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Form

990-PF

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

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

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Information about Form 990-PF and its instructions is at www.irs.gov/form990pf.

OMB No 1545-0052

2013

Open to Public Inspection

For calendar year 2013, or tax year beginning 01-01-2013 , and ending 12-31-2013






Name of foundation THE ROCCO AND NANCY ORTENZIO FOUNDATION		A Employer identification number 23-6805409	
Number and street (or P O box number if mail is not delivered to street address) 4718 GETTYSBURG ROAD - SUITE ROOM/SUITE 405		Room/suite	
City or town, state or province, country, and ZIP or foreign postal code MECHANICSBURG, PA 17055		B Telephone number (see instructions) (717) 972-1305	
G Check all that apply <div><input type="checkbox"/> Initial return</div> <div><input type="checkbox"/> Initial return of a former public charity</div> <div><input type="checkbox"/> Final return</div> <div><input type="checkbox"/> Amended return</div> <div><input type="checkbox"/> Address change</div> <div><input type="checkbox"/> Name change</div>		C If exemption application is pending, check here <input type="checkbox"/>	
H Check type of organization <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation		D 1. Foreign organizations, check here <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/>	
I Fair market value of all assets at end of year (from Part II, col. (c), line 16) \$ 16,309,313		E If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/>	
J Accounting method <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____ (Part I, column (d) must be on cash basis.)		F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>	

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)	2,000,000			
	2 Check <input type="checkbox"/> if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments				
	4 Dividends and interest from securities.	573,506	562,733		
	5a Gross rents				
	b Net rental income or (loss) _____				
	6a Net gain or (loss) from sale of assets not on line 10	-88,735			
	b Gross sales price for all assets on line 6a 9,692,498				
	7 Capital gain net income (from Part IV, line 2) . . .				
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less returns and allowances				
Operating and Administrative Expenses	b Less Cost of goods sold				
	c Gross profit or (loss) (attach schedule)				
	11 Other income (attach schedule)				
	12 Total. Add lines 1 through 11	2,484,771	562,733		
	13 Compensation of officers, directors, trustees, etc				
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees (attach schedule)				
	b Accounting fees (attach schedule)	5,100	1,662		3,400
	c Other professional fees (attach schedule)				
	17 Interest				
	18 Taxes (attach schedule) (see instructions)	19,387	819		
	19 Depreciation (attach schedule) and depletion . . .				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses (attach schedule)	47,296	46,038		15
	24 Total operating and administrative expenses.				
	Add lines 13 through 23	71,783	48,519		3,415
	25 Contributions, gifts, grants paid	2,162,290			2,162,290
	26 Total expenses and disbursements. Add lines 24 and 25	2,234,073	48,519		2,165,705
	27 Subtract line 26 from line 12				
	a Excess of revenue over expenses and disbursements	250,698			
	b Net investment income (if negative, enter -0-)		514,214		
	c Adjusted net income (if negative, enter -0-)				

Part II


Balance Sheets

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

Assets	1	Cash—non-interest-bearing	3,266	30,842	30,842
	2	Savings and temporary cash investments	544,034	505,894	505,894
	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 schedule) ▶ _____ Less allowance for doubtful accounts ▶ _____			
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges			
	10a	Investments—U S and state government obligations (attach schedule)	3,027,389	 797,231	787,891
	b	Investments—corporate stock (attach schedule)	1,245,047	 3,187,169	9,617,250
	c	Investments—corporate bonds (attach schedule).	5,333,789	 5,293,882	5,319,025
	11	Investments—land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
	12	Investments—mortgage loans			
	13	Investments—other (attach schedule)	92,921	 64,148	48,411
	14	Land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
15	Other assets (describe ▶ _____)	 866			
16	Total assets (to be completed by all filers—see the instructions Also, see page 1, item I)	10,247,312	9,879,166	16,309,313	
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	
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ <input type="checkbox"/> and complete lines 24 through 26 and lines 30 and 31.				
	24	Unrestricted			
	25	Temporarily restricted			
	26	Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ <input checked="" type="checkbox"/> and complete lines 27 through 31.				
	27	Capital stock, trust principal, or current funds	10,247,312	9,879,166	
	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 page 17 of the instructions)	10,247,312	9,879,166		
31	Total liabilities and net assets/fund balances (see page 17 of the instructions)	10,247,312	9,879,166		

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	10,247,312
2	Enter amount from Part I, line 27a	2	250,698
3	Other increases not included in line 2 (itemize) ▶ _____	3	
4	Add lines 1, 2, and 3	4	10,498,010
5	Decreases not included in line 2 (itemize) ▶  _____	5	618,844
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	9,879,166

Part IV Capital Gains and Losses for Tax on Investment Income

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
a	See Additional Data Table		
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	-88,735
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	-47,620

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 page 18 of 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	1,388,743	13,084,173	0 106139
2011	1,319,761	13,150,577	0 100358
2010	910,199	13,673,695	0 066566
2009	880,173	12,330,302	0 071383
2008	536,237	12,946,963	0 041418

2	Total of line 1, column (d).	2	0 385864
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 077173
4	Enter the net value of noncharitable-use assets for 2013 from Part X, line 5.	4	14,416,286
5	Multiply line 4 by line 3.	5	1,112,548
6	Enter 1% of net investment income (1% of Part I, line 27b).	6	5,142
7	Add lines 5 and 6.	7	1,117,690
8	Enter qualifying distributions from Part XII, line 4.	8	2,165,705

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 page 18 of the 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	5,142
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	
3 Add lines 1 and 2.	3	5,142
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	4	
5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-	5	5,142
6 Credits/Payments		
a 2013 estimated tax payments and 2012 overpayment credited to 2013	6a	11,640
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	11,640
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	
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	6,498
11 Enter the amount of line 10 to be Credited to 2014 estimated tax 5,200 Refunded	11	1,298

Part VII-A Statements Regarding Activities			
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?	1a	Yes	No
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see page 19 of the instructions for definition)? <i>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.</i>	1b		No
c Did the foundation file Form 1120-POL for this year?	1c		No
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? <i>If "Yes," attach a detailed description of the activities.</i>	2		No
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? <i>If "Yes," attach a conformed copy of the changes</i>	3		No
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?	4a		No
b If "Yes," has it filed a tax return on Form 990-T for this year?	4b		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? <i>If "Yes," attach the statement required by General Instruction T.</i>	5		No
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	6	Yes	
7 Did the foundation have at least \$5,000 in assets at any time during the year? <i>If "Yes," complete Part II, col. (c), and Part XV.</i>	7	Yes	
8a Enter the states to which the foundation reports or with which it is registered (see instructions): <input type="checkbox"/> PA _____			
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? <i>If "No," attach explanation.</i>	8b	Yes	
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)? <i>If "Yes," complete Part XIV</i>	9		No
10 Did any persons become substantial contributors during the tax year? <i>If "Yes," attach a schedule listing their names and addresses.</i>	10		No

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		No
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		No
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	Yes	
Website address N/A				
14	The books are in care of ROBERT L NAUSE Telephone no (717) 972-1305 Located at 4718 GETTYSBURG ROAD SUITE 405 MECHANICSBURG PA ZIP+4 17055			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 —Check here	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?	16	Yes	No
See 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
1a	During the year did the foundation (either directly or indirectly) (1) Engage in the sale or exchange, or leasing of property with a disqualified person? (2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? (3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? (4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? (5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? (6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days).			
b	If any answer is "Yes" to 1a(1)–(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see page 20 of the instructions)? Organizations relying on a current notice regarding disaster assistance check here.	1b		No
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2013?	1c		
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			
b	Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement—see instructions).	2b		
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?			
b	If "Yes," did it have excess business holdings in 2013 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969, (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2013.).	3b		
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a		No
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		No

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))?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
	(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
	(3) Provide a grant to an individual for travel, study, or other similar purposes?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> 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).	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> 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?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> 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)?	5b		
	Organizations relying on a current notice regarding disaster assistance check here.	<input type="checkbox"/>		
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?	<input type="checkbox"/> Yes	<input type="checkbox"/> 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?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
b	Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?	6b		No
	If "Yes" to 6b, file Form 8870.			
7a	At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
b	If yes, did the foundation receive any proceeds or have any net income attributable to the transaction?	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
ROCCO A ORTENZIO	TRUSTEE	0	0	0
7 WESTWIND DR LEMOYNE, PA 17043	5 00			
JOHN M ORTENZIO	TRUSTEE	0	0	0
510 ORCHARD DR LEMOYNE, PA 17043	5 00			
ROBERT A ORTENZIO	TRUSTEE	0	0	0
1716 OLMSTEAD WAY E CAMP HILL, PA 17011	5 00			
MARTIN J ORTENZIO	TRUSTEE	0	0	0
12314 CLEGHORN RD COCKEYSVILLE, MD 21030	5 00			
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.				

Part VIII

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

NONE

Total number of others receiving over \$50,000 for professional services. 1

Part IX-A

1

2

3

4

Part IX-B

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 page 24 of the 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	14,292,411
b	Average of monthly cash balances.	1b	343,412
c	Fair market value of all other assets (see instructions).	1c	0
d	Total (add lines 1a, b, and c).	1d	14,635,823
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation).	1e	
2	Acquisition indebtedness applicable to line 1 assets.	2	
3	Subtract line 2 from line 1d.	3	14,635,823
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	219,537
5	Net value of noncharitable-use assets. Subtract line 4 from line 3 Enter here and on Part V, line 4	5	14,416,286
6	Minimum investment return. Enter 5% of line 5.	6	720,814

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	720,814
2a	Tax on investment income for 2013 from Part VI, line 5.	2a	5,142
b	Income tax for 2013 (This does not include the tax from Part VI).	2b	
c	Add lines 2a and 2b.	2c	5,142
3	Distributable amount before adjustments Subtract line 2c from line 1.	3	715,672
4	Recoveries of amounts treated as qualifying distributions.	4	
5	Add lines 3 and 4.	5	715,672
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	715,672

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	2,165,705
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	2,165,705
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	5,142
6	Adjusted qualifying distributions. Subtract line 5 from line 4.	6	2,160,563
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			
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.			
b		From 2009.			
c		From 2010. 10,291			
d		From 2011. 670,678			
e		From 2012. 757,782			
f		Total of lines 3a through e. 1,438,751			
4		Qualifying distributions for 2013 from Part XII, line 4 \$ 2,165,705			
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. 715,672			
e		Remaining amount distributed out of corpus 1,450,033			
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 2,888,784			
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).			
9		Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a. 2,888,784			
10		Analysis of line 9			
a		Excess from 2009.			
b		Excess from 2010. 10,291			
c		Excess from 2011. 670,678			
d		Excess from 2012. 757,782			
e		Excess from 2013. 1,450,033			

Part XIVPrivate 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 organization is a private operating foundation described in section 4942(j)(3) or 4942(j)(5)

☐ 4942(j)(3) or ☐ 4942(j)(5)

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

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

1

Information Regarding Foundation Managers:

a

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

See Additional Data Table

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

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

ROBERT A ORTENZIO
4718 GETTYSBURG RD - SUITE 405
MECHANICSBURG, PA 17055
(717) 972-1305

b

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

A LETTER STATING REQUEST FOR FUNDS AND EXPLANATION OF NEED

c

Any submission deadlines

APPLICATIONS ARE ACCEPTED AT ANY TIME

d

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

GRANTS ARE PRIMARILY RESTRICTED TO ROMAN CATHOLIC EDUCATIONAL INSTITUTIONS, TO PROVIDE SCHOLARSHIPS OR OTHER ASSISTANCE TO QUALIFIED STUDENTS WITH FINANCIAL NEED, WITH FIRST PREFERENCE BEING GIVEN TO STUDENTS WHO ARE MEMBERS OF ST ANN'S ROMAN CATHOLIC CHURCH, STEELTON, PENNSYLVANIA

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 Additional Data Table				
Total			3a	2,162,290
b Approved for future payment See Additional Data Table				
Total			3b	6,320,000

Enter gross amounts unless otherwise indicated

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

Form **990-PF** (2013)

Part XVII

Information Regarding Transfers To and Transactions and Relationships With Noncharitable Exempt Organizations

1

Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?

a

Transfers from the reporting foundation to a noncharitable exempt organization of

1

Cash.

1a(1)

No

2

Other assets.

1a(2)

No

b

Other transactions

1

Sales of assets to a noncharitable exempt organization.

1b(1)

No

2

Purchases of assets from a noncharitable exempt organization.

1b(2)

No

3

Rental of facilities, equipment, or other assets.

1b(3)

No

4

Reimbursement arrangements.

1b(4)

No

5

Loans or loan guarantees.

1b(5)

No

6

Performance of services or membership or fundraising solicitations.

1b(6)

No

c

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

1c

No

d

If the answer to any of the above is "Yes," complete the following schedule. Column (b) should always show the fair market value of the goods, other assets, or services given by the reporting foundation. If the foundation received less than fair market value in any transaction or sharing arrangement, show in column (d) the value of the goods, other assets, or services received.

(a) Line No	(b) Amount involved	(c) Name of noncharitable exempt organization	(d) Description of transfers, transactions, and sharing arrangements

2a

Is the foundation directly or indirectly affiliated with, or related to, one or more tax-exempt organizations described in section 501(c) of the Code (other than section 501(c)(3)) or in section 527?

Yes

No

b

If "Yes," complete the following schedule

(a) Name of organization	(b) Type of organization	(c) Description of relationship

Sign Here

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than taxpayer or fiduciary) is based on all information of which preparer has any knowledge.

Signature of officer or trustee

2014-05-13

Date

Title

May the IRS discuss this return with the preparer shown below (see instr.)?

Yes

No

Paid Preparer Use Only

Print/Type preparer's name RICHARD A BLUIS CPA	Preparer's Signature	Date 2014-05-14	Check if self-employed	PTIN P00486887
Firm's name	MARTIN M SACKS & ASSOCIATES			Firm's EIN
Firm's address	4775 LINGLESTOWN RD STE 100 HARRISBURG, PA 17112			Phone no (717) 657-1300

Form 990-PF (2013)

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

(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)
NET GAIN FROM PASS THRU ENTITIES	P	2013-01-01	2013-12-31
NET GAIN FROM PASS THRU ENTITIES	P	2012-12-01	2013-12-31
SEE ATTACHED JP MORGAN STMT 06186	P	2013-01-08	2013-12-12
SEE ATTACHED JP MORGAN STMT 06186	P	2013-02-11	2013-11-29
SEE ATTACHED JP MORGAN STMT 06186	P	2012-06-11	2013-07-02
SEE ATTACHED JP MORGAN STMT 06186	P	2009-03-11	2013-12-17
SEE ATTACHED JP MORGAN STMT 93126	P	2013-01-01	2013-12-31
SEE ATTACHED JP MORGAN STMT 93126	P	2012-02-16	2013-12-03
SEE ATTACHED JP MORGAN STMT 93126	P	2010-02-17	2013-09-24

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

(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)
62			62
1,619			1,619
1,811,001		1,796,477	14,524
1,569,677		1,563,833	5,844
1,344		1,121	223
2,268,596		2,294,760	-26,164
2,925,635		2,993,685	-68,050
399,128		397,378	1,750
692,098		733,979	-41,881

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			62
			1,619
			14,524
			5,844
			223
			-26,164
			-68,050
			1,750
			-41,881

Form 990PF Part XV Line 1a - 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).

ROCCO A ORTENZIO
ROBERT A ORTENZIO
MARTIN J ORTENZIO
JOHN M ORTENZIO

Form 990PF Part XV Line 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				
UNIVERSITY OF NOTRE DAME 405 MAIN BUILDING NOTRE DAME,IN 46556	N/A	PUBLIC	CONSTRUCT EDUCATIONAL FACILITY	200,000
BISHOP MCDEVITT HS 1 CRUSADER WAY HARRISBURG,PA 17111	N/A	PUBLIC	CONSTRUCT EDUCATIONAL FACILITY	800,000
THE PENNSYLVANIA ST UNIV CHILDREN'S HOSPITAL ONE OLD MAIN UNIVERSITY PARK,PA 16802	N/A	PUBLIC	CONSTRUCT BUILDING	500,000
DIOCESE OF HARRISBURG LENTEN APPEAL 4800 UNION DEPOSIT ROAD HARRISBURG,PA 17111	N/A	PUBLIC	ORGANIZATIONS EXEMPT PURPOSE	1,000
THE CATHEDRAL PARISH OF ST PATRICK 212 STATE STREET HARRISBURG,PA 17101	N/A	PUBLIC	ORGANIZATIONS EXEMPT PURPOSE	15,000
SUSQUEHANNA UNIVERSITY 514 UNIVERSITY AVENUE SELINSGROVE,PA 17870	N/A	PUBLIC	EDUCATIONAL ENDOWMENT FUND	200,000
HARRISBURG UNIVERSITY OF SCIENCE AND TECHNOLOGY 304 MARKET ST HARRISBURG,PA 17101	N/A	PUBLIC	CONSTRUCT EDUCATIONAL FACILITY	189,290
HOLY SPIRIT HOSPITAL AUXILLARY 503 N 21ST STREET CAMP HILL,PA 17011	N/A	PUBLIC	ORGANIZATIONS EXEMPT PURPOSE	15,000
PINNACLE HEALTH PO BOX 8700 HARRISBURG,PA 171058700	N/A	PUBLIC	CONSTRUCT BUILDING	200,000
HOLY SPIRIT HEALTH SYSTEM 503 N 21ST STREET CAMP HILL,PA 17011	N/A	PUBLIC	ORGANIZATIONS EXEMPT PURPOSE	2,000
UNIVERSITY OF NOTRE DAME 400 MAIN BUILDING NOTRE DAME,IN 46556	N/A	PUBLIC	ORGANIZATIONS EXEMPT PURPOSE	25,000
JEFFERSON FOUNDATION THOMAS JEFFERSON UNIVERSITY & HOSPITALS 925 CHESTNUT ST STE 100 PHILADELPHIA,PA 191074216	N/A	PUBLIC	ORGANIZATIONS EXEMPT PURPOSE	5,000
NATIONAL COUNCIL OF CATHOLIC WOMEN 200 N GLEBE RD STE 725 ARLINGTON,VA 22203	N/A	PUBLIC	ORGANIZATIONS EXEMPT PURPOSE	10,000
Total  3a				2,162,290

<div>Schedule B</div> <div>(Form 990, 990-EZ, or 990-PF)</div> <div>Department of the Treasury Internal Revenue Service</div>	<div>Schedule of Contributors</div> <div>▶ Attach to Form 990, 990-EZ, or 990-PF.</div> <div>▶ Information about Schedule B (Form 990, 990-EZ, or 990-PF) and its instructions is at www.irs.gov/form990.</div>	<div>OMB No 1545-0047</div> <div>2013</div>
	<div>Name of the organization</div> <div>THE ROCCO AND NANCY ORTENZIO FOUNDATION</div>	<div>Employer identification number</div> <div>23-6805409</div>

Organization type (check one)

Filers of:	Section:
Form 990 or 990-EZ	<div><input type="checkbox"/> 501(c)() (enter number) organization</div> <div><input type="checkbox"/> 4947(a)(1) nonexempt charitable trust not treated as a private foundation</div> <div><input type="checkbox"/> 527 political organization</div>
Form 990-PF	<div><input checked="" type="checkbox"/> 501(c)(3) exempt private foundation</div> <div><input type="checkbox"/> 4947(a)(1) nonexempt charitable trust treated as a private foundation</div> <div><input type="checkbox"/> 501(c)(3) taxable private foundation</div>

Check if your organization is covered by the **General Rule** or a **Special Rule**.
Note. Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule. See instructions.

General Rule

☒ For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, \$5,000 or more (in money or property) from any one contributor. Complete Parts I and II.

Special Rules

- ☐ For a section 501(c)(3) organization filing Form 990 or 990-EZ that met the 33¹/₃% 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 for 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 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 990PF, Part I, line 2, to certify that it does not meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF).

Name of organization THE ROCCO AND NANCY ORTENZIO FOUNDATION	Employer identification number 23-6805409
---	---

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
<u>1</u>	ROCCO A ORTENZIO 7 WESTWIND DRIVE LEMOYNE, PA 17043	\$ 1,997,399	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input checked="" type="checkbox"/> (Complete Part II for noncash contributions)
<u>2</u>	ROCCO A ORTENZIO 7 WESTWIND DRIVE LEMOYNE, PA 17043	\$ 2,601	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
<u> </u>		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
<u> </u>		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
<u> </u>		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
<u> </u>		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
<u> </u>		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)

Part II **Noncash Property** (see instructions) Use duplicate copies of Part II if additional space is needed

Schedule B (Form 990, 990-EZ, or 990-PF) (2013)

Name of organization THE ROCCO AND NANCY ORTENZIO FOUNDATION	Employer identification number 23-6805409
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Part III

Exclusively religious, charitable, etc., individual contributions to section 501(c)(7), (8), or (10) organizations that total more than \$1,000 for the year. Complete columns (a) through (e) and the following line entry

For organizations completing Part III, enter the total of *exclusively* religious, charitable, etc , contributions of **\$1,000 or less** for the year (Enter this information once See instructions) ▶ \$

Use duplicate copies of Part III if additional space is needed

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

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

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

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

TY 2013 Accounting Fees Schedule

Name: THE ROCCO AND NANCY ORTENZIO
FOUNDATION

EIN: 23-6805409

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
MARTIN M SACKS & ASSOCIATES, CP				
PREPARATION OF FROM 990-PF	5,100	1,662		3,400

TY 2013 Compensation Explanation

Name: THE ROCCO AND NANCY ORTENZIO
FOUNDATION

EIN: 23-6805409

Person Name	Explanation
ROCCO A ORTENZIO	
JOHN M ORTENZIO	
ROBERT A ORTENZIO	
MARTIN J ORTENZIO	

TY 2013 Investments Corporate
Bonds Schedule

Name: THE ROCCO AND NANCY ORTENZIO
FOUNDATION
EIN: 23-6805409

Name of Bond	End of Year Book Value	End of Year Fair Market Value
AMERICAN EXPRESS		
ANNALY CAPITAL		
APOLLO INVESTMENT	255,288	259,700
BANK OF AMERICA		
JP MORGAN BANK		
BUNGE LTD		
COMMUNITY HEALTH		
CITIGROUP INC		
CREDIT SUISSE		
DEUTSCHE BANK		
EXELON CORP		
FORD MOTOR CREDIT		
FORD MOTOR CREDIT		
FORD MOTOR CREDIT		
GENERAL ELECTRIC	99,750	108,156
GOLDMAN SACHS	352,460	358,699
GOLDMAN SACHS		
HCA INC	156,848	158,594
HCA INC		
HCA INC		
HEALTH MANAGEMENT		
LENNAR CORP	90,700	90,000
MORGAN STANLEY	99,880	103,583
MORGAN STANLEY		
PPL ENERGY SUPPLY		
PPL ENERGY SUPPLY		
PENN NATIONAL GAMING		
ROYAL CARIBBEAN		
SELECT MEDICAL CORP		
SELECT MEDICAL CORP		
TRANSOCEAN INC		
WELLS FARGO & CO		
M&T BANK CORP		
BARCLAYS CAPITAL	856	892
OPPENHEIMER SR FLOATING	493,450	499,618
OSTERWEIS STRATEGIC	412,509	420,887
PIMCO ALL ASSET	109,787	100,467
PUTNAM DIVERSIFIED	250,290	251,151
PIMCO INCOME FUND		
WELLS FARGO ADVANTAGE	109,109	110,403
VANGUARD SHORT TERM	6,915	6,940
SPDR BARCLAY'S SHORT TERM HIGH YIELD	296,731	299,245
JPM STRAT INCOME OPPORT FD - SEL	400,000	400,338
JPM FLOAT RATE INCOME FD - SEL	500,000	498,519
DOUBLELINE INCOME SOLUTION	140,399	140,143
MASCO CORP	152,600	152,244
HEALTHSOUTH CORP	198,872	196,880
UNITED SURGICAL PARTNERS	367,438	361,969
DOUBLELINE FDS TR	500,000	500,295
FIDELITY FLOATING RATE	300,000	300,302

TY 2013 Investments Corporate
Stock Schedule

Name: THE ROCCO AND NANCY ORTENZIO
FOUNDATION
EIN: 23-6805409

Name of Stock	End of Year Book Value	End of Year Fair Market Value
DOW DIAMONDS		
ISHARES US PREFERRED		
T ROWE PRICE	270,936	333,810
S&P 500 SPIDERS		
VANGUARD DIVIDEND	342,260	377,554
VANGUARD GROWTH	1,385	1,954
VANGUARD LARGE CAP	4,890	5,766
FPA CRESCENT FUND	83,323	106,805
GREENSPRING FUND	293,992	302,215
IVA WORLDWIDE	86,206	99,354
S&P 400 MID-CAP		
POWERSHARES LIST		
SELECT MEDICAL CORP	528,591	6,178,285
VANGUARD SMALL CAP	646	990
VANGUARD REIT	2,646	2,905
STREETTRACKS GOLD		
PIMCO COMMODITY		
THORNBURG INVEST	184,638	197,800
APPLE INC	585,652	746,157
GENERAL ELECTRIC	224,211	370,557
MICROSOFT	568,691	879,397
SPDR DOW JONES INDUSTRIAL AVERAGE	2,305	3,309
SPDR S&P 500 ETF TRUST	2,962	4,802
MIDCAP SPDR TRUST SERIES 1	1,252	2,686
VANGUARD FTSE PACIFIC ETF	2,051	2,207
SPDR GOLD TRUST	532	697

TY 2013 Investments Government Obligations Schedule

Name: THE ROCCO AND NANCY ORTENZIO
FOUNDATION

EIN: 23-6805409

**US Government Securities - End of
Year Book Value:** 797,231

**US Government Securities - End of
Year Fair Market Value:** 787,891

**State & Local Government
Securities - End of Year Book
Value:**

**State & Local Government
Securities - End of Year Fair
Market Value:**

TY 2013 Investments - Other Schedule

Name: THE ROCCO AND NANCY ORTENZIO
FOUNDATION

EIN: 23-6805409

Category / Item	Listed at Cost or FMV	Book Value	End of Year Fair Market Value
LIMITED PARTNERSHIP INTERESTS IN			
INVESTMENT PARTNERSHIPS:			
SELECT STRATEGY PARTNERS, L.P.	FMV	64,148	48,411

TY 2013 Other Assets Schedule

Name: THE ROCCO AND NANCY ORTENZIO
FOUNDATION
EIN: 23-6805409

Description	Beginning of Year - Book Value	End of Year - Book Value	End of Year - Fair Market Value
INCOME IN TRANSIT	866		

TY 2013 Other Decreases Schedule

Name: THE ROCCO AND NANCY ORTENZIO
FOUNDATION
EIN: 23-6805409

Description	Amount
ADJUST FMV OF NON-CASH CONTRIBUTION TO COST BASIS	618,844

TY 2013 Other Expenses Schedule

Name: THE ROCCO AND NANCY ORTENZIO
FOUNDATION

EIN: 23-6805409

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
EXPENSES				
ASSET MGMT AND CUSTODY FEES	43,943	42,966		
MISCELLANEOUS	211			15
DEDUCTIONS FROM INVESTMENT				
PASS-THRU ENTITIES	3,142	3,072		

TY 2013 Taxes Schedule

Name: THE ROCCO AND NANCY ORTENZIO
FOUNDATION

EIN: 23-6805409

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
EXCISE TAX ON NET INVESTMENT INC	18,549			
FOREIGN TAX WITHHELD ON DIVIDEND	838	819		



* Code - W indicates Wash Sale

L indicates a Nondeductible Loss other than a Wash Sale

** Ordinary Income: O indicates Ordinary Income gain or loss

F indicates Foreign Exchange gain or loss on Capital transactions
Stock and
other symbol

Capital Gain and Loss Schedule

THE ROCCO & NANCY ORTENZIO FDN

Account Number Q 06186-00-3

Short-Term Covered

Description	Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
ALPS ETF TR	00162Q866		01/08/13	15,100 000	262,087 64	242,657 00		19,430.64
ALERIAN MLP			06/04/13					
ISHARES S&P PREF STK INDEX FUND	PFF		09/07/12	1,200 000	47,510.29	47,790 00		-279.71
	464288687		06/05/13					
ISHARES S&P PREF STK INDEX FUND	PFF		Various	4,980.000	197,782.23	197,452.80		329.43
	464288687		06/06/13					
JPM INCOME BUILDER FD - SEL FUND 3040	JNBS		01/18/13	19,920.319	196,812.75	200,000.00		-3,187.25
	4812A3254		08/22/13					
PROSHARES ULTRASHORT S&P500 NEW	SDS		10/16/13	970.000	33,537 16	33,924 78		-387.62
	74347B300		10/17/13					
PROSHARES ULTRASHORT S&P500 NEW	SDS		10/16/13	750 000	24,918.31	26,230 50		-1,312 19
	74347B300		10/25/13					
PROSHARES ULTRASHORT S&P500 NEW	SDS		10/16/13	965 000	31,694 87	33,749 91		-2,055 04
	74347B300		11/04/13					
PROSHARES ULTRASHORT S&P500 NEW	SDS		Various	750 000	24,505.82	25,702 78		-1,196 96
	74347B300		11/06/13					
PROSHARES ULTRASHORT S&P500 NEW	SDS		10/21/13	1,500 000	48,636.65	50,981.40		-2,344.75
	74347B300		11/13/13					
PROSHARES ULTRASHORT S&P500 NEW	SDS		Various	2,465.000	73,403.22	81,594.38		-8,191.16
	74347B300		12/31/13					
PROSHARES ULTRASHORT LEHMAN 7-10 YEAR TREASURY	PST		09/05/13	3,000.000	89,648.03	94,354.50		-4,706.47
	74347R313		09/18/13					
PROSHARES TR	TBF		05/31/13	750 000	23,980.83	22,894.05		1,086 78
SHRT 20+YR TRE	74347X849		08/08/13					



* Code W indicates Wash Sale

L indicates a Nondeductible Loss other than a Wash Sale

** Ordinary Income: O indicates Ordinary Income gain or loss

F indicates Foreign Exchange gain or loss on Capital transactions
Stock and
other symbol
Cusip

Capital Gain and Loss Schedule

THE ROCCO & NANCY ORTENZIO FDN

Account Number: Q 06186-00-3

Short-Term Covered

Description	Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
PROSHARES TR	TBF		Various	3,750.000	123,814.97	123,598.65		216.32
SHRT 20+YR TRE	74347X849		08/23/13					
SPDR S&P 500 ETF TRUST	SPY		07/11/13	750.000	124,631.56	125,381.25		-749.69
	78462F103		08/15/13					
SPDR S&P 500 ETF TRUST	SPY		07/10/13	750.000	124,479.08	124,202.93		276.15
	78462F103		10/08/13					
SPDR S&P 500 ETF TRUST	SPY		10/10/13	1,000.000	174,321.96	167,628.50		6,693.46
	78462F103		10/21/13					
SPDR S&P 500 ETF TRUST	SPY		10/09/13	1,150.000	200,338.01	190,069.35		10,268.66
	78462F103		10/21/13					
SPDR S&P 500 ETF TRUST	SPY		10/09/13	50.000	8,897.60	8,263.89		633.71
	78462F103		12/12/13					
Total Short-Term Covered					1,811,000.98	1,796,476.67		14,524.31

Capital Gain and Loss Schedule

THE ROCCO & NANCY ORTENZIO FDN
Account Number: Q 06186-00-3

Short-Term Non Covered

* Code: W indicates Wash Sale

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** Ordinary Income. O indicates Ordinary Income gain or loss

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Stock and
other symbol

Description	Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
ANALLY CAPITAL MGMT CV 5% MAY 15 2015 DTD 05/08/2012	035710AB8		Various 05/23/13	165,000.000	169,455.00	167,405.00		2,050.00
ANALLY CAPITAL MGMT CV 5% MAY 15 2015 DTD 05/08/2012	035710AB8		06/26/13 11/27/13	100,000.000	101,125.00	101,625.00		-500.00
BANK OF AMERICA CORP 5 3/4% AUG 15 2016 DTD 8/14/2006	060505CL6		06/26/13 09/11/13	52,000.000	56,662.84	56,524.00		138.84
CHS/COMMUNITY HEALTH SYS 8% NOV 15 2019 DTD 05/15/2012	12543DAL4		06/21/13 10/23/13	100,000.000	108,762.50	108,500.00		262.50
CITIGROUP INC SUB NOTES 5 1/2% FEB 15 2017 DTD 2/12/2007	172967DY4		06/27/13 09/11/13	80,000.000	86,728.80	87,600.00		-871.20
EXELON GENERATION CO LLC SR NOTES 6.2% OCT 01 2017 DTD 09/28/2007	30161MAE3		06/19/13 09/05/13	100,000.000	112,840.00	116,400.00		-3,560.00
FORD MOTOR CREDIT CO LLC 8% DEC 15 2016 DTD 12/18/2006	345397VC4		06/26/13 10/18/13	50,000.000	59,457.50	58,541.50		916.00
GOLDMAN SACHS GROUP INC 6 1/4% SEP 01 2017 DTD 08/30/2007	38144LAB6		06/26/13 10/18/13	100,000.000	115,065.00	113,230.00		1,835.00
HCA INC 8% OCT 01 2018 DTD 10/03/2011	404119BL2		02/11/13 10/29/13	90,000.000	106,200.00	105,660.00		540.00



Capital Gain and Loss Schedule

THE ROCCO & NANCY ORTENZIO FDN
Account Number: Q 06186-00-3

Short-Term Non Covered

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Stock and other symbol Cusip

Description	Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
HEALTH MANAGEMENT ASSOC 7 375% JAN 15 2020 DTD 07/15/2012	421933AL6		06/19/13 09/05/13	100,000.000	111,750.00	112,000.00		-250.00
HEALTHSOUTH CORP 7 1/4% OCT 01 2018 DTD 10/07/2010	421924BH3		Various 11/29/13	21,000.000	21,630.00	22,697.29		-1,067.29
LENNAR CORP 12 1/4% JUN 01 2017 DTD 04/30/2009	526057BA1		06/19/13 09/19/13	100,000.000	127,650.00	132,150.00		-4,500.00
SELECT MEDICAL CORP FLOATING RATE NOTES SEP 15 2015 DTD 3/15/2006	81619QAF2		Various 03/22/13	250,000.000	250,000.00	237,500.00		9,437.10 3,062.90 O
TOLL BROS FINANCE CORP 8.910% 10/15/2017 DTD 04/20/2009	88947EAH3		06/26/13 09/09/13	120,000.000	142,350.00	144,000.00		-1,650.00
Total Short-Term Non Covered					1,569,676.64	1,563,832.79		2,780.95 3,062.90 O

584385



Capital Gain and Loss Schedule

THE ROCCO & NANCY ORTENZIO FDN
Account Number: Q 06186-00-3

Long-Term Covered

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** Ordinary Income O indicates Ordinary Income gain or loss

F indicates Foreign Exchange gain or loss on Capital transactions

Stock and
other symbol

Cusip

Date Acquired
Date Sold

Code*

Units

Sales
Price

Cost or
Other Basis

Adjustments to
gain or loss

Gain or Loss
Ordinary Income**

Description

VANGUARD GROWTH VIPERS

VUG

922908736

06/11/12

17 000

1,344.24

1,120.72

223.52

Total Long-Term Covered

1,344.24

1,120.72

223.52



Capital Gain and Loss Schedule

THE ROCCO & NANCY ORTENZIO FDN
Account Number: Q 06186-00-3

Long-Term Non Covered

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Stock and
other symbol

Description	Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
AMER EXPRESS CREDIT CO			05/08/09	100,000.000	100,950.00	97,825.00		1,058.07
MEDIUM TERM NOTES 5 7/8% MAY 02 2013	0258M0CW7		02/15/13					2,066.93 O
DTD 06/02/2008								
BANK OF AMERICA CORP			03/15/12	100,000.000	106,577.00	108,950.00		-2,373.00
MEDIUM TERM NOTE 7 3/8% MAY 15 2014	06051GDY2		05/02/13					
DTD 05/13/2009								
BANK ONE CORP			01/03/12	60,000.000	60,000.00	62,259.00		-2,259.00
SUB NOTES 5 1/4% JAN 30 2013	06423AAS2		01/30/13					
DTD 10/24/2002								
BUNGE LIMITED FINANCE CO			10/05/11	50,000.000	50,500.50	52,616.50		-2,116.00
5 7/8% MAY 15 2013	120568AH3		02/20/13					
DTD 05/19/2003								
CHS/COMMUNITY HEALTH SYS			Various	150,000.000	163,143.75	160,975.00		2,168.75
8% NOV 15 2019	12543DAL4		10/23/13					
DTD 05/15/2012								
CITIGROUP INC			06/10/10	75,000.000	77,388.00	76,575.00		813.00
NOTES 6% DEC 13 2013	172967FE6		05/02/13					
DTD 06/15/2010								
CREDIT SUISSE NEW YORK			10/05/11	75,000.000	75,795.00	77,784.75		-1,989.75
MEDIUM TERM NOTE 5%	2254C0TC1		02/15/13					
MAY 15 2013 DTD 05/06/2008								
DEUTSCHE BANK AG LONDON			01/04/12	65,000.000	65,689.00	66,670.50		-981.50
NOTES 4 7/8% MAY 20 2013	2515A0NY5		02/15/13					
DTD 05/20/2008								
EXELON CORP			01/30/12	80,000.000	84,916.80	87,800.00		-2,883.20
NOTES 4.9% JUN 15 2015	30161NAD3		09/19/13					
DTD 6/9/2005								

Capital Gain and Loss Schedule

THE ROCCO & NANCY ORTENZIO FDN
Account Number: Q 06186-00-3

Long-Term Non Covered

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Stock and
other symbol

Description	Cusip	Code*	Date Acquired	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
FORD MOTOR CREDIT CO LLC 8.7% OCT 01 2014 DTD 09/23/2009	345397VL4		03/15/12 08/09/13	50,000.000	54,054.50	57,000.00		-2,945.50
FORD MOTOR CREDIT CO LLC SR NOTES 7% APR 15 2015 DTD 04/09/2010	345397VN0		05/10/12 09/12/13	48,000.000	52,072.80	53,760.00		-1,687.20
FORD MOTOR CREDIT CO LLC 5 5/8% SEP 15 2015 DTD 09/21/2010	345397VQ3		06/10/11 12/09/13	125,000.000	134,747.50	131,812.50		2,935.00
GOLDMAN SACHS GROUP INC NOTES 5 1/4% APR 1 2013 DTD 3/31/2003	38141GDB7		01/13/12 02/20/13	100,000.000	100,410.00	103,047.00		-2,637.00
GOLDMAN SACHS GROUP INC NOTES 5 1/8% JAN 15 2015 DTD 1/12/2005	38141GEA8		08/16/11 09/12/13	90,000.000	94,505.40	94,725.00		-219.60
HCA INC NOTES 6 3/4% JUL 15 2013 DTD 7/28/2003	404119AH2		06/23/11 02/11/13	100,000.000	102,000.00	105,000.00		-3,000.00
HCA INC SR NOTES 5 3/4% MAR 15 2014 DTD 3/8/2004	404119AL3		03/15/12 09/12/13	100,000.000	101,750.00	104,500.00		-2,750.00
HEALTH MANAGEMENT ASSOCIATION 6 1/8% APR 15 2016 DTD 04/21/2006	421933AH5		07/10/12 10/23/13	80,000.000	87,900.00	85,864.00		2,036.00
MIDCAP SPDR TRUST SERIES 1	MDY 78467Y107		Various 07/02/13	12.000	2,566.45	1,756.83		809.62

THE ROCCO & NANCY ORTENZIO FDN
Account Number: Q 06186-00-3

Capital Gain and Loss Schedule

Long-Term Non Covered

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Description	Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
MORGAN STANLEY	61747YDD4		09/13/12	100,000.000	105,789 00	102,250.00		3,539.00
3.8% APR 29 2016			12/11/13					
DTD 04/29/2011								
PENN NATIONAL GAMING INC	707569AN9		Various	160 000.000	176,155 20	180,537.50		-4,382.30
8 3/4% AUG 15 2019			11/29/13					
DTD 2/15/2010								
POWERSHARES ETF TRUST	PSP		06/13/11	45.000	494 31	501.53		-7.22
PRVT EQTY PORTFOLIO	73935X195		07/02/13					
PPL ENERGY SUPPLY LLC			02/07/12	80.000.000	84,640.00	88,736.80		-4,096.80
5.7% OCT 15 2015	69352JAG2		09/11/13					
DTD 10/26/2005								
PPL ENERGY SUPPLY LLC			01/11/12	55 000 000	55,440.00	58,905.00		-3,465.00
6 3% JUL 15 2013	69352JAM9		05/15/13					
DTD 7/20/2008								
ROYAL CARIBBEAN CRUISES			07/19/11	95 000 000	97,493 75	102,505 00		-5,011 25
SR NOTES 6 7/8% DEC 1 2013	780153AP7		05/14/13					
DTD 11/21/2003								
SELECT MEDICAL CORPORATION			Various	74 000.000	74,000 00	68,706 15		2,842.65
7 5/8% FEB 1 2015	816196AJ8		03/22/13					2,451.20 O
DTD 2/24/2005								
SPDR GOLD TRUST	GLD		03/11/09	13.000	1,573.16	1,153.36		419 80
	78463V107		07/02/13					
SPDR GOLD TRUST			00/00/00	19 000	1.00	.00		1 00
COST BASIS ALLOC RATE 0 000329643	78463V107		01/07/13					
SPDR GOLD TRUST			00/00/00	19 000	1.03	00		1.03
COST BASIS ALLOC RATE 0.000355489	78463V107		02/21/13					



Capital Gain and Loss Schedule

THE ROCCO & NANCY ORTENZIO FDN
Account Number: Q 06186-00-3

Long-Term Non Covered

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Description	Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**	
SPDR GOLD TRUST			00/00/00	19.000	1 00	.00		1 00	
COST BASIS ALLOC. RATE 0.000341809	78463V107		03/12/13						
SPDR GOLD TRUST			00/00/00	19.000	1.03	.00		1 03	
COST BASIS ALLOC. RATE 0 000353866	78463V107		04/09/13						
SPDR GOLD TRUST			00/00/00	19 000	1.06	.00		1.06	
COST BASIS ALLOC RATE 0.000403935	78463V107		05/10/13						
SPDR GOLD TRUST			00/00/00	19.000	93	00		.93	
COST BASIS ALLOC. RATE 0.000364055	78463V107		06/17/13						
SPDR GOLD TRUST			00/00/00	6.000	29	.00		29	
COST BASIS ALLOC. RATE 0.000395335	78463V107		07/10/13						
SPDR GOLD TRUST			00/00/00	6.000	.27	.00		27	
COST BASIS ALLOC. RATE 0 000343817	78463V107		08/15/13						
SPDR GOLD TRUST			00/00/00	6 000	.28	.00		.28	
COST BASIS ALLOC. RATE 0.000355207	78463V107		09/19/13						
SPDR GOLD TRUST			00/00/00	6.000	29	00		.29	
COST BASIS ALLOC. RATE 0.000388300	78463V107		10/14/13						
SPDR GOLD TRUST			00/00/00	6.000	26	.00		26	
COST BASIS ALLOC. RATE 0 000351151	78463V107		11/13/13						
SPDR GOLD TRUST			00/00/00	6.000	.25	.00		25	
COST BASIS ALLOC RATE 0 000348786	78463V107		12/17/13						
TRANSOCEAN INC			10/05/11	50,000 000	50,175 00	51,929 00		-1,754 00	
5 1/4% MAR 15 2013	893830AR0		01/30/13						
DTD 12/11/2007									
WELLS FARGO COMPANY			03/15/12	55,000.000	57,610.85	59,290.00		-1,679.15	
NOTES 5% NOV 15 2014	949746CR0		09/12/13						
DTD 11/6/2002									



THE ROCCO & NANCY ORTENZIO FDN
Account Number Q 06186-00-3

Capital Gain and Loss Schedule

Long-Term Non Covered

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Stock and other symbol

Description	Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
WILMINGTON TRUST CORP	971807AC6		10/05/11 02/15/13	50,000.000	50,250.50	51,325.00		-1,074.50
4 7/8% APR 15 2013								
DTD 04/04/2003								

Total Long-Term Non Covered

2,268,596.16 2,294,760.42

-30,682.39
4,518.13 O

26,164.26



Non-Reportable Supplemental Information
Non-Qualified Stated Interest

THE ROCCO & NANCY ORTENZIO FDN
Account Number Q 06186-00-3

Security Description	Security Number	Amount	Accrued NQSI
MORGAN STANLEY MTN 4 1/2% AUG 30 2015 DTD 08/30/2011 NQSI FOR ALL HOLDERS AT YEAR END	61745E-F3-0	3,000 00	2,825.60
Total Interest - Non-Qualified Stated Interest		3,000.00	2,825.60



THE ROCCO & NANCY ORTENZIO FDN
Account Number: Q 93126-00-3

Capital Gain and Loss Schedule

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Stock and other symbol Cusip

Description	Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
DODGE & COX INCOME FUND	DODI 256210105		01/08/13 06/20/13	7,352.941	100,000.00	101,911.76		-1,911.76
DODGE & COX INCOME FUND	DODI 256210105		01/08/13 08/19/13	8,880.825	119,091.86	123,088.24		-3,996.38
DOUBLELINE FDS TR TTL RTN BD N	DLTN 258620202		12/31/12 08/19/13	6,619.594	71,888.79	75,000.00		-3,111.21
METROPOLITAN WEST FDS TOTAL RET BD	MWTR 592905103		01/08/13 06/24/13	9,496.676	100,000.00	103,323.84		-3,323.84
METROPOLITAN WEST FDS TOTAL RET BD	MWTR 592905103		01/08/13 08/19/13	9,551.098	100,000.00	103,915.94		-3,915.94
METROPOLITAN WEST FDS TOTAL RET BD	MWTR 592905103		01/08/13 09/24/13	3,930.167	41,699.07	42,760.22		-1,061.15
NUVEEN HIGH YLD MUNI BND-I	NHMR 67065Q772		Various 06/24/13	9,856.818	153,963.50	170,000.00		-16,036.50
OPPENHEIMER SR FLOATING RATE CL A	OOSA 68381K101		Various 06/24/13	27,264.902	227,934.57	227,192.82		741.75
PIMCO ALL ASSET ALL AUTHORITY FUND	PAUD 72200Q190		Various 06/11/13	9,505.703	100,000.00	105,051.43		-5,051.43
PIMCO FDS INCOME FD CL D	POND 72201F458		Various 06/11/13	16,025.641	200,000.00	197,218.28		2,781.72
PIMCO FDS INCOME FD CL D	POND 72201F458		09/20/12 06/20/13	12,553.962	154,288.19	152,781.72		1,506.47
PIMCO TOTAL RETURN FUND SER D	PTTD 693391674		12/28/12 06/20/13	8,888.889	95,911.11	100,000.00		-4,088.89



Capital Gain and Loss Schedule

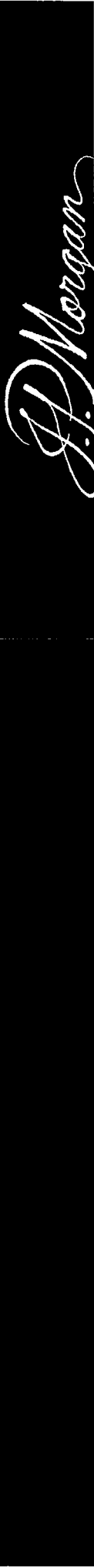
THE ROCCO & NANCY ORTENZIO FDN
Account Number: Q 93126-00-3

Short-Term Covered

* Code: W Indicates Wash Sale
L Indicates a Nondeductible Loss other than a Wash Sale
-- Ordinary Income O Indicates Ordinary Income gain or loss
F Indicates Foreign Exchange gain or loss on Capital transactions

Description
Stock and
other symbol
Cusip

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
PUTNAM DIVERSIFIED INCOME TRUST CL A	PDIN 746704105		05/29/13 07/02/13	325.641	2,540.00	2,592.10		-52.10
TCW GALILEO TOTAL RETURN BOND FUND CL I	TGLM 87234N880		02/21/13 06/06/13	19,550.342	200,000.00	200,613.84		-613.84
TCW GALILEO TOTAL RETURN BOND FUND CL I	TGLM 87234N880		Various 06/20/13	9,920.635	100,000.00	101,793.89		-1,793.89
TCW GALILEO TOTAL RETURN BOND FUND CL I	TGLM 87234N880		02/28/13 06/24/13	9,316.963	93,355.97	95,472.89		-2,116.92
THORNBURG INVT TR STRAT INC FD I	TSII 885215194		05/13/13 08/19/13	12,489.592	150,000.00	156,369.69		-6,369.69
THORNBURG INVT TR STRAT INC FD I	TSII 885215194		Various 08/22/13	11,766.446	141,079.69	147,211.48		-6,131.79
THORNBURG INV INCOME BUIL-I INV INCM BLD I	TIBI 885215467		Various 08/19/13	5,065.856	100,000.00	105,362.06		-5,362.06
VANGUARD FI SEC SHRT BD PORTFOLIO FUND 39	VFST 922031406		Various 02/25/13	6,918.819	75,000.00	75,210.32		-210.32
VANGUARD FI SEC SHRT BD PORTFOLIO FUND 39	VFST 922031406		12/19/12 05/15/13	18,501.388	200,000.00	201,110.09		-1,110.09
VANGUARD FI SEC SHRT BD PORTFOLIO FUND 39	VFST 922031406		12/19/12 07/11/13	4.686	50.00	50.94		-94
VANGUARD FI SEC SHRT BD PORTFOLIO FUND 39	VFST 922031406		12/19/12 08/19/13	9,380.863	100,000.00	101,969.98		-1,969.98
VANGUARD FI SEC SHRT BD PORTFOLIO FUND 39	VFST 922031406		Various 08/22/13	21,045.361	223,922.64	228,683.77		-4,761.13



THE ROCCO & NANCY ORTENZIO FDN
Account Number: Q 93126-00-3

Capital Gain and Loss Schedule

Short-Term Covered

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Description	Stock and other symbol	Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
WELLS FARGO ADVANTAGE SHORT TERM HIGH YIELD BOND FUND	STHB	949917629		12/28/12 12/03/13	9,036.145	74,909.64	75,000.00		-90.36
Total Short-Term Covered					2,925,635.03	2,993,685.30			-68,050.27



Capital Gain and Loss Schedule

THE ROCCO & NANCY ORTENZIO FDN
Account Number Q 93126-00-3

Long-Term Covered

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** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions
Stock and other symbol Cusip

Description	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
DOUBLELINE FDS TR	DLTN	02/16/12	4,706.373	51,111.21	52,617.25		-1,506.04
TTL RTN BD N	258620202	08/19/13					
OPPENHEIMER SR FLOATING RATE	OOSA	Various	8,620.265	72,065.43	71,031.21		1,034.22
CL A	68381K101	06/24/13					
PIMCO TOTAL RETURN FUND	PTTD	06/11/12	79.787	860.90	900.00		-39.10
SER D	693391674	06/20/13					
WELLS FARGO ADVANTAGE SHORT TERM	STHB	Various	33,183.397	275,090.36	272,829.48		2,260.88
HIGH YIELD BOND FUND	949917629	12/03/13					
Total Long-Term Covered				399,127.90	397,377.94		1,749.96

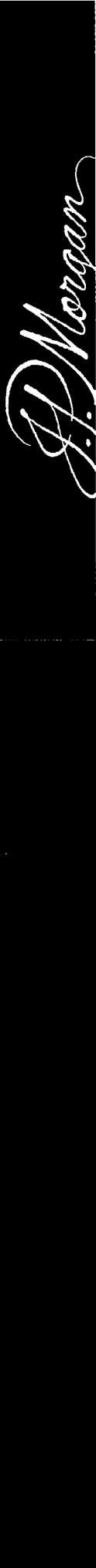
THE ROCCO & NANCY ORTENZIO FDN
Account Number Q 93126-00-3

Capital Gain and Loss Schedule

Long-Term Non Covered

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Description	Code*	Date Acquired	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
FPA CRESCENT FUND	FPAC	03/23/10	4.832	150 00	124.76		25 24
	30254T759	07/02/13					
FPA CRESCENT FUND	FPAC	03/23/10	1.574	50 00	40.64		9.36
	30254T759	07/11/13					
GREENSPRING FUND INC	GRSP	08/26/11	5.943	150 00	135.14		14 86
COM	395724107	07/02/13					
GREENSPRING FUND INC	GRSP	08/26/11	1.965	50 00	44.68		5 32
COM	395724107	07/11/13					
METROPOLITAN WEST FDS	MWTR	02/17/10	5,494.904	58,300 93	55,388.63		2,912.30
TOTAL RET BD	592905103	09/24/13					
NUVEEN HIGH YLD MUNI BND-I	NHMR	Various	2,947 279	46,036 50	43,701.37		2,335.13
	67065Q772	06/24/13					
NUVEEN HIGH YLD MUNI BND-I	NHMR	Various	12,998.369	202,904 54	192,140.48		10,764 06
	67065Q772	07/26/13					
PIMCO COMM REAL RETURN STR FD - D	PCRD	04/08/11	12,716.175	71,210 58	125,000.00		-53,789.42
	722005550	07/26/13					
PIMCO FDS PAC INVT MGMT SER	PSHD	Various	50.916	500.00	502.55		-2.55
SHORT TERM D	693391690	07/02/13					
PIMCO TOTAL RETURN FUND	PTTD	Various	4,933.085	53,227.99	54,288.84		-1,060.85
SER D	693391674	06/20/13					
PIMCO TOTAL RETURN FUND	PTTD	05/13/08	210.761	2,272.00	2,286.76		-14.76
SER D	693391674	07/02/13					



THE ROCCO & NANCY ORTENZIO FDN
Account Number: Q 93126-00-3

Capital Gain and Loss Schedule

Long-Term Non Covered

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Description
VANGUARD GNMA FUND

Description	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
VFII		06/23/11	23,687.435	257,245.54	260,324.91		-3,079.37
922031307		02/28/13					

Total Long-Term Non Covered

692,098.08 733,978.76 -41,880.68