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
- $\frac{1}{3}$
- % 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).

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

THE ARVD FOUNDATION

Employer identification number

20-3846779**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 | GREG AND JANIS RIKER 1500 4th Avenue, Suite 1001 SEATTLE WA 98101 | \$ 10,800 | Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions) |
| 2 | AUDREY RIKER VIZZARD 225 MOUNT HERMON ROAD #182 SCOTTS VALLEY CA 95066 | \$ 150,000 | Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions) |
| 3 | HEATHER M. LOWE 3621 N LAKEWOOD AVENUE Chicago IL 60613 | \$ 10,000 | Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions) |
| | | \$ | Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions) |
| | | \$ | Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions) |
| | | \$ | Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions) |

Federal Statements

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Statement 1 - Form 990-PF, Part I, Line 6a - Sale of Assets

| Description | | | How Received | | Expense | Depreciation | Net Gain / Loss |
|--------------------------|---------------|-----------|-----------------------|-----------|---------|--------------|-----------------|
| Whom Sold | Date Acquired | Date Sold | Price | Cost | | | |
| Conoco Phillips | 4/25/13 | 12/11/13 | Purchase 20,764 \$ | 17,693 \$ | \$ | \$ | 3,071 |
| First Trust | 1/18/13 | 12/30/13 | Purchase 13,954 | 16,075 | | | -2,121 |
| First Trust III | 6/11/13 | 8/30/13 | Purchase 8,945 | 10,008 | | | -1,063 |
| Kraft Foods Group | 12/26/12 | 5/22/13 | Purchase 16,774 | 13,644 | | | 3,130 |
| BNC Bancorp | 10/15/12 | 4/29/13 | Purchase 25,000 | 24,882 | | | 118 |
| Elgin IL | 8/02/13 | 12/16/13 | Purchase 25,000 | 25,000 | | | |
| Wyeth | 8/02/13 | 12/16/13 | Purchase 4,026 | 4,107 | | | -81 |
| First Trust Port | 8/30/12 | 9/03/13 | Purchase 67,637 | 50,014 | | | 17,623 |
| DCT Industrial | 1/19/06 | 12/26/13 | Purchase 35,015 | 50,000 | | | -14,985 |
| First Trust Utilities | Various | 4/11/13 | Purchase 19,649 | 16,442 | | | 3,207 |
| First Trust Utilities | Various | 4/29/13 | Purchase 30,154 | 26,805 | | | 3,349 |
| First Trust Equity | 4/30/10 | 2/07/13 | Purchase 9,820 | 7,728 | | | 2,092 |
| First Trust Enhanced | Various | 8/28/13 | Purchase 27,097 | 24,944 | | | 2,153 |
| United Bancorp | 7/10/12 | 9/30/13 | Purchase 13,000 | 11,709 | | | 1,291 |
| United Bancorp | 7/10/12 | 12/27/13 | Purchase 12,000 | 10,808 | | | 1,192 |
| Energy Transfer Partners | 4/30/13 | 10/31/13 | Purchase 15,694 | 15,149 | | | 545 |

Federal Statements

Statement 1 - Form 990-PF, Part I, Line 6a - Sale of Assets (continued)

| Whom Sold | Description | Date Acquired | Date Sold | How Received | | Cost | Expense | Depreciation | Net Gain / Loss |
|-----------|-------------|---------------|-----------|--------------|------------|------|---------|--------------|-----------------|
| | | | | | Sale Price | | | | |
| Total | | | | \$ | 344,529 | \$ | 0 | \$ | 19,521 |

Statement 2 - Form 990-PF, Part I, Line 11 - Other Income

| Description | Revenue per Books | Net Investment Income | Adjusted Net Income |
|-------------------------------|-------------------|-----------------------|---------------------|
| Taxable earnings from annuity | \$ 16,174 | \$ 16,174 | \$ |
| Total | \$ 16,174 | \$ 16,174 | \$ 0 |

Statement 3 - Form 990-PF, Part I, Line 16b - Accounting Fees

| Description | Total | Net Investment | Adjusted Net | Charitable Purpose |
|-------------------|----------|----------------|--------------|--------------------|
| Charles Madden PC | \$ 2,670 | \$ | \$ | \$ |
| Total | \$ 2,670 | \$ 0 | \$ 0 | \$ 0 |

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

| Description | Total | Net Investment | Adjusted Net | Charitable Purpose |
|----------------|-------|----------------|--------------|--------------------|
| David A. Noyes | \$ | \$ | \$ | \$ |
| Total | \$ 0 | \$ 0 | \$ 0 | \$ 0 |

Federal Statements

Statement 4 - Form 990-PF, Part I, Line 18 - Taxes

| Description | Total | Net Investment | Adjusted Net | Charitable Purpose |
|--------------------|-------|----------------|--------------|--------------------|
| Federal Income tax | 17 | \$ | \$ | \$ |
| State Income Tax | 17 | \$ | \$ | \$ |
| Total | 34 | \$ | \$ | \$ |

Statement 5 - Form 990-PF, Part I, Line 23 - Other Expenses

| Description | Total | Net Investment | Adjusted Net | Charitable Purpose |
|---------------------|-------|----------------|--------------|--------------------|
| Expenses | | \$ | \$ | \$ |
| Investment Expenses | 19 | | | |
| Foreign taxes | 12 | | | |
| Bank Fees | 45 | | | |
| Miscellaneous | 472 | | | |
| To Reconcile | 597 | | | |
| Total | 1,145 | \$ | \$ | \$ |

Statement 6 - Form 990-PF, Part I, Line 25 - Noncash Contributions, Gifts, Grants

| Amount | Noncash Description | FMV Explanation | Book Value Amount | Book Value Explanation | Date |
|--------|---------------------|-----------------|-------------------|------------------------|----------|
| 400 | | | | | 11/26/13 |
| 25,000 | | | | | 5/08/13 |
| 500 | | | | | 11/12/13 |
| 1,000 | | | | | 12/04/13 |
| 5,000 | | | | | 11/22/13 |
| 3,950 | | | | | 12/16/13 |
| 2,500 | | | | | 8/12/13 |
| 500 | | | | | 6/03/13 |
| 500 | | | | | 5/01/13 |
| 5,000 | | | | | 7/19/13 |
| 300 | | | | | 11/29/13 |

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Statement 6 - Form 990-PF, Part I, Line 25 - Noncash Contributions, Gifts, Grants (continued)

| Amount | Noncash Description | FMV Explanation | Book Value Amount | Book Value Explanation | Date |
|--------|---------------------|-----------------|-------------------|------------------------|----------|
| 4,000 | | | | | 8/13/13 |
| 4,000 | | | | | 10/23/13 |
| 300 | | | | | 12/09/13 |
| 300 | | | | | 12/13/13 |
| 200 | | | | | 8/02/13 |
| 200 | | | | | 6/11/13 |

Statement 7 - Form 990-PF, Part II, Line 10a - US and State Government Investments

| Description | Beginning of Year | End of Year | Basis of Valuation | Fair Market Value |
|-----------------|-------------------|-------------|--------------------|-------------------|
| DOUGLAS CNTY KS | | 49,627 | Cost | \$ 49,872 |
| MESA AZ | | 18,028 | Cost | 17,792 |
| PITTSFIELD MA | | 24,760 | Cost | 24,322 |
| PALO ALTO CA | | 24,981 | Cost | 24,632 |
| Total | \$ 0 | \$ 117,396 | | \$ 116,618 |

Statement 8 - Form 990-PF, Part II, Line 10b - Corporate Stock Investments

| Description | Beginning of Year | End of Year | Basis of Valuation | Fair Market Value |
|--------------------------------------|-------------------|-------------|--------------------|-------------------|
| 4977 Com Shs DCT Indus. Trust Inc. | \$ 50,000 | | Cost | \$ |
| FIRST TRUST ET UTILITIES ALPHADEX FD | 43,247 | | Cost | |
| FIRST TRUST MORNINSTAR DIVIDEND LDRS | 16,179 | 16,179 | Cost | 21,910 |
| FIRST TRUST LARGE ET CAP VAL OPPTS | 28,987 | 28,987 | Cost | 40,210 |
| 300 SHS KRAFT FOOD GROUP | 13,644 | | Cost | |
| AQUA AMERICA | | 7,694 | Cost | 7,077 |
| DCT INDUSTRIAL TRUST INC | | 37,656 | Cost | 35,650 |
| FIRST TRUST FUND IV ET SENIOR LOAN | | 25,306 | Cost | 24,805 |
| FIRST TRUST ISE-REVERE NAT GAS | | 8,553 | Cost | 9,750 |
| INTEL CORP | | 12,012 | Cost | 12,978 |

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Statement 8 - Form 990-PF, Part II, Line 10b - Corporate Stock Investments (continued)

| Description | Beginning of Year | End of Year | Basis of Valuation | Fair Market Value |
|---------------------------------|----------------------|----------------|-----------------------|----------------------|
| NEWMONT MINING CORP | \$ | 13,686 | Cost | \$ 11,515 |
| ROYAL DUTCH SHELL PLC | | 13,585 | Cost | 15,022 |
| SELECT SECTOR SPDR TR UTILITIES | | 11,357 | Cost | 11,391 |
| SYSICO CORPORATION | | 11,050 | Cost | 10,830 |
| THE SOUTHERN COMPANY | | 12,825 | Cost | 12,333 |
| Total | \$ 152,057 | \$ 198,890 | | \$ 213,471 |

Statement 9 - Form 990-PF, Part II, Line 10c - Corporate Bond Investments

| Description | Beginning of Year | End of Year | Basis of Valuation | Fair Market Value |
|------------------------------------|----------------------|----------------|-----------------------|----------------------|
| BELLSOUTH CORP GLOBAL BONDS | \$ | 4,206 | Cost | \$ 4,132 |
| COMCAST CORP NOTES | | 3,390 | Cost | 3,324 |
| COSTCO WHOLESALE CORP SENIOR NOTES | | 3,418 | Cost | 3,370 |
| GE CAP CORP MEDIUM TERM NOTES | | 4,587 | Cost | 4,540 |
| CONOCO INCE SENIOR NOTES | | 9,065 | Cost | 8,857 |
| Total | \$ 0 | \$ 24,666 | | \$ 24,223 |

Statement 10 - Form 990-PF, Part II, Line 13 - Other Investments

| Description | Beginning of Year | End of Year | Basis of Valuation | Fair Market Value |
|------------------------------------|----------------------|----------------|-----------------------|----------------------|
| The Hartford Life Insurance Policy | \$ 200,000 | \$ 200,000 | Cost | \$ 200,000 |
| Sun Life Assurance Co. | 40,000 | | Cost | |
| KBS Real Estate Investment Trust | 50,705 | 50,705 | Cost | 36,600 |
| First TR Equity Income | 16,006 | 8,278 | Cost | 11,432 |
| First TR Dividend Strength | 50,006 | 50,006 | Cost | 66,587 |
| First TR Port Senior Loan | 75,018 | 75,018 | Cost | 74,695 |
| BNC Bancorp 9% PERP PFD SER A | 24,882 | | Cost | |
| United Bancorp inc 5% PFD Ser A | 22,517 | | Cost | |
| First TR equity income select | 10,016 | 10,016 | Cost | 11,896 |
| first TR deep value SUB 10 DVD | 50,014 | | Cost | |

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20-3846779

FYE: 12/31/2013

Statement 10 - Form 990-PF, Part II, Line 13 - Other Investments (continued)

| Description | Beginning of Year | End of Year | Basis of Valuation | Fair Market Value |
|----------------------------------|----------------------|----------------|-----------------------|----------------------|
| First TR Capital Strength PORT | \$ 50,011 | \$ 50,011 | Cost | \$ 64,145 |
| FIRST TR PORT SABRIANT | | 25,009 | Cost | 24,856 |
| FIRST TR CAPITAL STRENGTH BY-WRT | | 25,007 | Cost | 24,920 |
| FIRST TR ENHANCED EQUITY | 51,809 | 26,865 | Cost | 30,636 |
| FIRST TR SENIOR FLOATING RATE | | 30,052 | Cost | 29,000 |
| FIRST TR INTER DUR PFD & INCOME | | 30,097 | Cost | 30,069 |
| FIRST TR ENERGY INFRASTRUCTURE | | 24,334 | Cost | 20,830 |
| DIAGEO CAPITAL PLC NOTES | | 8,127 | Cost | 8,001 |
| Total | \$ 640,984 | \$ 613,525 | | \$ 633,667 |

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Form 990-PF, Part XV, Line 2b - Application Format and Required Contents

Description

A written request detailing the propped use of the funds

Form 990-PF, Part XV, Line 2c - Submission Deadlines

Description

There are no submission deadlines

Form 990-PF, Part XV, Line 2d - Award Restrictions or Limitations

Description

There are no formal restrictions or limitations.

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Statement 11 - Form 990-PF, Part XV, Line 3a - Grants and Contributions Paid During the Year

| Name | | Address | | Relationship | Status | Purpose | Amount |
|---------------------------|--|------------------------|--------|--------------|--------|-----------------------------------|--------|
| Address | | | | | | | |
| HOSPICE OF SANTA CRUZ CO. | | 940 DISC DRIVE | EXEMPT | NONE | | ASSISTANCE TO THE UNDERPRIVILEGED | |
| SCOTT'S VALLEY CA 95066 | | 721 LAUREL STREET | EXEMPT | NONE | | ASSISTANCE TO THE UNDERPRIVILEGED | 400 |
| SALVATION ARMY | | 115 CORAL STREET | EXEMPT | NONE | | ASSISTANCE TO THE UNDERPRIVILEGED | 25,000 |
| SANTA CRUZ CA 95060 | | P.O. BOX 2048 | EXEMPT | NONE | | ASST TO THE UNDERPRIVILEGED | |
| HOMELESS SERVICES CENTER | | P.O. BOX 383 | EXEMPT | NONE | | ASST TO THE UNDERPRIVILEGED | |
| SANTA CRUZ CA 95060 | | 150 GRAND STREET | EXEMPT | NONE | | ASSISTANCE TO THE UNDERPRIVILEGED | |
| DIOCESE OF MONTERAY | | 213 W. 35TH STREET | EXEMPT | NONE | | ASST TO THE UNDERPRIVILEGED | |
| MONTERAY CA 93942 | | 747 E. BOUGHTON ROAD | EXEMPT | NONE | | ASST TOT HE UNDERPRIVILEGED | |
| COMPASSION IN ACTION | | 2601 MARIPOSA STREET | EXEMPT | NONE | | ASSISTANCE TO THE UNDERPRIVILEGED | 220 |
| SAN DIMAS CA 91773 | | 1 WORLD AVENUE | EXEMPT | NONE | | ASSISTANCE TO THE UNDERPRIVILEGED | 500 |
| NATI'L MULTIPLE SCLEROSIS | | 5 PENN PLAZA | EXEMPT | NONE | | ASSISTANCE TO THE UNDERPRIVILEGED | 1,000 |
| OAKLAND CA 94612 | | 303 WALNUT AVE | EXEMPT | NONE | | ASSISTANCE TO THE UNDERPRIVILEGED | |
| DONORS CHOOSE.ORG | | 257 GLENWOOD DRIVE | EXEMPT | NONE | | ASSISTANCE TO THE UNDERPRIVILEGED | |
| NEW YORK NY 10001 | | 228 WEST LEXINGTON ST. | EXEMPT | NONE | | ASSISTANCE TO THE UNDERPRIVILEGED | 5,000 |
| ANGELS FOR HOSPICE | | 257 GLENWOOD DR | EXEMPT | NONE | | ASSISTANCE TO THE UNDERPRIVILEGED | 3,950 |
| BOLLINGBROOK IL 60440 | | P O BOX 845578 | EXEMPT | NONE | | ASSITANCE TO THE UNDERPRIVILEGED | 2,500 |
| KGED | | 525 W. 120TH ST. | EXEMPT | NONE | | ASSISTANCE TO THE UNDERPRIVILEGED | |
| SAN FRANCISCO CA 94110 | | | | | | | |
| HEIFER PROJECT | | | | | | | |
| LITTLE ROCK AR 72202 | | | | | | | |
| AMNESTY INTERNATIONAL | | | | | | | |
| NEW YORK NY 10001 | | | | | | | |
| WALNUT AVE WOMENS CTR | | | | | | | |
| SANTA CRUZ CA 95060 | | | | | | | |
| ST. VINCENT DEPAUL | | | | | | | |
| SCOTT'S VALLEY CA 95066 | | | | | | | |
| CATHOLIC RELIEF SERVICES | | | | | | | |
| BALTIMORE MD 21201 | | | | | | | |
| CATHOLIC COMMUNITY OF | | | | | | | |
| SCOTT'S VALLEY CA 95066 | | | | | | | |
| PARTNERS IN HEALTH | | | | | | | |
| BOSTON MA 02284 | | | | | | | |
| TEACHERS COLLEGE COLUMBIA | | | | | | | |
| NEW YORK NY 10027 | | | | | | | |

Federal Statements

5/7/2014 9:52 AM

Statement 11 - Form 990-PF, Part XV, Line 3a - Grants and Contributions Paid During the Year (continued)

| Name | | Address | | Relationship | Status | Purpose | Amount |
|--------------------------------|--|---------|--------------------------|--------------|--------|------------------------------------|--------|
| Address | | | | | | | |
| ST. FRANCIS CATHOLIC KITCHEN | | NONE | 205 MORA ST. | | EXEMPT | ASSISTANCE TO THE UNDERPRIVELIDGED | 500 |
| SANTA CRUZ CA 95060 | | NONE | 922 HILBY AVE. | | EXEMPT | ASSISTANCE TO THE UNDERPRIVELIDGED | 500 |
| CATHOLIC CHARITIES | | NONE | 750 CURTNER AVE. | | EXEMPT | ASSISTANCE TO THE UNDERPRIVELIDGED | 5,000 |
| SEASIDE CA 93955 | | NONE | 406 MAIN ST. | | EXEMPT | ASSISTANCE TO THE UNDERPRIVELIDGED | 300 |
| SECOND HARVEST FOOD BANK | | NONE | 122 E. 42ND ST. | | EXEMPT | ASSISTANCE TO THE UNDERPRIVELIDGED | 4,000 |
| SAN JOSE CA 95125 | | NONE | 333 7TH AVE. | | EXEMPT | ASSISTANCE TO THE UNDERPRIVELIDGED | 4,000 |
| COMMUNITY ACTION BOARD | | NONE | 6500 SOQUEL DR. | | EXEMPT | ASSISTANCE TO THE UNDERPRIVELIDGED | 300 |
| WATSONVILLE CA 95076 | | NONE | 9400 STATE ROUTE 9 | | EXEMPT | ASSISTANCE TO THE UNDERPRIVELIDGED | 300 |
| INTERNATIONAL RESCUE COMMITTEE | | NONE | 6400 LAUREL CANYON BLVD. | | EXEMPT | ASSISTANCE TO THE UNDERPRIVELIDGED | 200 |
| NEW YORK NY 10168 | | NONE | 793 E. FOOTHILL BLVD. | | EXEMPT | ASSISTANCE TO THE UNDERPRIVELIDGED | 200 |
| DOCTORS WITHOUT BORDERS | | NONE | | | EXEMPT | | |
| NEW YORK NY 10001-5004 | | NONE | | | EXEMPT | | |
| CABRILLO COLLEGE FOUNDATION | | NONE | | | EXEMPT | | |
| APTOS CA 95003 | | NONE | | | EXEMPT | | |
| VALLEY CHURCHES UNITED | | NONE | | | EXEMPT | | |
| BEN LOMOND CA 95005 | | NONE | | | EXEMPT | | |
| GET ON THE BUS | | NONE | | | EXEMPT | | |
| NORTH HOLLYWOOD CA 91606 | | NONE | | | EXEMPT | | |
| RESTORATIVE PARTNERS | | NONE | | | EXEMPT | | |
| SAN LUIS OBISPO CA 93401 | | NONE | | | EXEMPT | | |
| Total | | | | | | | 53,870 |