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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 separate instructions is at www.irs.gov/form990pf.

2013

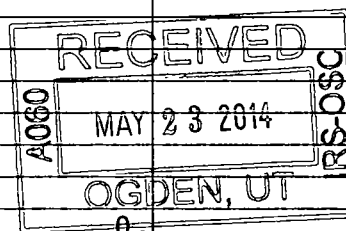
Open to Public Inspection

For calendar year 2013 or tax year beginning

, and ending

| | | |
|---|--|--|
| Name of foundation THE EPSTEIN PARTON FOUNDATION | | A Employer identification number 23-7024264 |
| Number and street (or P.O. box number if mail is not delivered to street address) C/O ARTSMART P.O. BOX 237031 | Room/suite | B Telephone number 212-595-6335 |
| City or town, state or province, country, and ZIP or foreign postal code NEW YORK, NY 10023 | | C If exemption application is pending, check here <input type="checkbox"/> |
| G Check all that apply: <input type="checkbox"/> Initial return <input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Final return <input type="checkbox"/> Amended return <input type="checkbox"/> Address change <input type="checkbox"/> Name change | | D 1. Foreign organizations, check here <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/> |
| H Check type of organization: <input 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 | | E If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/> |
| I Fair market value of all assets at end of year (from Part II, col. (c), line 16) \$ 96,799. | J Accounting method: <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____ | F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/> |

| Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a).) | | (a) Revenue and expenses per books | (b) Net investment income | (c) Adjusted net income | (d) Disbursements for charitable purposes (cash basis only) |
|---|---|------------------------------------|---------------------------|-------------------------|---|
| Revenue | 1 Contributions, gifts, grants, etc., received | 17,178. | | N/A | |
| | 2 Check <input type="checkbox"/> if the foundation is not required to attach Sch. B | | | | |
| | 3 Interest on savings and temporary cash investments | 8. | 8. | | STATEMENT 1 |
| | 4 Dividends and interest from securities | 1,809. | 1,809. | | STATEMENT 2 |
| | 5a Gross rents | | | | |
| | b Net rental income or (loss) | | | | |
| | 6a Net gain or (loss) from sale of assets not on line 10 | 13,981. | | | |
| | b Gross sales price for all assets on line 6a | 106,362. | | | |
| | 7 Capital gain net income (from Part IV, line 2) | | 13,981. | | |
| | 8 Net short-term capital gain | | | | |
| | 9 Income modifications | | | | |
| | 10a Gross sales less returns and allowances | | | | |
| b Less Cost of goods sold | | | | | |
| c Gross profit or (loss) | | | | | |
| 11 Other income | 838. | 838. | | STATEMENT 3 | |
| 12 Total. Add lines 1 through 11 | 33,814. | 16,636. | | | |
| Operating and Administrative Expenses | 13 Compensation of officers, directors, trustees, etc. | 0. | 0. | | 0. |
| | 14 Other employee salaries and wages | | | | |
| | 15 Pension plans, employee benefits | | | | |
| | 16a Legal fees | | | | |
| | b Accounting fees | STMT 4 | 1,288. | 0. | 0. |
| | c Other professional fees | | | | |
| | 17 Interest | | | | |
| | 18 Taxes | | | | |
| | 19 Depreciation and depletion | | | | |
| | 20 Occupancy | | | | |
| | 21 Travel, conferences, and meetings | | | | |
| | 22 Printing and publications | | | | |
| | 23 Other expenses | STMT 5 | 3,309. | 0. | 0. |
| | 24 Total operating and administrative expenses. Add lines 13 through 23 | | 4,597. | 0. | 0. |
| | 25 Contributions, gifts, grants paid | | 16,750. | | 16,750. |
| 26 Total expenses and disbursements. Add lines 24 and 25 | | 21,347. | 0. | 16,750. | |
| 27 Subtract line 26 from line 12: | | | | | |
| a Excess of revenue over expenses and disbursements | | 12,467. | | | |
| b Net investment income (if negative, enter -0-) | | | 16,636. | | |
| c Adjusted net income (if negative, enter -0-) | | | N/A | | |



6-19

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| Part II Balance Sheets | | Beginning of year (a) Book Value | End of year | |
|-----------------------------|--|-------------------------------------|----------------|-----------------------|
| | | | (b) Book Value | (c) Fair Market Value |
| Assets | 1 Cash - non-interest-bearing | 1,479. | 2,070. | 2,070. |
| | 2 Savings and temporary cash investments | 5,818. | 4,199. | 4,199. |
| | 3 Accounts receivable ▶ | | | |
| | Less: allowance for doubtful accounts ▶ | | | |
| | 4 Pledges receivable ▶ | | | |
| | Less: allowance for doubtful accounts ▶ | | | |
| | 5 Grants receivable | | | |
| | 6 Receivables due from officers, directors, trustees, and other disqualified persons | | | |
| | 7 Other notes and loans receivable ▶ | | | |
| | Less: allowance for doubtful accounts ▶ | | | |
| | 8 Inventories for sale or use | | | |
| | 9 Prepaid expenses and deferred charges | | | |
| | 10a Investments - U.S. and state government obligations | | | |
| | b Investments - corporate stock STMT 6 | 73,374. | 86,869. | 90,530. |
| | c Investments - corporate bonds | | | |
| Liabilities | 11 Investments - land, buildings, and equipment basis ▶ | | | |
| | Less accumulated depreciation ▶ | | | |
| | 12 Investments - mortgage loans | | | |
| | 13 Investments - other | | | |
| | 14 Land, buildings, and equipment basis ▶ | | | |
| | Less accumulated depreciation ▶ | | | |
| | 15 Other assets (describe ▶) | | | |
| | 16 Total assets (to be completed by all filers - see the instructions. Also, see page 1, item 1) | 80,671. | 93,138. | 96,799. |
| | 17 Accounts payable and accrued expenses | | | |
| | 18 Grants payable | | | |
| Net Assets or Fund Balances | 19 Deferred revenue | | | |
| | 20 Loans from officers, directors, trustees, and other disqualified persons | | | |
| | 21 Mortgages and other notes payable | | | |
| | 22 Other liabilities (describe ▶) | | | |
| | 23 Total liabilities (add lines 17 through 22) | 0. | 0. | |
| | Foundations that follow SFAS 117, check here ▶ <input type="checkbox"/> | | | |
| | 24 Unrestricted | | | |
| | 25 Temporarily restricted | | | |
| | 26 Permanently restricted | | | |
| | Foundations that do not follow SFAS 117, check here ▶ <input checked="" type="checkbox"/> | | | |
| | 27 Capital stock, trust principal, or current funds | 63,290. | 63,290. | |
| | 28 Paid-in or capital surplus, or land, bldg., and equipment fund | 0. | 0. | |
| | 29 Retained earnings, accumulated income, endowment, or other funds | 17,381. | 29,848. | |
| | 30 Total net assets or fund balances | 80,671. | 93,138. | |
| | 31 Total liabilities and net assets/fund balances | 80,671. | 93,138. | |

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 | 80,671. |
| 2 Enter amount from Part I, line 27a | 2 | 12,467. |
| 3 Other increases not included in line 2 (itemize) ▶ | 3 | 0. |
| 4 Add lines 1, 2, and 3 | 4 | 93,138. |
| 5 Decreases not included in line 2 (itemize) ▶ | 5 | 0. |
| 6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30 | 6 | 93,138. |

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 PERSHING XXX3882 SEE ATTACHED | P | | 12/31/13 |
| b PERSHING XXX5599 SEE ATTACHED | P | | 12/31/13 |
| c PERSHING XXX5599 SEE ATTACHED | P | | 12/31/13 |
| 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 58,125. | | 46,110. | 12,015. |
| b 47,656. | | 45,822. | 1,863. |
| c 581. | | 478. | 103. |
| d | | | |
| e | | | |

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69

| (i) F.M.V. as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of col. (i) over col. (j), if any | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h)) |
|---------------------------|--------------------------------------|---|---|
| a | | | 12,015. |
| b | | | 1,863. |
| c | | | 103. |
| 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 | 13,981. |
| 3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter -0- in Part I, line 8 | } | 3 | N/A |

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

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

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

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

☐ Yes ☒ No

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

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

| (a) Base period years Calendar year (or tax year beginning in) | (b) Adjusted qualifying distributions | (c) Net value of noncharitable-use assets | (d) Distribution ratio (col. (b) divided by col. (c)) |
|---|---------------------------------------|---|--|
| 2012 | 9,586. | 86,563. | .110740 |
| 2011 | 4,865. | 87,500. | .055600 |
| 2010 | 3,491. | 79,267. | .044041 |
| 2009 | 2,990. | 72,435. | .041278 |
| 2008 | 2,191. | 84,892. | .025809 |

| | | |
|--|---|----------|
| 2 Total of line 1, column (d) | 2 | .277468 |
| 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 | .055494 |
| 4 Enter the net value of noncharitable-use assets for 2013 from Part X, line 5 | 4 | 126,967. |
| 5 Multiply line 4 by line 3 | 5 | 7,046. |
| 6 Enter 1% of net investment income (1% of Part I, line 27b) | 6 | 166. |
| 7 Add lines 5 and 6 | 7 | 7,212. |
| 8 Enter qualifying distributions from Part XII, line 4 | 8 | 16,750. |

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

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

| | | | |
|--|----|---|------|
| 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 | 166. |
| 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 | 166. |
| 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 | 166. |
| 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 | | 0. |
| 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 | | 166. |
| 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 checked="" 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. \$ 0. (2) On foundation managers. \$ 0. | | |
| e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. \$ 0. | | |
| 2 Has the foundation engaged in any activities that have not previously been reported to the IRS? If "Yes," attach a detailed description of the activities. | | X |
| 3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes | | X |
| 4a Did the foundation have unrelated business gross income of \$1,000 or more during the year? | | X |
| b If "Yes," has it filed a tax return on Form 990-T for this year? | | |
| 5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by General Instruction T. | | X |
| 6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument? | X | |
| 7 Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col. (c), and Part XV | X | |
| 8a Enter the states to which the foundation reports or with which it is registered (see instructions) <u>NY</u> | | |
| b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation | X | |
| 9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2013 or the taxable year beginning in 2013 (see instructions for Part XIV)? If "Yes," complete Part XIV | | X |
| 10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses | X | |

N/A

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Part VII-A Statements Regarding Activities (continued)

| | | | | |
|----|---|----|-----|----|
| 11 | At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions) | 11 | | X |
| 12 | Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions) | 12 | | X |
| 13 | Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► N/A | 13 | X | |
| 14 | The books are in care of ► PAUL H. EPSTEIN Telephone no. ► 212-595-6335 Located at ► C/O ARTSMART INC, P.O. BOX 237031, NEW YORK, NY ZIP+4 ► 10023 | | | |
| 15 | Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here and enter the amount of tax-exempt interest received or accrued during the year | 15 | N/A | |
| 16 | At any time during calendar year 2013, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? See the instructions for exceptions and filing requirements for Form TD F 90-22.1. If "Yes," enter the name of the foreign country ► | 16 | Yes | No |
| | | | | X |

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

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

| | | Yes | No |
|-----|--|-----|-----|
| 1a | During the year did the foundation (either directly or indirectly): | | |
| (1) | Engage in the sale or exchange, or leasing of property with a disqualified person? <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 | 1b | N/A |
| c | Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2013? | 1c | X |
| 2 | Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)): | | |
| a | At the end of tax year 2013, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2013? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If "Yes," list the years ► | | |
| b | Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see instructions.) | 2b | N/A |
| c | If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. ► | | |
| 3a | Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? <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) | 3b | N/A |
| 4a | Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? | 4a | X |
| b | Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2013? | 4b | X |

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

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

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

N/A

5b

Organizations relying on a current notice regarding disaster assistance check here

☒

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

N/A

☐ Yes ☐ No

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

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

☐ Yes ☒ No

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

6b

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

X

7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?

☐ Yes ☒ No

b If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction?

N/A

7b

Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors

1 List all officers, directors, trustees, foundation managers and their compensation.

| (a) Name and address | (b) Title, and average hours per week devoted to position | (c) Compensation (If not paid, enter -0-) | (d) Contributions to employee benefit plans and deferred compensation | (e) Expense account, other allowances |
|--------------------------------------|---|---|---|---------------------------------------|
| PAUL H. EPSTEIN | MEMBER | | | |
| C/O ARTSMART, INC., PO BOX 237031 | | | | |
| NEW YORK, NY 10023 | 1.00 | 0. | 0. | 0. |
| GARRY I. PARTON | MEMBER | | | |
| C/O ARTSMART, INC., PO BOX 237031 | | | | |
| NEW YORK, NY 10023 | 1.00 | 0. | 0. | 0. |
| HENRY J. LIEBOWITZ | MEMBER | | | |
| C/O PROSKAUER ROSE LLP, ELEVEN TIMES | | | | |
| NEW YORK, NY 100368299 | 1.00 | 0. | 0. | 0. |
| JEFFREY A. HOROWITZ | MEMBER | | | |
| C/O PROSKAUER ROSE LLP, ELEVEN TIMES | | | | |
| NEW YORK, NY 100368299 | 1.00 | 0. | 0. | 0. |

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

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

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

0

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

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

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

0

Part IX-A Summary of Direct Charitable Activities

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

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

Part IX-B Summary of Program-Related Investments

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

| | Amount |
|--|--------|
| 1 N/A | |
| | |
| | |
| | |
| 2 | |
| | |
| | |
| | |
| All other program-related investments. See instructions. | |
| 3 | |
| | |
| | |
| | |

Total. Add lines 1 through 3

0.

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

| | | | |
|---|---|----|----------|
| 1 Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes: | | | |
| a | Average monthly fair market value of securities | 1a | 117,339. |
| b | Average of monthly cash balances | 1b | 11,562. |
| c | Fair market value of all other assets | 1c | |
| d | Total (add lines 1a, b, and c) | 1d | 128,901. |
| 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 | 128,901. |
| 4 | Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions) | 4 | 1,934. |
| 5 | Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4 | 5 | 126,967. |
| 6 | Minimum investment return. Enter 5% of line 5 | 6 | 6,348. |

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 | 6,348. |
| 2a | Tax on investment income for 2013 from Part VI, line 5 | 2a | 166. |
| b | Income tax for 2013. (This does not include the tax from Part VI.) | 2b | |
| c | Add lines 2a and 2b | 2c | 166. |
| 3 | Distributable amount before adjustments. Subtract line 2c from line 1 | 3 | 6,182. |
| 4 | Recoveries of amounts treated as qualifying distributions | 4 | 0. |
| 5 | Add lines 3 and 4 | 5 | 6,182. |
| 6 | Deduction from distributable amount (see instructions) | 6 | 0. |
| 7 | Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1 | 7 | 6,182. |

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 | 16,750. |
| b | Program-related investments - total from Part IX-B | 1b | 0. |
| 2 | Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes | 2 | |
| 3 | Amounts set aside for specific charitable projects that satisfy the: | | |
| a | Suitability test (prior IRS approval required) | 3a | |
| b | Cash distribution test (attach the required schedule) | 3b | |
| 4 | Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4 | 4 | 16,750. |
| 5 | Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b | 5 | 166. |
| 6 | Adjusted qualifying distributions. Subtract line 5 from line 4 | 6 | 16,584. |

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.

Form 990-PF (2013)

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 | | | | 6,182. |
| 2 Undistributed income, if any, as of the end of 2013 | | | | |
| a Enter amount for 2012 only | | | 0. | |
| b Total for prior years: | | 0. | | |
| 3 Excess distributions carryover, if any, to 2013: | | | | |
| a From 2008 | | | | |
| b From 2009 | | | | |
| c From 2010 | | | | |
| d From 2011 | | | | |
| e From 2012 | | | | 1,977. |
| f Total of lines 3a through e | 1,977. | | | |
| 4 Qualifying distributions for 2013 from Part XII, line 4: ▶ \$ | 16,750. | | | |
| a Applied to 2012, but not more than line 2a | | | 0. | |
| b Applied to undistributed income of prior years (Election required - see instructions) | | 0. | | |
| c Treated as distributions out of corpus (Election required - see instructions) | 0. | | | |
| d Applied to 2013 distributable amount | | | | 6,182. |
| e Remaining amount distributed out of corpus | 10,568. | | | |
| 5 Excess distributions carryover applied to 2013 (If an amount appears in column (d), the same amount must be shown in column (a)) | 0. | | | 0. |
| 6 Enter the net total of each column as indicated below: | 12,545. | | | |
| a Corpus. Add lines 3f, 4c, and 4e. Subtract line 5 | | | | |
| b Prior years' undistributed income. Subtract line 4b from line 2b | | 0. | | |
| c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed | | 0. | | |
| d Subtract line 6c from line 6b. Taxable amount - see instructions | | 0. | | |
| e Undistributed income for 2012. Subtract line 4a from line 2a. Taxable amount - see instr. | | | 0. | |
| f Undistributed income for 2013. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2014 | | | | 0. |
| 7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) | 0. | | | |
| 8 Excess distributions carryover from 2008 not applied on line 5 or line 7 | 0. | | | |
| 9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a | 12,545. | | | |
| 10 Analysis of line 9: | | | | |
| a Excess from 2009 | | | | |
| b Excess from 2010 | | | | |
| c Excess from 2011 | | | | |
| d Excess from 2012 | | | | 1,977. |
| e Excess from 2013 | | | | 10,568. |

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

N/A

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

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

☐ 4942(j)(3) or ☐ 4942(j)(5)

2 a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed

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

Tax year

Prior 3 years

(a) 2013

(b) 2012

(c) 2011

(d) 2010

(e) Total

Part XV Supplementary Information (Complete this part only if the foundation had \$5,000 or more in assets at any time during the year-see instructions.)**1 Information Regarding Foundation Managers:**

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

SEE STATEMENT 8

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

NONE**2 Information Regarding Contribution, Grant, Gift, Loan, Scholarship, etc., Programs:**

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

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

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

c Any submission deadlines:

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

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

| Recipient Name and address (home or business) | If recipient is an individual, show any relationship to any foundation manager or substantial contributor | Foundation status of recipient | Purpose of grant or contribution | Amount |
|---|--|--------------------------------------|--|----------------|
| a Paid during the year | | | | |
| THE YOUNG VIC IN AMERICA C/O ARTSMART INC. PO BOX 237031 NEW YORK, NY 10023 | COMMON MANAGEMENT | | GENERAL SUPPORT | 250. |
| FRIENDS IN DEED 594 BROADWAY NEW YORK, NY 10012 | NONE | | SUPPORT GENERAL OPERATIONS OF ORGANIZATION | 500. |
| GEORGE BALANCHINE FOUNDATION 20 LINCOLN CENTER NEW YORK, NY 10023 | NONE | | SUPPORT GENERAL OPERATIONS OF ORGANIZATION | 500. |
| AMERICAN FRIENDS OF THE BELGRADE PHILHARMONIC ORCHESTRA C/O ARTSMART INC. PO BOX 237031 NEW YORK, NY 10023 | COMMON MANAGEMENT | | GERERAL SUPPORT | 500. |
| HARVARD UNIVERSITY 124 MOUNT AUBURN STREET CAMBRIDGE, MA 02138 | NONE | | SUPPORT THE LIBRARY AND GRADUATE SCHOOL | 2,000. |
| Total | SEE CONTINUATION SHEET(S) | | | 16,750. |
| b Approved for future payment | | | | |
| NONE | | | | |
| | | | | |
| | | | | |
| | | | | |
| Total | | | | 0. |

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated.

| Enter gross amounts unless otherwise indicated. | | Unrelated business income | | Excluded by section 512, 513, or 514 | | (e) Related or exempt function income |
|---|--|---------------------------|---------------|--------------------------------------|---------------|---|
| | | (a) Business code | (b) Amount | (c) Exclu- sion code | (d) Amount | |
| 1 | Program service revenue: | | | | | |
| a | | | | | | |
| b | | | | | | |
| c | | | | | | |
| d | | | | | | |
| e | | | | | | |
| f | | | | | | |
| g | Fees and contracts from government agencies | | | | | |
| 2 | Membership dues and assessments | | | | | |
| 3 | Interest on savings and temporary cash investments | | | | | 8. |
| 4 | Dividends and interest from securities | | | | | 1,809. |
| 5 | Net rental income or (loss) from real estate: | | | | | |
| a | Debt-financed property | | | | | |
| b | Not debt-financed property | | | | | |
| 6 | Net rental income or (loss) from personal property | | | | | |
| 7 | Other investment income | | | | | 838. |
| 8 | Gain or (loss) from sales of assets other than inventory | | | | | 13,981. |
| 9 | Net income or (loss) from special events | | | | | |
| 10 | Gross profit or (loss) from sales of inventory | | | | | |
| 11 | Other revenue: | | | | | |
| a | | | | | | |
| b | | | | | | |
| c | | | | | | |
| d | | | | | | |
| e | | | | | | |
| 12 | Subtotal. Add columns (b), (d), and (e) | | 0. | | 0. | 16,636. |
| 13 | Total. Add line 12, columns (b), (d), and (e) | | | | | 16,636. |

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

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

[illegible]

Part XVII


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

| | | Yes | No |
|---|--|-----|----|
| 1 | Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations? | | |
| a | Transfers from the reporting foundation to a noncharitable exempt organization of: | | |
| | (1) Cash | | X |
| | (2) Other assets | | X |
| b | Other transactions: | | |
| | (1) Sales of assets to a noncharitable exempt organization | | X |
| | (2) Purchases of assets from a noncharitable exempt organization | | X |
| | (3) Rental of facilities, equipment, or other assets | | X |
| | (4) Reimbursement arrangements | | X |
| | (5) Loans or loan guarantees | | X |
| | (6) Performance of services or membership or fundraising solicitations | | X |
| c | Sharing of facilities, equipment, mailing lists, other assets, or paid employees | | X |
| d | If the answer to any of the above is "Yes," complete the following schedule. Column (b) should always show the fair market value of the goods, other assets, or services given by the reporting foundation. If the foundation received less than fair market value in any transaction or sharing arrangement, show in column (d) the value of the goods, other assets, or services received. | | |


[illegible]

2a Is the foundation directly or indirectly affiliated with, or related to, one or more tax-exempt organizations described in section 501(c) of the Code (other than section 501(c)(3)) or in section 527? ☐ Yes ☒ No

| b If "Yes," complete the following schedule. | | |
|--|--------------------------|---------------------------------|
| (a) Name of organization | (b) Type of organization | (c) Description of relationship |
| N/A | | |
| | | |
| | | |
| | | |
| | | |

| | | |
|------------------|---|-----------------|
| Sign Here | Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief it is true, correct, and complete. Declaration of preparer (other than taxpayer) is based on all information of which preparer has any knowledge. | |
| | Signature of officer or trustee  | Date 8/15/14 |

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

| | | | | | |
|---------------------------------------|--|---|-------------------------|---|--------------------------|
| Paid Preparer Use Only | Print/Type preparer's name LAWRENCE L. KATZ, CPA | Preparer's signature  | Date 05/12/14 | Check <input type="checkbox"/> if self-employed | PTIN P00577432 |
| | Firm's name ▶ ADELMAN KATZ & MOND LLP | | | Firm's EIN ▶ 13-2608630 | |
| | Firm's address ▶ 230 WEST 41ST - SUITE 1500 NEW YORK, NY 10036-4015 | | | Phone no. 212-382-0404 | |

3 Grants and Contributions Paid During the Year (Continuation)

323631
05-01-13

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

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

OMB No 1545-0047

2013

Name of the organization

THE EPSTEIN PARTON FOUNDATION

Employer identification number

23-7024264

Organization type (check one)

Filers of:

Section:

Form 990 or 990-EZ

☐

501(c)() (enter number) organization

☐4947(a)(1) nonexempt charitable trust **not** treated as a private foundation☐

527 political organization

Form 990-PF

☒

501(c)(3) exempt private foundation

☐

4947(a)(1) nonexempt charitable trust treated as a private foundation

☐

501(c)(3) taxable private foundation

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

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

Special Rules☐

For a section 501(c)(3) organization filing Form 990 or 990-EZ that met the 33 1/3% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi) and received from any one contributor, during the year, a contribution of the greater of (1) \$5,000 or (2) 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1. Complete Parts I and II

☐For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than \$1,000 for use *exclusively* for religious, charitable, scientific, literary, or educational purposes, or the prevention of cruelty to children or animals. Complete Parts I, II, and III.☐For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions for use *exclusively* for religious, charitable, etc., purposes, but these contributions did not total to more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Do not complete any of the parts unless the **General Rule** applies to this organization because it received *nonexclusively* religious, charitable, etc., contributions of \$5,000 or more during the year ▶ \$ _____

Caution. An organization that is not covered by the General Rule and/or the Special Rules does not file Schedule B (Form 990, 990-EZ, or 990-PF), but it **must** answer "No" on Part IV, line 2, of its Form 990; or check the box on line H of its Form 990-EZ or on its Form 990-PF, Part I, line 2, to certify that it does not meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF)

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

Name of organization

Employer identification number

THE EPSTEIN PARTON FOUNDATION

23-7024264

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 | PAUL H. EPSTEIN C/O ARTSMART, INC., PO BOX 237031 NEW YORK, NY 10023 | \$ 14,000. | Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions) |
| 2 | GARRY I. PARTON C/O ARTSMART, INC., PO BOX 237031 NEW YORK, NY 10023 | \$ 3,178. | 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.) |
| | | \$ | 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.) |

Employer identification number

23-7024264

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

[illegible]

Name of organization

Employer identification number

THE EPSTEIN PARTON FOUNDATION**23-7024264****Part III**

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

Use duplicate copies of Part III if additional space is needed

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

Account Number: C93-015599

Recipient's Identification
Number: 23-7024264

**2013 TAX and
YEAR-END STATEMENT**
As of 02/11/2014

IMPORTANT MESSAGE: We send tax statements when information is finalized by securities issuers. If information is pending from issuers, you and members of your household may receive tax statement(s) at different times. Tax statement mailings will occur by January 31, February 18, February 28 and March 17, depending on when final information for your account is received from issuers. If you have any questions, please visit mytaxhandbook.com.

Summary Of Transactions We Do Not Report To The IRS (See instructions for additional information)

Advisory Fees

Amount
(758.74)

2013 Form 1099-B Proceeds From Broker and Barter Exchange Transactions OMB No: 1545-0715

(For individuals report details on Form 1040 Schedule D Line 1b, 2, 8b or 9)

This is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

| Disposition Transaction | Disposition Method | Quantity (Box 1e) | Date of Acquisition (Box 1b) | Date of Sale or Exchange (Box 1a) | Gross Proceeds Less Commissions and Option Premiums (Box 2a) | Cost or Other Basis (Box 3) | Adjustments W=Wash Sale Loss (Box 5) O=Option Premium | Realized Gain or (Loss) |
|--|--------------------|----------------------|------------------------------------|--|---|--------------------------------------|--|-------------------------------|
| Short-Term Transactions for Which Basis Is Reported to the IRS - Report on Form 8949, Part I, with Box A checked. | | | | | | | | |
| Covered (Box 6b) | | | | | | | | |
| Description (Box 8): CAMBIAR SMALL CAP FUND INVESTOR CLASS | | | CUSIP: 0075W0817 | | | | | |
| SELL | FIRST IN FIRST OUT | 15.216 | 09/25/2012 | 05/06/2013 | 309.65 | 274.35 | | 35.30 |
| SELL | FIRST IN FIRST OUT | .236 | 12/14/2012 | 05/06/2013 | 4.80 | 4.30 | | 0.50 |
| SELL | FIRST IN FIRST OUT | 13.019 | 02/01/2013 | 05/06/2013 | 264.94 | 260.12 | | 4.82 |
| SELL | FIRST IN FIRST OUT | 3.828 | 04/05/2013 | 05/06/2013 | 77.90 | 76.44 | | 1.46 |
| SELL | FIRST IN FIRST OUT | 66.608 | 04/29/2013 | 05/06/2013 | 1,355.47 | 1,335.50 | | 19.97 |
| SALE DATE TOTAL | | 98.907 | VARIOUS | 05/06/2013 | 2,012.76 | 1,950.71 | | 62.05 |

Private Bank



Account Number: C93-015599

Recipient's Identification
Number 23-7024264

**2013 TAX and
YEAR-END STATEMENT**
As of 02/11/2014

2013 Form 1099-B Proceeds From Broker and Barter Exchange Transactions OMB No. 1545-0715 (Continued)
(For individuals report details on Form 1040 Schedule D Line 1b, 2, 8b or 9)

| Disposition Transaction | Disposition Method | Quantity (Box 1e) | Date of Acquisition (Box 1b) | Date of Sale or Exchange (Box 1a) | Gross Proceeds Less Commissions and Option Premiums (Box 2a) | Cost or Other Basis (Box 3) | Adjustments Wash Sale Loss (Box 5) 0=Option Premium | Realized Gain or Loss |
|--|--------------------|----------------------|------------------------------------|--|---|--------------------------------------|--|-----------------------------|
| Short-Term Transactions for Which Basis Is Reported to the IRS - Report on Form 8949, Part I, with Box A checked. | | | | | | | | |
| Covered (Box 6b) (continued) | | | | | | | | |
| Description (Box 8): BARON I OPPORTUNITY FUND | | | CUSIP: 068278407 | | | | | |
| SELL | FIRST IN FIRST OUT | 35 423 | 09/25/2012 | 05/20/2013 | 616 71 | 548.70 | | 68.01 |
| SELL | FIRST IN FIRST OUT | 575 | 11/30/2012 | 05/20/2013 | 10 01 | 8.50 | | 1.51 |
| SELL | FIRST IN FIRST OUT | 17.573 | 02/01/2013 | 05/20/2013 | 305.95 | 281.17 | | 24.78 |
| SELL | FIRST IN FIRST OUT | 108 080 | 04/29/2013 | 05/20/2013 | 1,881 67 | 1,766.02 | | 115 65 |
| SALE DATE TOTAL | | 161.651 | VARIOUS | 05/20/2013 | 2,814.34 | 2,604.39 | | 209.95 |
| Description (Box 8): BLACKROCK INFLATION PROTECTED BOND PORTF OLIO CLASS I | | | CUSIP: 091937748 | | | | | |
| SELL | FIRST IN FIRST OUT | 32 451 | 05/20/2013 | 11/12/2013 | 360.53 | 383.57 | | (23.04) |
| Description (Box 8): BROWN ADVISORY SMALL -CAP FUNDAMENTAL VAL UE FUND INVESTOR CLA | | | CUSIP: 115233793 | | | | | |
| SELL | FIRST IN FIRST OUT | 17.852 | 05/06/2013 | 11/12/2013 | 422.02 | 354.54 | | 67 48 |
| Description (Box 8): CULLEN HIGH DIVIDEND EQUITY FUND CLASS I | | | CUSIP: 230001406 | | | | | |
| SELL | FIRST IN FIRST OUT | 301 804 | 09/25/2012 | 05/20/2013 | 4,828 86 | 4,252.42 | | 576 44 |
| SELL | FIRST IN FIRST OUT | 645 | 09/28/2012 | 05/20/2013 | 10 32 | 9 10 | | 1.22 |
| SELL | FIRST IN FIRST OUT | 462 | 11/01/2012 | 05/20/2013 | 7.39 | 6 45 | | 0.94 |
| SELL | FIRST IN FIRST OUT | 719 | 11/29/2012 | 05/20/2013 | 11 50 | 9.96 | | 1.54 |
| SELL | FIRST IN FIRST OUT | 811 | 12/28/2012 | 05/20/2013 | 12.98 | 11 14 | | 1.84 |
| SELL | FIRST IN FIRST OUT | 028 | 01/30/2013 | 05/20/2013 | 0 45 | 0 40 | | 0 05 |

Account Number: C93-015599

Recipient's Identification
Number: 23-7024264

**2013 TAX and
YEAR-END STATEMENT**
As of 02/11/2014

2013 Form 1099-B: Proceeds From Broker and Barter Exchange Transactions OMB No: 1545-0715 (Continued)
(For individuals report details on Form 1040 Schedule D Line 1b, 2, 8b or 9)

| Disposition Transaction | Disposition Method | Quantity (Box 1e) | Date of Acquisition (Box 1b) | Date of Sale or Exchange (Box 1a) | Gross Proceeds Less Commissions and Option Premiums (Box 2a) | Cost or Other Basis (Box 3) | Adjustments W=Wash Sale Loss (Box 5) O=Option Premium | Realized Gain or Loss |
|--|--------------------|----------------------|------------------------------------|--|---|--------------------------------------|--|-----------------------------|
| Short-Term Transactions for Which Basis Is Reported to the IRS - Report on Form 8949, Part I, with Box A checked. | | | | | | | | |
| Covered (Box 6b) (continued) | | | | | | | | |
| Description (Box 8): CULLEN HIGH DIVIDEND EQUITY FUND CLASS I | | | CUSIP: 230001406 (continued) | | | | | |
| SELL | FIRST IN FIRST OUT | 9.490 | 02/01/2013 | 05/20/2013 | 151.84 | 137.99 | | 13.85 |
| SELL | FIRST IN FIRST OUT | 5.179 | 04/05/2013 | 05/20/2013 | 82.86 | 77.99 | | 4.87 |
| SELL | FIRST IN FIRST OUT | 67.695 | 04/29/2013 | 05/20/2013 | 1,083.12 | 1,050.63 | | 32.49 |
| SALE DATE TOTAL | | 386.833 | VARIOUS | 05/20/2013 | 6,189.32 | 5,556.08 | | 633.24 |
| Description (Box 8): DOUBLELINE EMERGING MARKETS FIXED INCOME FUND CLASS I | | | CUSIP: 258620509 | | | | | |
| SELL | FIRST IN FIRST OUT | 123.945 | 09/28/2012 | 05/20/2013 | 1,368.35 | 1,373.31 | 4.96 ▯ | 0.00 |
| SELL | FIRST IN FIRST OUT | .312 | 10/31/2012 | 05/20/2013 | 3.44 | 3.48 | 0.04 ▯ | 0.00 |
| SELL | FIRST IN FIRST OUT | 341 | 11/30/2012 | 05/20/2013 | 3.76 | 3.80 | 0.04 ▯ | 0.00 |
| SELL | FIRST IN FIRST OUT | 1.511 | 12/05/2012 | 05/20/2013 | 16.68 | 16.68 | | 0.00 |
| SELL | FIRST IN FIRST OUT | .383 | 12/31/2012 | 05/20/2013 | 4.23 | 4.24 | 0.01 ▯ | 0.00 |
| SELL | FIRST IN FIRST OUT | .297 | 01/31/2013 | 05/20/2013 | 3.28 | 3.28 | | 0.00 |
| SELL | FIRST IN FIRST OUT | 27.138 | 02/01/2013 | 05/20/2013 | 299.60 | 300.15 | 0.55 ▯ | 0.00 |
| SELL | FIRST IN FIRST OUT | 2.199 | 04/05/2013 | 05/20/2013 | 24.28 | 24.41 | 0.13 ▯ | 0.00 |
| SELL | FIRST IN FIRST OUT | 123.945 | 04/29/2013 | 05/20/2013 | 1,368.36 | 1,374.55 | | (6.19) |
| Wash sale 234 day(s) added to holding period | | | | | | | | |
| SELL | FIRST IN FIRST OUT | .312 | 04/29/2013 | 05/20/2013 | 3.44 | 3.48 | | (0.04) |
| Wash sale 201 day(s) added to holding period | | | | | | | | |

Private Bank



Account Number: C93-015599

Recipient's Identification
Number: 23-70242642013 TAX and
YEAR-END STATEMENT
As of 02/11/2014
2013 Form 1099-B: Proceeds From Broker and Barter Exchange Transactions OMB No. 1545-0715 (Continued)
 (For individuals report details on Form 1040 Schedule D Line 1b, 2, 8b or 9)

| Disposition Transaction | Disposition Method | Quantity (Box 1e) | Date of Acquisition (Box 1b) | Date of Sale or Exchange (Box 1a) | Gross Proceeds Less Commissions and Option Premiums (Box 2a) | Cost or Other Basis (Box 3) | Adjustments W=Wash Sale Loss (Box 5) O=Option Premium | Realized Gain or Loss |
|--|---|----------------------|------------------------------------|--|---|--------------------------------------|--|-----------------------------|
| Short-Term Transactions for Which Basis Is Reported to the IRS - Report on Form 8949, Part I, with Box A checked. | | | | | | | | |
| Covered (Box 6b) (continued) | | | | | | | | |
| Description (Box 8): DOUBLELINE EMERGING MARKETS FIXED INCOME FUND CLASS I | | | CUSIP: 258620509 (continued) | | | | | |
| SELL | FIRST IN FIRST OUT | .341 | 04/29/2013 | 05/20/2013 | 3.76 | 3.80 | | (0.04) |
| | Wash sale: 171 day(s) added to holding period | | | | | | | |
| SELL | FIRST IN FIRST OUT | .383 | 04/29/2013 | 05/20/2013 | 4.23 | 4.24 | | (0.01) |
| | Wash sale: 140 day(s) added to holding period | | | | | | | |
| SELL | FIRST IN FIRST OUT | 27.138 | 04/29/2013 | 05/20/2013 | 299.61 | 300.42 | | (0.81) |
| | Wash sale: 108 day(s) added to holding period | | | | | | | |
| SELL | FIRST IN FIRST OUT | 2.199 | 04/29/2013 | 05/20/2013 | 24.28 | 24.42 | | (0.14) |
| | Wash sale: 45 day(s) added to holding period | | | | | | | |
| SELL | FIRST IN FIRST OUT | 3.661 | 04/29/2013 | 05/20/2013 | 40.42 | 40.45 | | (0.03) |
| SALE DATE TOTAL | | 314.105 | VARIOUS | 05/20/2013 | 3,467.72 | 3,480.71 | | (7.26) |
| SELL | FIRST IN FIRST OUT | 80.813 | 04/29/2013 | 07/01/2013 | 840.45 | 893.00 | | (52.55) |
| SELL | FIRST IN FIRST OUT | 38.657 | 04/29/2013 | 11/12/2013 | 397.39 | 427.17 | | (29.78) |
| SECURITY TOTAL | | | | | 4,705.56 | 4,800.88 | | (89.59) |
| Description (Box 8): EATON VANCE INCOME FUND OF BOSTON INSTITUTIONAL | | | CUSIP: 277907200 | | | | | |
| SELL | FIRST IN FIRST OUT | 231.324 | 09/25/2012 | 05/20/2013 | 1,424.96 | 1,371.75 | | 53.21 |
| SELL | FIRST IN FIRST OUT | .171 | 09/28/2012 | 05/20/2013 | 1.05 | 1.01 | | 0.04 |
| SELL | FIRST IN FIRST OUT | 1.315 | 10/31/2012 | 05/20/2013 | 8.10 | 7.80 | | 0.30 |
| SELL | FIRST IN FIRST OUT | 1.217 | 11/30/2012 | 05/20/2013 | 7.50 | 7.24 | | 0.26 |

Account Number: C93-015599

Recipient's Identification
Number 23-7024264

**2013 TAX and
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As of 02/11/2014

2013 Form 1099-B* Proceeds From Broker and Barter Exchange Transactions OMB No. 1545-0715 (Continued)
(For individuals report details on Form 1040 Schedule D Line 1b, 2, 8b or 9)

| Disposition Transaction | Disposition Method | Quantity (Box 1e) | Date of Acquisition (Box 1b) | Date of Sale or Exchange (Box 1a) | Gross Proceeds Less Commissions and Option Premiums (Box 2a) | Cost or Other Basis (Box 3) | Adjustments W=Wash Sale Loss (Box 5) O=Option Premium | Realized Gain or (Loss) |
|--|--------------------|----------------------|------------------------------------|--|---|--------------------------------------|--|-------------------------------|
| Short-Term Transactions for Which Basis Is Reported to the IRS - Report on Form 8949, Part I, with Box A checked. | | | | | | | | |
| Covered (Box 6b) (continued) | | | | | | | | |
| Description (Box 8): EATON VANCE INCOME FUND OF BOSTON INSTITUTIONAL | | | CUSIP: 277907200 (continued) | | | | | |
| SELL | FIRST IN FIRST OUT | 1.246 | 12/31/2012 | 05/20/2013 | 7.68 | 7.49 | | 0.19 |
| SELL | FIRST IN FIRST OUT | 1.240 | 01/31/2013 | 05/20/2013 | 7.64 | 7.49 | | 0.15 |
| SELL | FIRST IN FIRST OUT | 46.043 | 02/01/2013 | 05/20/2013 | 283.63 | 278.10 | | 5.53 |
| SELL | FIRST IN FIRST OUT | 49.176 | 04/05/2013 | 05/20/2013 | 302.92 | 298.50 | | 4.42 |
| SELL | FIRST IN FIRST OUT | 377.766 | 04/29/2013 | 05/20/2013 | 2,327.03 | 2,319.48 | | 7.55 |
| SALE DATE TOTAL | | 709.498 | VARIOUS | 05/20/2013 | 4,370.51 | 4,298.86 | | 71.65 |
| SELL | FIRST IN FIRST OUT | 2.716 | 04/29/2013 | 07/01/2013 | 16.05 | 16.68 | | (0.63) |
| SECURITY TOTAL | | | | | 4,386.56 | 4,315.54 | | 71.02 |
| Description (Box 8): JP MORGAN DYNAMIC SM ALL-CAP GROWTH FUND SELECT CLASS | | | CUSIP: 4812A1514 | | | | | |
| SELL | FIRST IN FIRST OUT | 734 | 09/25/2012 | 07/01/2013 | 18.39 | 15.79 | | 2.60 |
| Description (Box 8): MAINSTAY LARGE-CAP GROWTH FUND CLASS I | | | CUSIP: 56062X641 | | | | | |
| SELL | FIRST IN FIRST OUT | 523.698 | 09/25/2012 | 05/20/2013 | 4,865.15 | 4,252.43 | | 612.72 |
| SELL | FIRST IN FIRST OUT | 1.269 | 12/13/2012 | 05/20/2013 | 11.79 | 10.06 | | 1.73 |
| SELL | FIRST IN FIRST OUT | .317 | 12/28/2012 | 05/20/2013 | 2.94 | 2.48 | | 0.46 |
| SELL | FIRST IN FIRST OUT | 14.633 | 02/01/2013 | 05/20/2013 | 135.94 | 123.94 | | 12.00 |
| SELL | FIRST IN FIRST OUT | 19.297 | 04/05/2013 | 05/20/2013 | 179.27 | 165.57 | | 13.70 |
| SELL | FIRST IN FIRST OUT | 151.275 | 04/29/2013 | 05/20/2013 | 1,405.35 | 1,326.68 | | 78.67 |

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Number 23-70242642013 TAX and
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As of 02/11/2014
2013 Form 1099-B: Proceeds From Broker and Barter Exchange Transactions OMB No. 1545-0715 (Continued)
 (For individuals report details on Form 1040 Schedule D Line 1b, 2, 8b or 9)

| Disposition Transaction | Disposition Method | Quantity (Box 1e) | Date of Acquisition (Box 1b) | Date of Sale or Exchange (Box 1a) | Gross Proceeds Less Commissions and Option Premiums (Box 2a) | Cost or Other Basis (Box 3) | Adjustments W=Wash Sale Loss (Box 5) O=Option Premium | Realized Gain or Loss |
|--|--------------------|----------------------|------------------------------------|--|---|--------------------------------------|--|-----------------------------|
| Short-Term Transactions for Which Basis Is Reported to the IRS - Report on Form 8949, Part I, with Box A checked. | | | | | | | | |
| Covered (Box 6b) (continued) | | | | | | | | |
| Description (Box 8): MAINSTAY LARGE-CAP G ROWTH FUND CLASS I | | | CUSIP: 56062X641 (continued) | | | | | |
| SALE DATE TOTAL | | 710.489 | VARIOUS | 05/20/2013 | 6,600.44 | 5,881.16 | | 719.28 |
| SELL | FIRST IN FIRST OUT | 66.678 | 04/29/2013 | 11/12/2013 | 686.78 | 584.77 | | 102.01 |
| SECURITY TOTAL | | | | | 7,287.22 | 6,465.93 | | 821.29 |
| Description (Box 8): METROPOLITAN WEST TO TAL RETURN BOND FUND CLASS I | | | CUSIP: 592905509 | | | | | |
| SELL | VERSUS PURCHASE | 142.031 | 09/25/2012 | 02/01/2013 | 1,545.30 | 1,569.44 | 0.63 W | (23.51) |
| SELL | VERSUS PURCHASE | 324.923 | 09/25/2012 | 03/21/2013 | 3,544.91 | 3,590.40 | 0.21 W | (45.28) |
| SELL | VERSUS PURCHASE | 67.999 | 09/25/2012 | 04/05/2013 | 746.63 | 751.39 | 0.07 W | (4.69) |
| SELL | FIRST IN FIRST OUT | 234.717 | 09/25/2012 | 05/20/2013 | 2,572.50 | 2,593.62 | 21.12 W | 0.00 |
| SELL | FIRST IN FIRST OUT | 401 | 09/28/2012 | 05/20/2013 | 4.39 | 4.43 | 0.04 W | 0.00 |
| SELL | FIRST IN FIRST OUT | 2.524 | 10/31/2012 | 05/20/2013 | 27.66 | 27.94 | 0.28 W | 0.00 |
| SELL | FIRST IN FIRST OUT | 2.183 | 11/30/2012 | 05/20/2013 | 23.93 | 24.25 | 0.32 W | 0.00 |
| SELL | FIRST IN FIRST OUT | 10.836 | 12/14/2012 | 05/20/2013 | 118.76 | 118.11 | | 0.65 |
| SELL | FIRST IN FIRST OUT | 4.781 | 12/14/2012 | 05/20/2013 | 52.40 | 52.11 | | 0.29 |
| SELL | FIRST IN FIRST OUT | 2.353 | 12/31/2012 | 05/20/2013 | 25.79 | 25.62 | | 0.17 |
| SELL | FIRST IN FIRST OUT | 1.968 | 01/31/2013 | 05/20/2013 | 21.57 | 21.74 | 0.17 W | 0.00 |
| Wash sale 129 day(s) added to holding period | | | | | | | | |
| SELL | FIRST IN FIRST OUT | 1.713 | 02/28/2013 | 05/20/2013 | 18.77 | 18.98 | 0.21 W | 0.00 |

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Recipient's Identification
Number: 23-7024264

**2013 TAX and
YEAR-END STATEMENT**
As of 02/11/2014

2013 Form 1099-B Proceeds From Broker and Barter Exchange Transactions OMB No. 1545-0715 (Continued)
(For individuals report details on Form 1040 Schedule D Line 1b, 2, 8b or 9)

| Disposition Transaction | Disposition Method | Quantity (Box 1e) | Date of Acquisition (Box 1b) | Date of Sale or Exchange (Box 1a) | Gross Proceeds Less Commissions and Option Premiums (Box 2a) | Cost or Other Basis (Box 3) | Adjustments W=Wash Sale Loss (Box 5) O=Option Premium | Realized Gain or Loss |
|--|--|----------------------|------------------------------------|--|---|--------------------------------------|--|-----------------------------|
| Short-Term Transactions for Which Basis Is Reported to the IRS - Report on Form 8949, Part I, with Box A checked. | | | | | | | | |
| Covered (Box 6b) (continued) | | | | | | | | |
| Description (Box 8): METROPOLITAN WEST TO TAL RETURN BOND FUND CLASS I | | | CUSIP: 592905509 (continued) | | | | | |
| SELL | Wash sale 129 day(s) added to holding period FIRST IN FIRST OUT | 1.479 | 03/28/2013 | 05/20/2013 | 16.21 | 16.35 | 0.14 W | 0.00 |
| SELL | Wash sale 177 day(s) added to holding period FIRST IN FIRST OUT | .934 | 04/30/2013 | 05/20/2013 | 10.24 | 10.35 | 0.11 W | 0.00 |
| SELL | Wash sale 192 day(s) added to holding period FIRST IN FIRST OUT | 111.480 | 05/07/2013 | 05/20/2013 | 1,221.82 | 1,237.42 | | (15.60) |
| Wash sale 237 day(s) added to holding period | | | | | | | | |
| SALE DATE TOTAL | | 375.369 | VARIOUS | 05/20/2013 | 4,114.04 | 4,150.92 | | (14.49) |
| SELL | FIRST IN FIRST OUT | 26.883 | 05/07/2013 | 07/01/2013 | 284.42 | 298.40 | | (13.98) |
| Wash sale 237 day(s) added to holding period | | | | | | | | |
| SECURITY TOTAL | | | | | 10,235.30 | 10,360.55 | | (101.95) |
| Description (Box 8): PIMCO TOTAL RETURN FUND CLASS P | | | CUSIP: 72201M552 | | | | | |
| SELL | FIRST IN FIRST OUT | 64.880 | 03/21/2013 | 04/05/2013 | 733.14 | 728.60 | | 4.54 |
| SELL | FIRST IN FIRST OUT | 255.206 | 03/21/2013 | 05/20/2013 | 2,865.96 | 2,865.97 | 0.01 W | 0.00 |
| SELL | FIRST IN FIRST OUT | 97.481 | 04/29/2013 | 05/20/2013 | 1,094.71 | 1,105.44 | | (10.73) |
| Wash sale 60 day(s) added to holding period | | | | | | | | |
| SALE DATE TOTAL | | 352.687 | VARIOUS | 05/20/2013 | 3,960.67 | 3,971.41 | | (10.73) |

Private Bank



Account Number: C93-015599

Recipient's Identification
Number: 23-70242642013 TAX and
YEAR-END STATEMENT
As of 02/11/2014
2013 Form 1099-B: Proceeds From Broker and Barter Exchange Transactions OMB No. 1545-0715 (Continued)
 (For individuals report details on Form 1040 Schedule D Line 1b, 2, 8b or 9)

| Disposition Transaction | Disposition Method | Quantity (Box 1e) | Date of Acquisition (Box 1b) | Date of Sale or Exchange (Box 1a) | Gross Proceeds Less Commissions and Option Premiums (Box 2a) | Cost or Other Basis (Box 3) | Adjustments W=Wash Sale Loss (Box 5) O=Option Premium | Realized Gain or Loss |
|--|--------------------|----------------------|------------------------------------|--|---|--------------------------------------|--|-----------------------------|
| Short-Term Transactions for Which Basis Is Reported to the IRS - Report on Form 8949, Part I, with Box A checked. | | | | | | | | |
| Covered (Box 6b) (continued) | | | | | | | | |
| Description (Box 8): PIMCO TOTAL RETURN F UND CLASS P | | | CUSIP: 72201M552 (continued) | | | | | |
| SELL | FIRST IN FIRST OUT | 23.970 | 04/29/2013 | 07/01/2013 | 258.16 | 271.82 | | (13.66) |
| Wash sale: 60 day(s) added to holding period | | | | | | | | |
| SECURITY TOTAL | | | | | 4,951.97 | 4,971.83 | | (19.85) |
| Description (Box 8): PIMCO FOREIGN BOND F UND (USD-HEDGED) CLA SS P | | | CUSIP: 72201M784 | | | | | |
| SELL | FIRST IN FIRST OUT | 13.252 | 03/21/2013 | 07/01/2013 | 139.28 | 143.78 | | (4.50) |
| SELL | FIRST IN FIRST OUT | 21.017 | 04/29/2013 | 07/01/2013 | 220.89 | 230.35 | | (9.46) |
| SALE DATE TOTAL | | 34.269 | VARIOUS | 07/01/2013 | 360.17 | 374.13 | | (13.96) |
| Description (Box 8): TEMPLETON GLOBAL BON D FUND ADVISOR CLASS | | | CUSIP: 880208400 | | | | | |
| SELL | FIRST IN FIRST OUT | 43.182 | 09/25/2012 | 02/01/2013 | 577.35 | 574.75 | | 2.60 |
| SELL | FIRST IN FIRST OUT | 10.748 | 09/25/2012 | 03/21/2013 | 143.81 | 143.06 | | 0.75 |
| SELL | FIRST IN FIRST OUT | 7.907 | 09/25/2012 | 07/01/2013 | 102.40 | 105.24 | | (2.84) |
| SELL | FIRST IN FIRST OUT | 198 | 10/16/2012 | 07/01/2013 | 2.56 | 2.65 | | (0.09) |
| SELL | FIRST IN FIRST OUT | 199 | 11/16/2012 | 07/01/2013 | 2.58 | 2.66 | | (0.08) |
| SELL | FIRST IN FIRST OUT | 008 | 12/18/2012 | 07/01/2013 | 0.10 | 0.11 | | (0.01) |
| SELL | FIRST IN FIRST OUT | 1.212 | 12/18/2012 | 07/01/2013 | 15.70 | 16.00 | | (0.30) |
| SELL | FIRST IN FIRST OUT | .801 | 12/18/2012 | 07/01/2013 | 10.37 | 10.57 | | (0.20) |
| SELL | FIRST IN FIRST OUT | 205 | 01/16/2013 | 07/01/2013 | 2.65 | 2.75 | | (0.10) |

Account Number: C93-015599

Recipient's Identification
Number 23-7024264

**2013 TAX and
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As of 02/11/2014

2013 Form 1099-B Proceeds From Broker and Barter Exchange Transactions OMB No. 1545-0715 (Continued)
(For individuals report details on Form 1040 Schedule D Line 1b, 2, 8b or 9)

| Disposition Transaction | Disposition Method | Quantity (Box 1e) | Date of Acquisition (Box 1b) | Date of Sale or Exchange (Box 1a) | Gross Proceeds Less Commissions and Option Premiums (Box 2a) | Cost or Other Basis (Box 3) | Adjustments W=Wash Sale Loss (Box 5) O=Option Premium | Realized Gain or Loss |
|--|--------------------|----------------------|------------------------------------|--|---|--------------------------------------|--|-----------------------------|
| Short-Term Transactions for Which Basis Is Reported to the IRS - Report on Form 8949, Part I, with Box A checked. | | | | | | | | |
| Covered (Box 6b) (continued) | | | | | | | | |
| Description (Box 8): TEMPLETON GLOBAL BON D FUND ADVISOR CLASS | | | CUSIP: 880208400 (continued) | | | | | |
| SELL | FIRST IN FIRST OUT | .068 | 02/19/2013 | 07/01/2013 | 0.88 | 0.91 | | (0.03) |
| SELL | FIRST IN FIRST OUT | .068 | 03/18/2013 | 07/01/2013 | 0.88 | 0.92 | | (0.04) |
| SELL | FIRST IN FIRST OUT | .034 | 04/16/2013 | 07/01/2013 | 0.44 | 0.46 | | (0.02) |
| SELL | FIRST IN FIRST OUT | 5.676 | 04/29/2013 | 07/01/2013 | 73.51 | 77.19 | | (3.68) |
| SALE DATE TOTAL | | 16.376 | VARIOUS | 07/01/2013 | 212.07 | 219.46 | | (7.39) |
| SECURITY TOTAL | | | | | 933.23 | 937.27 | | (4.04) |
| Description (Box 8): THORNBURG INTERNATIONAL VALUE FUND CLASS I | | | CUSIP: 885215566 | | | | | |
| SELL | FIRST IN FIRST OUT | 6.254 | 09/25/2012 | 02/01/2013 | 185.31 | 168.86 | | 16.45 |
| Description (Box 8): TOUCHSTONE MID CAP VALUE FUND CLASS Y | | | CUSIP: 89155H371 | | | | | |
| SELL | FIRST IN FIRST OUT | 1.450 | 09/25/2012 | 04/05/2013 | 21.29 | 18.91 | | 2.38 |
| SELL | FIRST IN FIRST OUT | 40.628 | 09/25/2012 | 05/20/2013 | 640.70 | 529.79 | | 110.91 |
| SELL | FIRST IN FIRST OUT | .086 | 09/28/2012 | 05/20/2013 | 1.36 | 1.12 | | 0.24 |
| SELL | FIRST IN FIRST OUT | .159 | 12/07/2012 | 05/20/2013 | 2.51 | 2.07 | | 0.44 |
| SELL | FIRST IN FIRST OUT | .323 | 12/07/2012 | 05/20/2013 | 5.09 | 4.19 | | 0.90 |
| SELL | FIRST IN FIRST OUT | .137 | 12/28/2012 | 05/20/2013 | 2.16 | 1.80 | | 0.36 |
| SELL | FIRST IN FIRST OUT | 17.372 | 02/01/2013 | 05/20/2013 | 273.96 | 247.20 | | 26.76 |
| SELL | FIRST IN FIRST OUT | 117.071 | 04/29/2013 | 05/20/2013 | 1,846.21 | 1,757.23 | | 88.98 |

Private Bank



Account Number: C93-015599

Recipient's Identification
Number 23-70242642013 TAX and
YEAR-END STATEMENT
As of 02/11/2014
2013 Form 1099-B Proceeds From Broker and Barter Exchange Transactions OMB No: 1545-0715 (Continued)
 (For individuals report details on Form 1040 Schedule D Line 1b, 2, 8b or 9)

| Disposition Transaction | Disposition Method | Quantity (Box 1e) | Date of Acquisition (Box 1b) | Date of Sale or Exchange (Box 1a) | Gross Proceeds Less Commissions and Option Premiums (Box 2a) | Cost or Other Basis (Box 3) | Adjustments W=Wash Sale Loss (Box 5) O=Option Premium | Realized Gain or Loss |
|--|--------------------|----------------------|------------------------------------|--|---|--------------------------------------|--|-----------------------------|
| Short-Term Transactions for Which Basis Is Reported to the IRS - Report on Form 8949, Part I, with Box A checked. | | | | | | | | |
| Covered (Box 6b) (continued) | | | | | | | | |
| Description (Box 8): TOUCHSTONE MID CAP V VALUE FUND CLASS Y | | | | | CUSIP: 89155H371 (continued) | | | |
| SALE DATE TOTAL | | 175.776 | VARIOUS | 05/20/2013 | 2,771.99 | 2,543.40 | | 228.59 |
| SECURITY TOTAL | | | | | 2,793.28 | 2,562.31 | | 230.97 |
| Short-Term Covered Total | | | | | 47,655.96 | 45,822.38 | | 1,862.62 |
| Long-Term Transactions for Which Basis Is Reported to the IRS - Report on Form 8949, Part II, with Box D checked. | | | | | | | | |
| Covered (Box 6b) | | | | | | | | |
| Description (Box 8): JP MORGAN DYNAMIC SM ALL-CAP GROWTH FUND SELECT CLASS | | | | | CUSIP: 4812A1514 | | | |
| SELL | FIRST IN FIRST OUT | 10.018 | 09/25/2012 | 11/12/2013 | 282.51 | 215.48 | | 67.03 |
| Description (Box 8): THORNBURG INTERNATIONAL VALUE FUND CLASS I | | | | | CUSIP: 885215566 | | | |
| SELL | FIRST IN FIRST OUT | 9.711 | 09/25/2012 | 11/12/2013 | 298.60 | 262.20 | | 36.40 |
| Long-Term Covered Total | | | | | 581.11 | 477.68 | | 103.43 |
| Covered Total | | | | | 48,237.07 | 46,300.06 | | 1,966.05 |
| Total | | | | | 48,237.07 | 46,300.06 | | 1,966.05 |

IRS Form 1099-B - Proceeds from Broker and Barter Exchange Transactions

The amounts in this section of your Tax Information Statement reflect proceeds from securities transactions such as sales, redemptions, tender offers, return of principal distributions, the option premium portion of reverse convertibles and bond maturities. Short term and long-term transactions are segregated in your 1099-B form in a format comparable to IRS Form 8949 for dispositions of covered and noncovered securities. Since your financial organization subscribes to our premium Tax and Year-End Statement, the date of acquisition, cost or other basis, type of gain or loss (long-term or short-term) and whether any loss is disallowed due to a wash sale for both covered and noncovered securities transactions will be displayed when available. Please note that such detail for noncovered transactions is not reported to the IRS.

Type of Gain or Loss (Box 1c). The section headings within the 1099-B indicate the type of gain or (loss) for the transactions, short-term or long-term.

Covered (C) or Noncovered (N) Security (Box 6). The section headings within the 1099-B indicate whether your security transaction is or is not a covered security under the IRS cost basis reporting program.

Description (Box 8). Shows a brief description of the item or service for which the proceeds are being reported.

CUSIP. Broker transactions may show the Committee on Uniform Security Identification Procedures (CUSIP) number of the item reported.

Seq # (C93 105184)

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CPB-TAX

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Accounts earned by Pershing LLC
member FINRA, NYSE, SIPC

Account Number: C92-033882

Recipient's Identification
Number 23-7024264

**2013 TAX and
YEAR-END STATEMENT**
As of 03/06/2014

IMPORTANT MESSAGE: We send tax statements when information is finalized by securities issuers. If information is pending from issuers, you and members of your household may receive tax statement(s) at different times. Tax statement mailings will occur by January 31, February 18, February 28 and March 17, depending on when final information for your account is received from issuers. If you have any questions, please visit mytaxhandbook.com.

This section is being provided for informational purposes only. The information in this section will not be furnished to the Internal Revenue Service.

2013 Form 1099-B Proceeds From Broker and Barter Exchange Transactions OMB No. 1545-0715

(For individuals report details on Form 1040 Schedule D Line 1b, 2, 8b or 9)

This section is being provided for informational purposes only. The information in this section will not be furnished to the Internal Revenue Service.
Note for Exempt S Corporations Only: 1099-B records for covered transactions are reported to the IRS.

| Disposition Transaction | Disposition Method | Quantity (Box 1e) | Date of Acquisition (Box 1b) | Date of Sale or Exchange (Box 1a) | Gross Proceeds Less Commissions and Option Premiums (Box 2a) | Cost or Other Basis (Box 3) | Adjustments W=Wash Sale Loss (Box 5) O=Option Premium | Realized Gain or (Loss) |
|--|--------------------|----------------------|------------------------------------|--|---|--------------------------------------|--|-------------------------------|
| Long-Term Transactions for Which Basis Is Not Reported to the IRS - Report on Form 8949, Part II, with Box E checked. | | | | | | | | |
| Noncovered (Box 6a) | | | | | | | | |
| Description (Box 8): CAPITAL ONE FINL COR P COM | | | CUSIP: 14040H105 | | | | | |
| SELL | FIRST IN FIRST OUT | 2 | 05/01/2003 | 04/23/2013 | 91.47 | 121.66 | | (30.19) |
| Description (Box 8): CITIGROUP INC COM NE W ISIN#US1729674242 | | | CUSIP: 172967424 | | | | | |
| SELL | FIRST IN FIRST OUT | 30 | 12/15/1998 | 04/23/2013 | 1,353.66 | 6,955.98 | | (5,602.32) |
| Description (Box 8): GENERAL ELECTRIC CO COM | | | CUSIP: 369604103 | | | | | |
| SELL | FIRST IN FIRST OUT | 100 | 08/19/2003 | 04/23/2013 | 2,111.26 | 3,011.06 | | (899.80) |
| Description (Box 8): GOLDMAN SACHS GROUP INC COM | | | CUSIP: 38141G104 | | | | | |
| SELL | FIRST IN FIRST OUT | 75 | 05/04/2000 | 04/23/2013 | 10,672.51 | 7,087.15 | | 3,585.36 |
| Description (Box 8): INTERNATIONAL BUSINE SS MACHS CORP COM | | | CUSIP: 459200101 | | | | | |
| SELL | FIRST IN FIRST OUT | 100 | 10/31/2003 | 04/23/2013 | 19,097.19 | 8,991.90 | | 10,105.29 |

Seq # (C92 10397)

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CPB TAX

go paperless
Ask about e-delivery

Accounts earned by Pershing LLC
member FINRA, NYSE, SIPC

Private Bank



Account Number: C92-033882

 Recipient's Identification
 Number: 23-7024264

**2013 TAX and
 YEAR-END STATEMENT**
 As of 03/06/2014

2013 Form 1099-B Proceeds From Broker and Barter Exchange Transactions OMB No. 1545-0715 (continued)
 (For individuals report details on Form 1040 Schedule D Line 1b, 2, 8b or 9)

| Disposition Transaction | Disposition Method | Quantity (Box 1e) | Date of Acquisition (Box 1b) | Date of Sale or Exchange (Box 1a) | Gross Proceeds Less Commissions and Option Premiums (Box 2a) | Cost or Other Basis (Box 3) | Adjustments W=Wash Sale Loss (Box 5) O=Option Premium | Realized Gain or Loss |
|--|--------------------|----------------------|------------------------------------|--|---|--------------------------------------|--|-----------------------------|
| Long-Term Transactions for Which Basis Is Not Reported to the IRS - Report on Form 8949, Part II, with Box E checked. | | | | | | | | |
| Noncovered (Box 6a) (continued) | | | | | | | | |
| Description (Box 8): ELI LILLY & CO COM | | | | | CUSIP: 532457108 | | | |
| SELL | FIRST IN FIRST OUT | 125 | 08/13/2001 | 04/23/2013 | 7,230.47 | 10,038.12 | | (2,807.65) |
| Description (Box 8): SCHLUMBERGER LTD COM ISIN#AN8068571086 | | | | | CUSIP: 806857108 | | | |
| SELL | FIRST IN FIRST OUT | 236 | 06/19/1998 | 04/23/2013 | 16,885.04 | 6,761.93 | | 10,123.11 |
| Description (Box 8): WELLS FARGO & CO NEW COM | | | | | CUSIP: 949746101 | | | |
| SELL | FIRST IN FIRST OUT | 19 | 05/04/2000 | 04/23/2013 | 683.31 | 3,142.19 | | (2,458.88) |
| Long-Term Noncovered Total | | | | | 58,124.91 | 46,109.99 | | 12,014.92 |
| Noncovered Total | | | | | 58,124.91 | 46,109.99 | | 12,014.92 |
| Total | | | | | 58,124.91 | 46,109.99 | | 12,014.92 |

IRS Form 1099-B - Proceeds from Broker and Barter Exchange Transactions

The amounts in this section of your Tax Information Statement reflect proceeds from securities transactions such as sales, redemptions, tender offers, return of principal distributions, the option premium portion of reverse convertibles and bond maturities. Short-term and long-term transactions are segregated in your 1099-B form in a format comparable to IRS Form 8949, for dispositions of covered and noncovered securities. Since your financial organization subscribes to our premium Tax and Year-End Statement, the date of acquisition, cost or other basis, type of gain or loss (long-term or short-term) and whether any loss is disallowed due to a wash sale for both covered and noncovered securities transactions will be displayed when available. Please note that such detail for noncovered transactions is not reported to the IRS.

Type of Gain or Loss (Box 1c). The section headings within the 1099-B indicate the type of gain or (loss) for the transactions, short-term or long-term.

Covered (b) or Noncovered (a) Security (Box 6). The section headings within the 1099-B indicate whether your security transaction is or is not a covered security under the IRS cost basis reporting program.

Description (Box 8). Shows a brief description of the item or service for which the proceeds are being reported.

CUSIP. Broker transactions may show the Committee on Uniform Security Identification Procedures (CUSIP) number of the item reported.

Disposition Transaction. This column will denote the type of transaction, for example "SELL."

Disposition Method. The method used to select the lot will be displayed as, for example, first-in first-out (FIFO). Please refer to the Client Service Information Section in your brokerage account statement for your account's existing tax lot disposition method.

Quantity (Box 1e). The number of shares included in the sale or exchange for the lot reported. If fractional shares are part of the disposition, those shares will be displayed to three decimal places.

Date of Acquisition (Box 1b). This box represents the date you acquired the security or, for short sales, the date you opened the short sale. You may see the word "VARIOUS" displayed in this column if the disposition transaction includes multiple lots with various acquisition dates.

Date of Sale or Exchange (Box 1a). This box shows the trade date of the sale or exchange. For short sales, the date shown is the date you closed the short sale.

FORM 990-PF INTEREST ON SAVINGS AND TEMPORARY CASH INVESTMENTS STATEMENT 1

| SOURCE | (A) REVENUE PER BOOKS | (B) NET INVESTMENT INCOME | (C) ADJUSTED NET INCOME |
|-------------------------|-----------------------------|---------------------------------|-------------------------------|
| CITIBANK IMMA | 8. | 8. | |
| TOTAL TO PART I, LINE 3 | 8. | 8. | |

FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 2

| SOURCE | GROSS AMOUNT | CAPITAL GAINS DIVIDENDS | (A) REVENUE PER BOOKS | (B) NET INVEST- MENT INCOME | (C) ADJUSTED NET INCOME |
|-------------------|-----------------|-------------------------------|-----------------------------|-----------------------------------|-------------------------------|
| PERSHING LLC | 1,809. | 0. | 1,809. | 1,809. | |
| TO PART I, LINE 4 | 1,809. | 0. | 1,809. | 1,809. | |

FORM 990-PF OTHER INCOME STATEMENT 3

| DESCRIPTION | (A) REVENUE PER BOOKS | (B) NET INVEST- MENT INCOME | (C) ADJUSTED NET INCOME |
|---------------------------------------|-----------------------------|-----------------------------------|-------------------------------|
| OTHER INCOME | 838. | 838. | |
| TOTAL TO FORM 990-PF, PART I, LINE 11 | 838. | 838. | |

FORM 990-PF ACCOUNTING FEES STATEMENT 4

| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST- MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|------------------------------|------------------------------|-----------------------------------|-------------------------------|-------------------------------|
| ADELMAN KATZ & MOND LLP | 1,288. | 0. | | 0. |
| TO FORM 990-PF, PG 1, LN 16B | 1,288. | 0. | | 0. |

| | | | |
|-------------|----------------|-----------|---|
| FORM 990-PF | OTHER EXPENSES | STATEMENT | 5 |
|-------------|----------------|-----------|---|

| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST- MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|-----------------------------|------------------------------|-----------------------------------|-------------------------------|-------------------------------|
| NEW YORK STATE FILING FEE | 50. | 0. | | 0. |
| OFFICE EXPENSES | 2,500. | 0. | | 0. |
| INVESTMENT EXPENSES | 759. | 0. | | 0. |
| TO FORM 990-PF, PG 1, LN 23 | 3,309. | 0. | | 0. |

| | | | |
|-------------|-----------------|-----------|---|
| FORM 990-PF | CORPORATE STOCK | STATEMENT | 6 |
|-------------|-----------------|-----------|---|

| DESCRIPTION | BOOK VALUE | FAIR MARKET VALUE |
|---|------------|----------------------|
| COMMON STOCKS | 86,869. | 90,530. |
| TOTAL TO FORM 990-PF, PART II, LINE 10B | 86,869. | 90,530. |

| | | | |
|-------------|---|-----------|---|
| FORM 990-PF | LIST OF SUBSTANTIAL CONTRIBUTORS PART VII-A, LINE 10 | STATEMENT | 7 |
|-------------|---|-----------|---|

| NAME OF CONTRIBUTOR | ADDRESS |
|---------------------|--|
| PAUL EPSTEIN | C/O ARTSMART PO BOX 237031 NEW YORK, NY 10023 |
| GARRY PARTON | C/O ARTSMART PO BOX 237031 NEW YORK, NY 10023 |

| | | | |
|-------------|--|-----------|---|
| FORM 990-PF | PART XV - LINE 1A LIST OF FOUNDATION MANAGERS | STATEMENT | 8 |
|-------------|--|-----------|---|

| NAME OF MANAGER |
|---------------------|
| PAUL H. EPSTEIN |
| GARRY I. PARTON |
| HENRY J. LIEBOWITZ |
| JEFFREY A. HOROWITZ |