Form **990-PF**

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

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

▶ Do not enter Social Security numbers on this form as it may be made public.

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

OMB No 1545-0052

2013

Open to Public Inspection

For calendar year 2013 or tax year beginning , 2013, and ending , 20

Name of foundation: HAWK ROCK FOUNDATION

A Employer identification number: 26-1518305

Number and street (or P O box number if mail is not delivered to street address): 22/F, TAI YAU BUILDING, 181 JOHNSTON ROAD

Room/suite:

B Telephone number (see instructions): ( ) -

City or town, state or province, country, and ZIP or foreign postal code: WANCHAI HONG KONG

C If exemption application is pending, check here ▶ ☐

D 1 Foreign organizations, check here ▶ ☐

2 Foreign organizations meeting the 85% test, check here and attach computation ▶ ☐

E If private foundation status was terminated under section 507(b)(1)(A), check here ▶ ☐

F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ▶ ☐

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

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

I Fair market value of all assets at end of year *(from Part II, col (c), line 16)* ▶ $ 13,193,421.

J Accounting method: ☐ Cash ☒ Accrual ☐ Other (specify) ____________________ *(Part I, column (d) must be on cash basis.)*

Part I **Analysis of Revenue and Expenses** *(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions))*

			(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1	Contributions, gifts, grants, etc , received (attach schedule)	20,275.			
	2	Check ▶ ☐ if the foundation is not required to attach Sch B				
	3	Interest on savings and temporary cash investments				
	4	Dividends and interest from securities	193,816.	193,816.		ATCH 1
	5a	Gross rents				
	b	Net rental income or (loss)				
	6a	Net gain or (loss) from sale of assets not on line 10	743,171.			
	b	Gross sales price for all assets on line 6a 2,424,872.				
	7	Capital gain net income (from Part IV, line 2)		743,171.		
	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) (attach schedule)				
	11	Other income (attach schedule)				
	12	**Total** Add lines 1 through 11	957,262.	936,987.		
Operating and Administrative Expenses	13	Compensation of officers, directors, trustees, etc	0			
	14	Other employee salaries and wages				
	15	Pension plans, employee benefits				
	16a	Legal fees (attach schedule) ATCH 2	5,712.			
	b	Accounting fees (attach schedule) ATCH 3	3,596.			
	c	Other professional fees (attach schedule)				
	17	Interest				
	18	Taxes (attach schedule) (see instructions)				
	19	Depreciation (attach schedule) and depletion				
	20	Occupancy				
	21	Travel, conferences, and meetings				
	22	Printing and publications				
	23	Other expenses (attach schedule) ATCH	88,645.	88,645.		
	24	**Total operating and administrative expenses.** Add lines 13 through 23	97,953.	88,645.		
	25	Contributions, gifts, grants paid	740,000.			740,000.
	26	Total expenses and disbursements Add lines 24 and 25	837,953.	88,645.	0	740,000.
	27	Subtract line 26 from line 12				
	a	Excess of revenue over expenses and disbursements	119,309.			
	b	**Net investment income** (if negative, enter -0-)		848,342.		
	c	**Adjusted net income** (if negative, enter -0-)				

JSA **For Paperwork Reduction Act Notice, see instructions**
3E1410 1 000

Part II Balance Sheets

		Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)	Beginning of year	End of year	
			(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash - non-interest-bearing			
	2	Savings and temporary cash investments	1,076,971.	2,194,210.	2,194,210.
	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			
	10 a	Investments - U S and state government obligations (attach schedule)			
	b	Investments - corporate stock (attach schedule) ATCH 5	10,308,790.	9,900,860.	10,999,211.
	c	Investments - corporate bonds (attach schedule)			
	11	Investments - land, buildings, and equipment basis ▶ Less accumulated depreciation (attach schedule) ▶			
	12	Investments - mortgage loans			
	13	Investments - other (attach schedule)			
	14	Land, buildings, and equipment basis ▶ Less accumulated depreciation (attach schedule) ▶			
	15	Other assets (describe ▶)			
	16	**Total assets** (to be completed by all filers - see the instructions Also, see page 1, item I)	11,385,761.	12,095,070.	13,193,421.
Liabilities	17	Accounts payable and accrued expenses			
	18	Grants payable	150,000.	740,000.	
	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)	150,000.	740,000.	
Net Assets or Fund Balances		**Foundations that follow SFAS 117, check here** ▶ ☐ **and complete lines 24 through 26 and lines 30 and 31.**			
	24	Unrestricted			
	25	Temporarily restricted			
	26	Permanently restricted			
		Foundations that do not follow SFAS 117, ▶ ☒ **check here and complete lines 27 through 31.**			
	27	Capital stock, trust principal, or current funds			
	28	Paid-in or capital surplus, or land, bldg , and equipment fund			
	29	Retained earnings, accumulated income, endowment, or other funds	11,235,761.	11,355,070.	
	30	**Total net assets or fund balances** (see instructions)	11,235,761.	11,355,070.	
	31	**Total liabilities and net assets/fund balances** (see instructions)	11,385,761.	12,095,070.	

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	11,235,761.
2	Enter amount from Part I, line 27a	2	119,309.
3	Other increases not included in line 2 (itemize) ▶	3	
4	Add lines 1, 2, and 3	4	11,355,070.
5	Decreases not included in line 2 (itemize) ▶	5	
6	Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	11,355,070.

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 PART IV SCHEDULE			
b				
c				
d				
e				

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

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

	(i) 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				
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 } 2 743,171.

3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6). If gain, also enter in Part I, line 8, column (c) (see instructions). If (loss), enter -0- in Part I, line 8 . . . } 3 0

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

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

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	637,117.	9,133,097.	0.069759
2011	328,827.	5,029,089.	0.065385
2010	255,174.	4,203,848.	0.060700
2009	267,391.	2,318,106.	0.115349
2008	74,854.	1,263,865.	0.059226

2	**Total** of line 1, column (d)	2	0.370419
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	0.074084
4	Enter the net value of noncharitable-use assets for 2013 from Part X, line 5	4	12,302,658.
5	Multiply line 4 by line 3	5	911,430.
6	Enter 1% of net investment income (1% of Part I, line 27b)	6	8,483.
7	Add lines 5 and 6	7	919,913.
8	Enter qualifying distributions from Part XII, line 4	8	740,000.

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 ▶ ☐ and enter "N/A" on line 1 . . . Date of ruling or determination letter _______________ (attach copy of letter if necessary - see instructions)				
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ ☐ and enter 1% of Part I, line 27b			1	16,967.
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	16,967.
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	16,967.
6	Credits/Payments				
a	2013 estimated tax payments and 2012 overpayment credited to 2013	6a	9,552.		
b	Exempt foreign organizations - tax withheld at source	6b			
c	Tax paid with application for extension of time to file (Form 8868)	6c	16,000.		
d	Backup withholding erroneously withheld	6d			
7	Total credits and payments Add lines 6a through 6d			7	25,552.
8	Enter any **penalty** for underpayment of estimated tax Check here ☐ if Form 2220 is attached			8	170.
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	8,415.
11	Enter the amount of line 10 to be **Credited to 2014 estimated tax** ▶ 8,415. **Refunded** ▶			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?	1a		X
b	Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see Instructions for the definition)?	1b		X
	*If the answer is "Yes" to **1a** or **1b**, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities*			
c	Did the foundation file **Form 1120-POL** for this year?	1c		X
d	Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year (1) On the foundation ▶ $ ____________ (2) On foundation managers ▶ $ ____________			
e	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ▶ $ ____________			
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*	2		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*	3		X
4a	Did the foundation have unrelated business gross income of $1,000 or more during the year?	4a		X
b	If "Yes," has it filed a tax return on **Form 990-T** for this year?	4b	N/	A
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year? . . . . *If "Yes," attach the statement required by General Instruction T*	5		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?	6	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*	7	X	
8a	Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ DE,			
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.*	8b	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*	9		X
10	Did any persons become substantial contributors during the tax year? *If "Yes," attach a schedule listing their names and addresses* . . . . . . ATCH 6	10	X	

Part VII-A Statements Regarding Activities *(continued)*

11 At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)	11		X
12 Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		X
13 Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	X	

Website address ▶ N/A

14 The books are in care of ▶ EAST ASIA SENTINEL TAX SVC LTD Telephone no ▶ 852-28101018

Located at ▶ ATTACHMENT 7 ZIP+4 ▶

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

		Yes	No
16 At any time during calendar year 2013, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country?	16		X
See the instructions for exceptions and filing requirements for Form TD F 90-22 1 If "Yes," enter the name of the foreign country ▶			

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

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.		Yes	No
1a During the year did the foundation (either directly or indirectly)			
(1) Engage in the sale or exchange, or leasing of property with a disqualified person? ☐ Yes ☒ No			
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☒ No			
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☐ Yes ☒ No			
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☐ Yes ☒ No			
(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? ☐ Yes ☒ No			
(6) Agree to pay money or property to a government official? (**Exception.** Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days) ☐ Yes ☒ No			
b If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53 4941(d)-3 or in a current notice regarding disaster assistance (see instructions)?	1b	N/A	
Organizations relying on a current notice regarding disaster assistance check here ▶ ☐			
c Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2013?	1c		X
2 Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))			
a At the end of tax year 2013, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2013? ☐ Yes ☒ No			
If "Yes," list the years ▶ , , ,			
b Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see instructions)	2b	N/A	
c If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here ▶ , , ,			
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☐ Yes ☒ No			
b If "Yes," did it have excess business holdings in 2013 as a result of **(1)** any purchase by the foundation or disqualified persons after May 26, 1969, **(2)** the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or **(3)** the lapse of the 10-, 15-, or 20-year first phase holding period? *(Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2013)*	3b	N/A	
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a		X
b Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2013?	4b		X

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

5a During the year did the foundation pay or incur any amount to			
(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? ☐ Yes ☒ No			
(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive? ☐ Yes ☒ No			
(3) Provide a grant to an individual for travel, study, or other similar purposes? ☐ Yes ☒ No			
(4) Provide a grant to an organization other than a charitable, etc, organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? (see instructions) ☐ Yes ☒ No			
(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? ☐ Yes ☒ No			
b If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53 4945 or in a current notice regarding disaster assistance (see instructions)?	**5b**	N/A	
Organizations relying on a current notice regarding disaster assistance check here ▶ ☐			
c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? ☐ 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? *If "Yes" to 6b, file Form 8870*	**6b**		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?	**7b**	N/A	

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
ATCH 8		0	0	0

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

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

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

Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors *(continued)*

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

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

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

Part IX-A Summary of Direct Charitable Activities

List the foundation's four largest direct charitable activities during the tax year Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc	Expenses
1 TO OPERATE EXCLUSIVELY AND TO RECEIVE AND ADMINISTER FUNDS FOR CHARITABLE AND EDUCATIONAL PURPOSES WITHIN THE MEANING OF SECTION 501(C)(3) AND RELATED REGULATIONS AND TO	
2 DISTRIBUTE FUNDS TO SUCH CHARITIES AT SUCH TIMES AND IN SUCH AMOUNTS AS MAY BE DETERMINED BY THE FOUNDATION CONSISTENT WITH THE CODE	
3	
4	

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

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2	Amount
1 NONE	
2	
All other program-related investments See instructions 3 NONE	
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	11,098,120.
b	Average of monthly cash balances			1b	1,391,888.
c	Fair market value of all other assets (see instructions)			1c	
d	**Total** (add lines 1a, b, and c)			1d	12,490,008.
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	12,490,008.
4	Cash deemed held for charitable activities. Enter 1 1/2 % of line 3 (for greater amount, see instructions)			4	187,350.
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3. Enter here and on Part V, line 4			5	12,302,658.
6	**Minimum investment return.** Enter 5% of line 5			6	615,133.

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	615,133.
2a	Tax on investment income for 2013 from Part VI, line 5	2a	16,967.		
b	Income tax for 2013. (This does not include the tax from Part VI.)	2b			
c	Add lines 2a and 2b			2c	16,967.
3	Distributable amount before adjustments Subtract line 2c from line 1			3	598,166.
4	Recoveries of amounts treated as qualifying distributions			4	
5	Add lines 3 and 4			5	598,166.
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	598,166.

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	740,000.
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	740,000.
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	0
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	740,000.

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					598,166.
2	Undistributed income, if any, as of the end of 2013					
a	Enter amount for 2012 only					
b	Total for prior years 20 11 ,20 10 ,20 09					
3	Excess distributions carryover, if any, to 2013					
a	From 2008					
b	From 2009	91,181.				
c	From 2010	46,634.				
d	From 2011	79,719.				
e	From 2012	206,228.				
f	**Total** of lines 3a through e		423,762.			
4	Qualifying distributions for 2013 from Part XII, line 4 ▶ $ 740,000.					
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					598,166.
e	Remaining amount distributed out of corpus		141,834.			
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		565,596.			
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					
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		565,596.			
10	Analysis of line 9					
a	Excess from 2009	91,181.				
b	Excess from 2010	46,634.				
c	Excess from 2011	79,719.				
d	Excess from 2012	206,228.				
e	Excess from 2013	141,834.				

Part XIV Private Operating Foundations (see instructions and Part VII-A, question 9) NOT APPLICABLE

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

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

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

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

1 **Information Regarding Foundation Managers:**

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

STEVEN AND BARBARA WATSON

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*				
ATCH 9				
Total . . . . ▶ 3a				740,000.
b *Approved for future payment*				
Total . . . . ▶ 3b				

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated	Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See instructions)
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	
1 Program service revenue					
a					
b					
c					
d					
e					
f					
g Fees and contracts from government agencies					
2 Membership dues and assessments					
3 Interest on savings and temporary cash investments					
4 Dividends and interest from securities					193,816.
5 Net rental income or (loss) from real estate					
a Debt-financed property					
b Not debt-financed property					
6 Net rental income or (loss) from personal property					
7 Other investment income					
8 Gain or (loss) from sales of assets other than inventory					743,171.
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)					936,987.

13 Total. Add line 12, columns (b), (d), and (e) . . . 13 936,987.

(See worksheet in line 13 instructions to verify calculations)

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

Line No. ▼	Explain below how each activity for which income is reported in column (e) of Part XVI-A contributed importantly to the accomplishment of the foundation's exempt purposes (other than by providing funds for such purposes). (See instructions)

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

			Yes	No
1	Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?			
a	Transfers from the reporting foundation to a noncharitable exempt organization of.			
	(1) Cash	1a(1)		X
	(2) Other assets	1a(2)		X
b	Other transactions:			
	(1) Sales of assets to a noncharitable exempt organization	1b(1)		X
	(2) Purchases of assets from a noncharitable exempt organization	1b(2)		X
	(3) Rental of facilities, equipment, or other assets	1b(3)		X
	(4) Reimbursement arrangements	1b(4)		X
	(5) Loans or loan guarantees	1b(5)		X
	(6) Performance of services or membership or fundraising solicitations	1b(6)		X
c	Sharing of facilities, equipment, mailing lists, other assets, or paid employees	1c		X

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

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

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) is based on all information of which preparer has any knowledge.

▶ Signature of officer or trustee | Date 15 Aug 14 | ▶ Title Director

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

Paid Preparer Use Only

Print/Type preparer's name	Preparer's signature	Date	Check ☐ if self-employed	PTIN
NILAR T CHAN		8/11/2014		P00382081

Firm's name ▶ EAST ASIA SENTINEL TAX SVC LTD

Firm's EIN ▶ 98-0577907

Firm's address ▶ 22/F, TAI YAU BLDG, 181 JOHNSTON RD
WANCHAI, HK

Phone no 852 28101018

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	**Employer identification number**
HAWK ROCK FOUNDATION	26-1518305

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)

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 HAWK ROCK FOUNDATION

Employer identification number 26-1518305

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	STEVEN & BARBARA WATSON C/O 22/F, TAI YAU BLDG, 181 JOHNSTON RD. WANCHAI, HONG KONG	$ 20,275.	Person ☒ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
		$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
		$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
		$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
		$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
		$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)

Name of organization	Employer identification number
HAWK ROCK FOUNDATION	26-1518305

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

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
----		$	
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
----		$	
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
----		$	
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
----		$	
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
----		$	
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
----		$	

Name of organization HAWK ROCK FOUNDATION

Employer identification number 26-1518305

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

(e) Transfer of gift

Transferee's name, address, and ZIP + 4	Relationship of transferor to transferee

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held

(e) Transfer of gift

Transferee's name, address, and ZIP + 4	Relationship of transferor to transferee

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held

(e) Transfer of gift

Transferee's name, address, and ZIP + 4	Relationship of transferor to transferee

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held

(e) Transfer of gift

Transferee's name, address, and ZIP + 4	Relationship of transferor to transferee

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		TOTAL CAPITAL GAIN DISTRIBUTIONS					40,932.	
		SEE ATTACHMENT I					VARIOUS	VARIOUS
156,408.		162,996.					-6,588.	
		SEE ATTACHMENT I					VARIOUS	VARIOUS
2,227,532.		1,518,705.					708,827.	
TOTAL GAIN(LOSS)							743,171.	

ATTACHMENT 1

FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES

DESCRIPTION		REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
CAPITAL GUARDIAN		193,816.	193,816.
	TOTAL	193,816.	193,816.

ATTACHMENT 2

FORM 990PF, PART I - LEGAL FEES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME	ADJUSTED NET INCOME	CHARITABLE PURPOSES
LEGAL FEES	5,712.			
TOTALS	5,712.			

FORM 990PF, PART I - ACCOUNTING FEES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME	ADJUSTED NET INCOME	CHARITABLE PURPOSES
TAX PREPARATION FEES	3,596.			
TOTALS	3,596.			

ATTACHMENT 4

FORM 990PF, PART I - OTHER EXPENSES

DESCRIPTION		REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
BANK CHARGES		86,497.	86,497.
OTHER EXPENSES		2,148.	2,148.
	TOTALS	88,645.	88,645.

ATTACHMENT 5

FORM 990PF, PART II - CORPORATE STOCK

DESCRIPTION	ENDING BOOK VALUE	ENDING FMV
VIETNAM ENTERPRISE INVEST. LTD	754,958.	347,873.
VIETNAM GROWTH FUND	709,324.	436,994.
CAPITAL GUARDIAN	8,436,578.	10,214,344.
TOTALS	9,900,860.	10,999,211.

FORM 990PF, PART VII-A, LINE 10 - NEW SUBSTANTIAL CONTRIBUTORS

ATTACHMENT 6

NAME AND ADDRESS

STEVEN & BARBARA WATSON
C/O 22/F, TAI YAU BLDG, 181 JOHNSTON RD.
WANCHAI, HONG KONG

ATTACHMENT 7

FORM 990PF, PART VII-A, LINE 14 - LOCATION OF BOOKS

22/F, TAI YAU BLDG, 181 JOHNSTON RD WANCHAI
HONG KONG

FORM 990PF, PART VIII - LIST OF OFFICERS, DIRECTORS, AND TRUSTEES

ATTACHMENT 8

NAME AND ADDRESS	TITLE AND AVERAGE HOURS PER WEEK DEVOTED TO POSITION	COMPENSATION	CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS	EXPENSE ACCT AND OTHER ALLOWANCES
BARBARA WATSON 22/F, TAI YAU BLDG, 181 JOHNSTON RD WANCHAI HONG KONG	DIRECTOR 2.00	0	0	0
KATHARINE G WATSON 2365 GARFIELD ROAD HYDE PARK, VT 05655	DIRECTOR .50	0	0	0
WILLIAM W WATSON 1625 N KILLINGSWORTH ST PORTLAND, OR 97217	DIRECTOR .50	0	0	0
CHARLES P WATSON 22/F, TAI YAU BLDG, 181 JOHNSTON RD WANCHAI HONG KONG	VICE PRESIDENT .50	0	0	0
STEVEN T. WATSON 22/F, TAI YAU BLDG, 181 JOHNSTON RD WANCHAI HONG KONG	DIRECTOR 2.00	0	0	0
	GRAND TOTALS	0	0	0

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 9

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
FOLK ARTS RAJASTHAN 314 E 84TH ST. #11 NEW YORK, NY 10028	UNRELATED 501 (C)(3)	FURTHER THE CHARITY ACTIVITY	30,000.
LEARNING ALLY 20 ROSZEL ROAD PRINCETON, NJ 08540	UNRELATED 501 (C)(3)	FURTHER THE CHARITY ACTIVITY	30,000.
HALF THE SKY FOUNDATION 715 HEARST AVENUE, SUITE 200 BERKELEY, CA 94710	UNRELATED 501 (C)(3)	FURTHER THE CHARITY ACTIVITY	100,000.
ACCION INTERNATIONAL 56 ROLAND STREET, SUITE 300 BOSTON, MA 02129	UNRELATED 501 (C)(3)	FURTHER THE CHARITY ACTIVITY	150,000.
THE BROWN LEDGE FOUNDATION, INC. 25 WILSON STREET BURLINGTON, VT 05401-3352	UNRELATED 501 (C)(3)	FURTHER THE CHARITY ACTIVITY	30,000.
FRIENDS OF HONG KONG CHARITIES, INC. 21/F,SUNSHINE PLAZA,353 LOCKHART RD WANCHAI HONG KONG	UNRELATED 501 (C)(3)	FURTHER THE CHARITY ACTIVITY	30,000.

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 9 (CONT'D)

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
FREE GEEK COMMUNITY TECHNOLOGY CENTER 1731 SE 10TH AVE. PORTLAND, OR 97214	UNRELATED 501 (C)(3)	FURTHER THE CHARITY ACTIVITY	30,000.
NEW ENGLAND HISTORICAL GENEALOGICAL SOCIETY 101 NEWBURY ST. BOSTON, MA 02116	UNRELATED 501 (C)(3)	FURTHER THE CHARITY ACTIVITY	30,000.
NEW YORK GENEALOGICAL & BIOGRAPHICAL SOCIETY 36 W 44TH ST., 7TH FLOOR NEW YORK, NY 10036-8105	UNRELATED 501 (C)(3)	FURTHER THE CHARITY ACTIVITY	30,000.
KENYON COLLEGE 106 COLLEGE PARK DRIVE GAMBIER, OH 43022	UNRELATED 501 (C)(3)	FURTHER THE CHARITY ACTIVITY	30,000.
MEALS ON WHEELS OF LAMOILLE COUNTY PO BOX 1427, 24 UPPER MAIN STREET MORRISVILLE, VT 05661	UNRELATED 501 (C)(3)	FURTHER THE CHARITY ACTIVITY	30,000.
LEWIS & CLARK 0615 S.W. PALATINE HILL ROAD PORTLAND, OR 97219	UNRELATED 501 (C)(3)	FURTHER THE CHARITY ACTIVITY	30,000.

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
THE TEXTILE MUSEUM 2320 S ST., NW WASHINGTON, DC 20008-4088	UNRELATED 501 (C)(3)	FURTHER THE CHARITY ACTIVITY	30,000.
THE GLOBAL FUND FOR CHILDREN 1101 FOURTEENTH STREET, NW SUITE 420 WASHINGTON, DC 20005	UNRELATED 501 (C)(3)	FURTHER THE CHARITY ACTIVITY	30,000.
THE HARLEM CHILDREN'S ZONE 35 EAST 125TH ST. NEW YORK, NY 10035	UNRELATED 501 (C)(3)	FURTHER THE CHARITY ACTIVITY	30,000.
VERMONT FOOD BANK 33 PARKER ROAD, WILSON INDUSTRIAL PARK BARRE, VT 05641	UNRELATED 501 (C) (3)	FURTHER THE CHARITY ACTIVITY	40,000.
ACTION AGAINST HUNGER 247 WEST 37TH STREET, 10TH FLOOR NEW YORK, NY 10018	UNRELATED 501 (C) (3)	FURTHER THE CHARITY ACTIVITY	30,000.
THE NATURE 27 STATE STREET, SUITE 4 MONTPELIER, VT 05602	UNRELATED 501 (C) (3)	FURTHER THE CHARITY ACTIVITY	30,000.
		TOTAL CONTRIBUTIONS PAID	740,000.

SCHEDULE D (Form 1041)

Department of the Treasury
Internal Revenue Service

Capital Gains and Losses

▶ Attach to Form 1041, Form 5227, or Form 990-T.
▶ Use Form 8949 to list your transactions for lines 1b, 2, 3, 8b, 9 and 10.
▶ Information about Schedule D and its separate instructions is at *www.irs.gov/form1041*.

OMB No 1545-0092

2013

Name of estate or trust	Employer identification number
HAWK ROCK FOUNDATION	26-1518305

Note: *Form 5227 filers need to complete **only** Parts I and II*

Part I Short-Term Capital Gains and Losses - Assets Held One Year or Less

See instructions for how to figure the amounts to enter on the lines below This form may be easier to complete if you round off cents to whole dollars	(d) Proceeds (sales price)	(e) Cost (or other basis)	(g) Adjustments to gain or loss from Form(s) 8949, Part I, line 2, column (g)	(h) Gain or (loss) Subtract column (e) from column (d) and combine the result with column (g)
1a Totals for all short-term transactions reported on Form 1099-B for which basis was reported to the IRS and for which you have no adjustments (see instructions) However, if you choose to report all these transactions on Form 8949, leave this line blank and go to line 1b				
1b Totals for all transactions reported on Form(s) 8949 with **Box A** checked				
2 Totals for all transactions reported on Form(s) 8949 with **Box B** checked				
3 Totals for all transactions reported on Form(s) 8949 with **Box C** checked	156,408.	162,996.		-6,588.

4	Short-term capital gain or (loss) from Forms 4684, 6252, 6781, and 8824	4	
5	Net short-term gain or (loss) from partnerships, S corporations, and other estates or trusts	5	
6	Short-term capital loss carryover Enter the amount, if any, from line 9 of the 2012 Capital Loss Carryover Worksheet	6	( )
7	**Net short-term capital gain or (loss).** Combine lines 1a through 6 in column (h) Enter here and on line 17, column (3) on the back . . . . ▶	7	-6,588.

Part II Long-Term Capital Gains and Losses - Assets Held More Than One Year

See instructions for how to figure the amounts to enter on the lines below This form may be easier to complete if you round off cents to whole dollars	(d) Proceeds (sales price)	(e) Cost (or other basis)	(g) Adjustments to gain or loss from Form(s) 8949, Part II, line 2, column (g)	(h) Gain or (loss) Subtract column (e) from column (d) and combine the result with column (g)
8a Totals for all long-term transactions reported on Form 1099-B for which basis was reported to the IRS and for which you have no adjustments (see instructions) However, if you choose to report all these transactions on Form 8949, leave this line blank and go to line 8b				
8b Totals for all transactions reported on Form(s) 8949 with **Box D** checked				
9 Totals for all transactions reported on Form(s) 8949 with **Box E** checked				
10 Totals for all transactions reported on Form(s) 8949 with **Box F** checked	2,227,532.	1,518,705.		708,827.

11	Long-term capital gain or (loss) from Forms 2439, 4684, 6252, 6781, and 8824	11	
12	Net long-term gain or (loss) from partnerships, S corporations, and other estates or trusts.	12	
13	Capital gain distributions.	13	40,932.
14	Gain from Form 4797, Part I.	14	
15	Long-term capital loss carryover Enter the amount, if any, from line 14 of the 2012 Capital Loss Carryover Worksheet	15	( )
16	**Net long-term capital gain or (loss).** Combine lines 8a through 15 in column (h) Enter here and on line 18a, column (3) on the back . . . . ▶	16	749,759.

For Paperwork Reduction Act Notice, see the Instructions for Form 1041.

Part III Summary of Parts I and II

Caution: *Read the instructions* ***before*** *completing this part.*

			(1) Beneficiaries' (see instr)	(2) Estate's or trust's	(3) Total
17	**Net short-term gain or (loss)**	17			-6,588.
18	**Net long-term gain or (loss):**				
a	Total for year	18a			749,759.
b	Unrecaptured section 1250 gain (see line 18 of the wrksht)	18b			
c	28% rate gain	18c			
19	**Total net gain or (loss).** Combine lines 17 and 18a ▶	19			743,171.

Note: *If line 19, column (3), is a net gain, enter the gain on Form 1041, line 4 (or Form 990-T, Part I, line 4a) If lines 18a and 19, column (2), are net gains, go to Part V, and* ***do not*** *complete Part IV If line 19, column (3), is a net loss, complete Part IV and the* ***Capital Loss Carryover Worksheet,*** *as necessary*

Part IV Capital Loss Limitation

20 Enter here and enter as a (loss) on Form 1041, line 4 (or Form 990-T, Part I, line 4c, if a trust), the **smaller** of
a The loss on line 19, column (3) **or** b $3,000 . . . 20 ( )

Note: *If the loss on line 19, column (3), is more than $3,000, or if Form 1041, page 1, line 22 (or Form 990-T, line 34), is a loss, complete the* ***Capital Loss Carryover Worksheet*** *in the instructions to figure your capital loss carryover*

Part V Tax Computation Using Maximum Capital Gains Rates

Form 1041 filers. Complete this part **only** if both lines 18a and 19 in column (2) are gains, or an amount is entered in Part I or Part II and there is an entry on Form 1041, line 2b(2), **and** Form 1041, line 22, is more than zero.

Caution: *Skip this part and complete the* ***Schedule D Tax Worksheet*** *in the instructions if:*

- *Either line 18b, col (2) or line 18c, col (2) is more than zero, or*
- *Both Form 1041, line 2b(1), and Form 4952, line 4g are more than zero*

Form 990-T trusts. Complete this part **only** if both lines 18a and 19 are gains, or qualified dividends are included in income in Part I of Form 990-T, **and** Form 990-T, line 34, is more than zero Skip this part and complete the **Schedule D Tax Worksheet** in the instructions if either line 18b, col (2) or line 18c, col (2) is more than zero

21	Enter taxable income from Form 1041, line 22 (or Form 990-T, line 34)	21			
22	Enter the **smaller** of line 18a or 19 in column (2) but not less than zero	22			
23	Enter the estate's or trust's qualified dividends from Form 1041, line 2b(2) (or enter the qualified dividends included in income in Part I of Form 990-T)	23			
24	Add lines 22 and 23	24			
25	If the estate or trust is filing Form 4952, enter the amount from line 4g, otherwise, enter -0- ▶	25			
26	Subtract line 25 from line 24 If zero or less, enter -0-	26			
27	Subtract line 26 from line 21 If zero or less, enter -0-	27			
28	Enter the **smaller** of the amount on line 21 or $2,450	28			
29	Enter the **smaller** of the amount on line 27 or line 28	29			
30	Subtract line 29 from line 28 If zero or less, enter -0- This amount is taxed at 0% ▶			30	
31	Enter the smaller of line 21 or line 26	31			
32	Subtract line 30 from line 26	32			
33	Enter the **smaller** of line 21 or $11,950	33			
34	Add lines 27 and 30	34			
35	Subtract line 34 from line 33 If zero or less, enter -0-	35			
36	Enter the **smaller** of line 32 or line 35	36			
37	Multiply line 36 by 15% ▶			37	
38	Enter the amount from line 31	38			
39	Add lines 30 and 36	39			
40	Subtract line 39 from line 38 If zero or less, enter -0-	40			
41	Multiply line 40 by 20% ▶			41	
42	Figure the tax on the amount on line 27 Use the 2013 Tax Rate Schedule for Estates and Trusts (see the Schedule G instructions in the instructions for Form 1041)	42			
43	Add lines 37, 41, and 42	43			
44	Figure the tax on the amount on line 21 Use the 2013 Tax Rate Schedule for Estates and Trusts (see the Schedule G instructions in the instructions for Form 1041)	44			
45	**Tax on all taxable income.** Enter the **smaller** of line 43 or line 44 here and on Form 1041, Schedule G, line 1a (or Form 990-T, line 36) ▶			45	

Form **8949**

Department of the Treasury
Internal Revenue Service

Sales and Other Dispositions of Capital Assets

▶ **Information about Form 8949 and its separate instructions is at *www.irs.gov/form8949*.**

▶ **File with your Schedule D to list your transactions for lines 1b, 2, 3, 8b, 9, and 10 of Schedule D.**

OMB No 1545-0074

2013

Attachment Sequence No **12A**

Name(s) shown on return: HAWK ROCK FOUNDATION

Social security number or taxpayer identification number: 26-1518305

Most brokers issue their own substitute statement instead of using Form 1099-B They also may provide basis information (usually your cost) to you on the statement even if it is not reported to the IRS Before you check Box A, B, or C below, determine whether you received any statement(s) and, if so, the transactions for which basis was reported to the IRS. Brokers are required to report basis to the IRS for most stock you bought in 2011 or later

Part I **Short-Term.** Transactions involving capital assets you held one year or less are short-term. For long-term transactions, see page 2.

Note. You may aggregate all short-term transactions reported on Form(s) 1099-B showing basis was reported to the IRS and for which no adjustments or codes are required. Enter the total directly on Schedule D, line 1a, you are not required to report these transactions on Form 8949 (see instructions).

You *must* check Box A, B, *or* C below. Check only one box. If more than one box applies for your short-term transactions, complete a separate Form 8949, page 1, for each applicable box If you have more short-term transactions than will fit on this page for one or more of the boxes, complete as many forms with the same box checked as you need

☐ **(A)** Short-term transactions reported on Form(s) 1099-B showing basis was reported to the IRS (see **Note** above)
☐ **(B)** Short-term transactions reported on Form(s) 1099-B showing basis was **not** reported to the IRS
☒ **(C)** Short-term transactions not reported to you on Form 1099-B

1 (a) Description of property (Example 100 sh XYZ Co)	(b) Date acquired (Mo , day, yr)	(c) Date sold or disposed (Mo , day, yr)	(d) Proceeds (sales price) (see instructions)	(e) Cost or other basis See the Note below and see *Column (e)* in the separate instructions	Adjustment, if any, to gain or loss. If you enter an amount in column (g), enter a code in column (f) See the separate instructions. (f) Code(s) from instructions	(g) Amount of adjustment	(h) Gain or (loss). Subtract column (e) from column (d) and combine the result with column (g)
SEE ATTACHMENT I	VARIOUS	VARIOUS	156,408.	162,996.			-6,588.
2 Totals. Add the amounts in columns (d), (e), (g), and (h) (subtract negative amounts) Enter each total here and include on your Schedule D, **line 1b** (if **Box A** above is checked), **line 2** (if **Box B** above is checked), or **line 3** (if **Box C** above is checked) ▶			156,408.	162,996			-6,588.

Note. If you checked Box A above but the basis reported to the IRS was incorrect, enter in column (e) the basis as reported to the IRS, and enter an adjustment in column (g) to correct the basis See *Column (g)* in the separate instructions for how to figure the amount of the adjustment

For Paperwork Reduction Act Notice, see your tax return instructions.

Name(s) shown on return (Name and SSN or taxpayer identification no not required if shown on other side)	**Social security number or taxpayer identification number**
HAWK ROCK FOUNDATION	26-1518305

Most brokers issue their own substitute statement instead of using Form 1099-B They also may provide basis information (usually your cost) to you on the statement even if it is not reported to the IRS Before you check Box D, E, or F below, determine whether you received any statement(s) and, if so, the transactions for which basis was reported to the IRS Brokers are required to report basis to the IRS for most stock you bought in 2011 or later.

Part II **Long-Term.** Transactions involving capital assets you held more than one year are long term. For short-term transactions, see page 1.

Note. You may aggregate all long-term transactions reported on Form(s) 1099-B showing basis was reported to the IRS and for which no adjustments or codes are required. Enter the total directly on Schedule D, line 8a; you are not required to report these transactions on Form 8949 (see instructions).

You *must* check Box D, E, *or* F below. Check only one box. If more than one box applies for your long-term transactions, complete a separate Form 8949, page 2, for each applicable box If you have more long-term transactions than will fit on this page for one or more of the boxes, complete as many forms with the same box checked as you need

☐ **(D)** Long-term transactions reported on Form(s) 1099-B showing basis was reported to the IRS (see **Note** above)

☐ **(E)** Long-term transactions reported on Form(s) 1099-B showing basis was **not** reported to the IRS

☒ **(F)** Long-term transactions not reported to you on Form 1099-B

1 (a) Description of property (Example 100 sh XYZ Co)	(b) Date acquired (Mo , day, yr)	(c) Date sold or disposed (Mo , day, yr)	(d) Proceeds (sales price) (see instructions)	(e) Cost or other basis See the **Note** below and see *Column (e)* in the separate instructions	**Adjustment, if any, to gain or loss.** If you enter an amount in column (g), enter a code in column (f) **See the separate instructions.** (f) Code(s) from instructions	 (g) Amount of adjustment	**(h)** **Gain or (loss).** Subtract column (e) from column (d) and combine the result with column (g)
SEE ATTACHMENT I	VARIOUS	VARIOUS	2,227,532.	1,518,705.			708,827.
2 Totals. Add the amounts in columns (d), (e), (g), and (h) (subtract negative amounts) Enter each total here and include on your Schedule D, **line 8b** (if **Box D** above is checked), **line 9** (if **Box E** above is checked), or **line 10** (if **Box F** above is checked) ▶			2,227,532.	1518705.			708,827.

Note. If you checked Box D above but the basis reported to the IRS was incorrect, enter in column (e) the basis as reported to the IRS, and enter an adjustment in column (g) to correct the basis See *Column (g)* in the separate instructions for how to figure the amount of the adjustment

HAWK ROCK FOUNDATION
Account Number: XXXX14900

Realized Gain (Loss) Detail
For the Period January 1, 2013 - March 31, 2013
Reporting Currency: USD

Sale Date	Purchase Date	Description	Quantity	Proceeds	Cost	Realized Gain (Loss)	ST/LT
Sales							
Equity							
03/15/2013	11/22/2011	AFLAC INC	100.00	5,097.69	4,098.78	998.91	LT
03/18/2013	11/23/2011	AFLAC INC	100.00	5,045 49	3,988.42	1,057.07	LT
03/19/2013	11/23/2011	AFLAC INC	50 00	2,501.56	1,994 20	507 36	LT
01/10/2013	09/09/2011	AIR PRODUCTS & CHEMICALS INC	75.00	6,573.60	5,376.27	1,197.33	LT
01/10/2013	05/15/2008	ALLERGAN INC	125 00	12,634.71	6,687.08	5,947.63	LT
02/08/2013	01/19/2012	BANK OF CHINA LTD H	37,000 00	17,762.64	15,882 34	1,880.30	LT
03/18/2013	01/31/2012	BARRICK GOLD CORP C$	400 00	11,530 97	13,303.59	(1,772.62)	LT
02/07/2013	01/06/2009	CERNER CORP	200 00	17,262 79	3,759.61	13,503.18	LT
03/27/2013	09/10/2012	CHINA SHENHUA ENERGY	1,000.00	3,684.49	3,760.21	(75.72)	ST
01/10/2013	09/09/2011	COMCAST CORP CL A (NEW)	200.00	7,729.82	4,070.04	3,659.78	LT
02/12/2013	02/09/2012	DENSO CORP	200 00	7,849.91	6,265.53	1,584.38	LT
02/11/2013	10/30/2009	DIAGEO PLC	300.00	8,881.84	4,936.74	3,945.10	LT
01/10/2013	02/29/2012	ENCANA CORP	500.00	9,802.95	10,218.42	(415.47)	ST
01/14/2013	01/26/2012	ENCANA CORP	200 00	3,896.60	3,981.03	(84.43)	ST
01/15/2013	02/28/2012	ENCANA CORP	300 00	5,794.26	6,004 77	(210.51)	ST
01/17/2013	02/03/2012	ENCANA CORP	300.00	5,793.92	5,953.62	(159.70)	ST
01/18/2013	02/03/2012	ENCANA CORP	125.00	2,412.92	2,480.67	(67.75)	ST
01/18/2013	03/10/2011	ENCANA CORP	75.00	1,447.75	2,316.28	(868.53)	LT
01/23/2013	02/01/2012	ENCANA CORP	100.00	1,918.57	1,904.21	14.36	ST
01/23/2013	12/15/2011	ENCANA CORP	200.00	3,837.15	3,608.80	228.35	LT
01/24/2013	02/01/2012	ENCANA CORP	100.00	1,941.25	1,904.21	37.04	ST
02/25/2013	08/12/2011	FUGRO NV	72.00	3,496.72	4,005.56	(508.84)	LT
02/27/2013	08/12/2011	FUGRO NV	141.00	6,610.50	7,844.21	(1,233.71)	LT
03/01/2013	09/22/2011	FUGRO NV	10.00	465.55	512.53	(46.98)	LT
03/01/2013	09/22/2011	FUGRO NV	4.00	186.12	205.01	(18.89)	LT
03/04/2013	09/22/2011	FUGRO NV	17.00	788.52	871.29	(82.77)	LT

Capital Group™
Private Client Services

ATTACHMENT I

HAWK ROCK FOUNDATION
Account Number: XXXX14900

Realized Gain (Loss) Detail
For the Period January 1, 2013 - March 31, 2013
Reporting Currency: USD

Sale Date	Purchase Date	Description	Quantity	Proceeds	Cost	Realized Gain (Loss)	ST/LT
03/05/2013	09/23/2011	FUGRO NV	58.00	2,726.17	2,951.55	(225 38)	LT
02/13/2013	01/23/2012	HENNES & MAURITZ AB	146.00	5,328.66	4,932 94	395 72	LT
02/15/2013	10/27/2011	HENNES & MAURITZ AB	96 00	3,452 91	3,354.17	98.74	LT
02/15/2013	10/27/2011	HENNES & MAURITZ AB	29.00	1,043.57	1,013 24	30.33	LT
02/07/2013	11/03/2010	HONG KONG/CHINA GAS	5,000.00	13,878 99	8,497.32	5,381.67	LT
02/08/2013	09/14/2006	HONG KONG/CHINA GAS	5,000 00	13,801 69	7,273.59	6,528.10	LT
02/11/2013	04/08/2011	JACK HENRY & ASSOC INC	300 00	13,051.17	10,087.17	2,964.00	LT
02/18/2013	11/26/2008	JGC CORP	1,000.00	24,181.73	10,340.40	13,841.33	LT
01/10/2013	09/29/2010	KLA-TENCOR CORP	175.00	8,463.81	6,114 88	2,348 93	LT
02/08/2013	10/18/2011	LVMH MOET HENNESSY LOUIS VUITTON SA	53.00	9,269 02	7,962.57	1,306.45	LT
03/14/2013	10/11/2011	LVMH MOET HENNESSY LOUIS VUITTON SA	76.00	13,475 96	11,353.35	2,122.61	LT
02/11/2013	09/02/2011	MARSH & MCLENNAN COS INC	20.00	725 84	579 33	146.51	LT
02/11/2013	09/08/2011	MARSH & MCLENNAN COS INC	100.00	3,639.37	2,958.69	680.68	LT
01/10/2013	08/15/2007	MICROSOFT CORP	125.00	3,354.92	3,622.28	(267.36)	LT
03/08/2013	12/16/2009	MURATA MANUFACTURING CO LTD	300.00	19,936.31	14,069.92	5,866.39	LT
02/11/2013	09/27/2011	NIELSEN HOLDINGS NV US$	100.00	3,242.10	2,759.87	482.23	LT
02/11/2013	09/09/2011	NIELSEN HOLDINGS NV US$	100.00	3,241.62	2,817 48	424.14	LT
01/10/2013	02/19/2009	NORDSTROM INC	100.00	5,375.87	1,190.23	4,185.64	LT
01/23/2013	05/26/2011	OI SA ON ADR	100.00	444.90	1,150.68	(705.78)	LT
01/23/2013	05/26/2011	OI SA PN ADR	900.00	3,631.32	7,556.90	(3,925.58)	LT
01/23/2013	05/11/2012	OI SA PN ADR	600.00	2,420.94	2,961.55	(540.61)	ST
01/23/2013	05/24/2011	OI SA PN ADR	200.00	806.98	1,740.66	(933.68)	LT
01/24/2013	05/31/2011	OI SA PN ADR	300.00	1,187.07	2,475.44	(1,288 37)	LT
01/24/2013	05/27/2011	OI SA PN ADR	600.00	2,384.94	4,957.87	(2,572.93)	LT
01/10/2013	10/08/2010	ORACLE CORP	200.00	6,931.84	5,597.04	1,334.80	LT
01/28/2013	12/20/2012	PENGROWTH ENERGY CORP C$	700.00	3,218.05	3,574.32	(356.27)	ST
01/28/2013	01/24/2012	PENGROWTH ENERGY CORP C$	200 00	919 44	2,099.78	(1,180.34)	LT
01/29/2013	01/24/2012	PENGROWTH ENERGY CORP C$	1,400 00	6,157.66	14,698.46	(8,540.80)	LT

HAWK ROCK FOUNDATION
Account Number XXXX14900

Realized Gain (Loss) Detail
For the Period January 1, 2013 - March 31, 2013
Reporting Currency: USD

Sale Date	Purchase Date	Description	Quantity	Proceeds	Cost	Realized Gain (Loss)	ST/LT
01/09/2013	03/10/2011	PREMIER FARNELL PLC	2,400.00	7,555.37	11,652 91	(4,097.54)	LT
03/21/2013	03/10/2011	PREMIER FARNELL PLC	900.00	3,097.16	4,385 26	(1,288.10)	LT
03/27/2013	02/22/2011	PREMIER FARNELL PLC	1,400.00	4,682.89	6,824 50	(2,141.61)	LT
01/10/2013	10/31/2008	PROGRESSIVE CORP OHIO	275 00	6,080 11	3,800.79	2,279.32	LT
02/08/2013	06/15/2010	QUALCOMM INC	100.00	6,703.86	3,413.60	3,290 26	LT
03/25/2013	01/13/2012	RICHEMONT CIE FIN	105 00	8,126 60	6,038.58	2,088 02	LT
03/21/2013	03/11/2009	RIO TINTO PLC REG	100 00	4,761 20	2,353 20	2,408 00	LT
03/22/2013	03/11/2009	RIO TINTO PLC REG	100.00	4,721 07	2,353.21	2,367.86	LT
01/10/2013	04/20/2009	ROYAL DUTCH SHELL CL A ADR	75.00	5,168 88	3,132.76	2,036 12	LT
01/10/2013	07/15/2010	SCHWAB CHARLES NEW	300.00	4,574.89	4,344.72	230 17	LT
02/14/2013	12/16/2010	SEADRILL LTD	202.00	7,577 05	6,574 35	1,002.70	LT
02/12/2013	08/18/2009	SOFTBANK CORP	300.00	11,484.10	5,975.61	5,508.49	LT
01/15/2013	08/24/2009	SONOVA HOLDING AG	28 00	3,199.09	2,497 02	702 07	LT
01/15/2013	08/24/2009	SONOVA HOLDING AG	31.00	3,544 20	2,764 56	779 64	LT
01/16/2013	08/24/2009	SONOVA HOLDING AG	11.00	1,249 19	980.97	268 22	LT
01/16/2013	08/24/2009	SONOVA HOLDING AG	3.00	340.81	267.54	73.27	LT
01/17/2013	08/24/2009	SONOVA HOLDING AG	2.00	225.78	178 36	47.42	LT
02/08/2013	01/27/2012	STANLEY BLACK & DECKER INC	100.00	7,618.79	6,435.50	1,183.29	LT
02/11/2013	11/01/2011	STANLEY BLACK & DECKER INC	50.00	3,801.92	2,878.11	923.81	LT
03/08/2013	07/26/2010	TELUS CORP	100.00	6,858.01	3,909.03	2,948 98	LT
03/12/2013	07/21/2010	TELUS CORP	100.00	6,819 68	3,859 76	2,959 92	LT
01/10/2013	02/26/2009	THE WALT DISNEY CO	100.00	5,117 88	1,807 92	3,309 96	LT
01/10/2013	06/14/2010	TIME WARNER CABLE INC	100.00	9,770 78	5,475.19	4,295.59	LT
02/08/2013	09/07/2006	UNION PACIFIC CORP	50 00	6,640.36	1,987.64	4,652.72	LT
02/11/2013	11/03/2009	UNITEDHEALTH GROUP INC	100.00	5,722.58	2,689.27	3,033.31	LT
Total Equity				466,683.39	371,205.46	95,477.93	
Total Sales				466,683.39	371,205.46	95,477.93	

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Private Client Services

ATTACHMENT I

HAWK ROCK FOUNDATION

Account Number: XXXX14900

Realized Gain (Loss) Detail

For the Period January 1, 2013 - March 31, 2013
Reporting Currency: USD

Sale Date	Purchase Date	Description	Quantity	Proceeds	Cost	Realized Gain (Loss)	ST/LT

	Period ended 03/31/2013	Year to date* 03/31/2013
Total net short-term gain (loss)	(1,859.06)	(1,859.06)
Total net long-term gain (loss)	97,336.99	97,336.99
Total Gain (Loss)	95,477.93	95,477.93

* Fiscal year ending December 31

CAPITAL
GROUP℠

Private Client Services

Realized Gain (Loss) Detail

HAWK ROCK FOUNDATION
Account Number XXXX14900

For the Period April 1, 2013 - June 30, 2013
Reporting Currency: USD

Sales

Equity

Sale Date	Purchase Date	Description	Quantity	Proceeds	Cost	Realized Gain (Loss)	ST/LT
06/26/2013	02/11/2013	AGILENT TECHNOLOGIES INC	100 00	4,260.59	4,491.13	(230.54)	ST
06/26/2013	02/19/2009	AGILENT TECHNOLOGIES INC	100.00	4,260.58	1,567.32	2,693.26	LT
06/27/2013	02/19/2009	AGILENT TECHNOLOGIES INC	100.00	4,278 69	1,567.31	2,711.38	LT
04/05/2013	02/19/2009	ALLERGAN INC	100 00	11,249.74	4,108.82	7,140.92	LT
06/06/2013	10/31/2008	ALLERGAN INC	125.00	12,317.13	4,964.74	7,352 39	LT
04/10/2013	08/17/2011	ANDRITZ AG	100.00	6,766.78	4,609.07	2,157.71	LT
04/30/2013	08/18/2011	ANDRITZ AG	44 00	2,828.63	2,000.98	827.65	LT
06/27/2013	08/18/2011	ANDRITZ AG	56.00	2,899.91	2,535.07	364.84	LT
06/07/2013	01/16/2009	BG GROUP PLC	200.00	3,624 78	2,635.44	989 34	LT
06/14/2013	01/16/2009	BG GROUP PLC	200 00	3,711.54	2,635.43	1,076 11	LT
06/18/2013	01/16/2009	BG GROUP PLC	100.00	1,839.82	1,317.72	522.10	LT
05/27/2013	02/20/2009	BHP BILLITON LTD (AUD)	191.00	6,274.82	4,010.85	2,263.97	LT
04/02/2013	09/11/2012	CHINA SHENHUA ENERGY	1,000.00	3,652.24	3,736.50	(84.26)	ST
04/05/2013	09/06/2012	CHINA SHENHUA ENERGY	1,000.00	3,551.37	3,501.11	50.26	ST
04/08/2013	09/06/2012	CHINA SHENHUA ENERGY	500 00	1,731 85	1,750.55	(18.70)	ST
05/21/2013	02/28/2012	ENSCO PLC-CL A	100.00	6,341 35	5,838.88	502.47	LT
04/12/2013	02/03/2012	FIRST QUANTUM MINERALS LTD	0 85	16 00	17 92	(1 92)	LT
04/05/2013	02/02/2012	GILEAD SCIENCES INC	300 00	14,175.19	7,368.56	6,806 63	LT
04/30/2013	02/01/2012	GILEAD SCIENCES INC	200.00	10,129 21	4,899.61	5,229.60	LT
04/08/2013	10/27/2011	HENNES & MAURITZ AB	473.00	17,047.13	13,865.38	3,181 75	LT
05/16/2013	09/12/2011	HENNES & MAURITZ AB	320.00	11,173 02	8,840.77	2,332.25	LT
05/16/2013	12/16/2009	HENNES & MAURITZ AB	97.00	3,389.66	2,682.70	706.96	LT
05/01/2013	04/05/2012	HITACHI	2,000.00	12,434 54	12,912.15	(477.61)	LT

ATTACHMENT I

CAPITAL
GROUP℠

Private Client Services

Realized Gain (Loss) Detail

HAWK ROCK FOUNDATION
Account Number: XXXX14900

For the Period April 1, 2013 - June 30, 2013
Reporting Currency: USD

Sale Date	Purchase Date	Description	Quantity	Proceeds	Cost	Realized Gain (Loss)	ST/LT
05/02/2013	05/20/2011	HITACHI	1,000 00	6,151.88	5,697.41	454.47	LT
05/07/2013	03/23/2011	HITACHI	2,000 00	12,756 38	10,817.21	1,939.17	LT
05/01/2013	03/31/2009	INTERNATIONAL BUSINESS MACHINES CORP	70.00	14,103 72	6,810 93	7,292 79	LT
04/05/2013	09/09/2011	JPMORGAN CHASE & CO	300.00	14,294 67	10,728 48	3,566 19	LT
04/05/2013	09/28/2010	KLA-TENCOR CORP	200.00	10,287 76	6,822.48	3,465.28	LT
04/08/2013	03/22/2011	MITSUBISHI CORP	500.00	8,625 52	13,584 17	(4,958.65)	LT
05/08/2013	07/16/2009	MURATA MANUFACTURING CO LTD	100.00	8,015.26	4,566.48	3,448.78	LT
05/13/2013	02/19/2009	NATIONAL INSTRUMENTS CORP	200 00	5,694.21	2,943.92	2,750.29	LT
05/14/2013	02/19/2009	NATIONAL INSTRUMENTS CORP	100.00	2,849.20	1,226.92	1,622.28	LT
05/15/2013	02/19/2009	NATIONAL INSTRUMENTS CORP	200.00	5,703.81	2,453 82	3,249 99	LT
05/17/2013	02/19/2009	NATIONAL INSTRUMENTS CORP	50.00	1,434 83	613.45	821 38	LT
04/02/2013	11/03/2008	NEWCREST MINING NPV	319 00	6,704 41	5,515.38	1,189 03	LT
04/04/2013	11/03/2008	NEWCREST MINING NPV	304.00	5,885 23	4,231 61	1,653.62	LT
05/21/2013	09/07/2010	NOBLE ENERGY INC	100 00	12,230.94	7,365 13	4,865.81	LT
04/05/2013	10/08/2010	ORACLE CORP	250 00	7,979.82	6,996.30	983 52	LT
04/03/2013	02/22/2011	PREMIER FARNELL PLC	1,000 00	3,320 09	4,874 65	(1,554.56)	LT
04/11/2013	02/22/2011	PREMIER FARNELL PLC	800 00	2,604.09	3,789.79	(1,185 70)	LT
04/17/2013	02/04/2011	PREMIER FARNELL PLC	300.00	939.37	1,407 43	(468 06)	LT
06/11/2013	03/11/2009	RIO TINTO PLC REG	200.00	8,420.01	4,634 92	3,785 09	LT
04/05/2013	04/20/2009	ROYAL DUTCH SHELL CL A ADR	100 00	6,407 85	4,177 01	2,230 84	LT
04/05/2013	07/15/2010	SCHWAB CHARLES NEW	425.00	7,012.34	6,155.02	857 32	LT
05/02/2013	07/11/2011	SEATTLE GENETICS INC	100 00	3,637.35	2,065 85	1,571 50	LT
05/06/2013	07/11/2011	SEATTLE GENETICS INC	100.00	3,642.55	2,065.85	1,576.70	LT
05/07/2013	07/11/2011	SEATTLE GENETICS INC	100 00	3,580.79	2,061.44	1,519 35	LT

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Private Client Services

Realized Gain (Loss) Detail

HAWK ROCK FOUNDATION
Account Number: XXXX14900

For the Period April 1, 2013 - June 30, 2013
Reporting Currency: USD

Sale Date	Purchase Date	Description	Quantity	Proceeds	Cost	Realized Gain (Loss)	ST/LT
04/05/2013	02/20/2009	SOFTBANK CORP	200 00	9,407.14	2,715 57	6,691 57	LT
04/08/2013	02/20/2009	SOFTBANK CORP	100.00	4,768.25	1,357 79	3,410.46	LT
05/28/2013	08/24/2009	SONOVA HOLDING AG	10.00	1,097 57	891.30	206.27	LT
05/29/2013	08/24/2009	SONOVA HOLDING AG	31.00	3,423.28	2,762.06	661 22	LT
05/30/2013	08/24/2009	SONOVA HOLDING AG	29 00	3,171.89	2,563.09	608 80	LT
05/31/2013	08/21/2009	SONOVA HOLDING AG	5 00	557.95	439.72	118.23	LT
05/31/2013	08/21/2009	SONOVA HOLDING AG	1.00	111.49	87.94	23.55	LT
05/31/2013	08/21/2009	SONOVA HOLDING AG	2.00	221 85	175.89	45 96	LT
06/03/2013	08/21/2009	SONOVA HOLDING AG	1 00	109.70	87.94	21.76	LT
06/13/2013	08/21/2009	SONOVA HOLDING AG	2.00	225.79	175.89	49.90	LT
06/17/2013	08/21/2009	SONOVA HOLDING AG	5.00	575.88	439.72	136.16	LT
06/21/2013	08/21/2009	SONOVA HOLDING AG	28 00	3,141.65	2,462 45	679.20	LT
06/27/2013	04/07/2011	SONOVA HOLDING AG	3.00	317.28	295.47	21.81	LT
04/11/2013	01/05/2010	STANLEY BLACK & DECKER INC	100 00	7,972.01	5,308.07	2,663 94	LT
04/24/2013	01/04/2010	STANLEY BLACK & DECKER INC	75.00	5,827.70	3,944.28	1,883.42	LT
04/26/2013	02/08/2011	SYSMEX CORP	100.00	6,521 77	3,358.56	3,163.21	LT
05/01/2013	02/08/2011	SYSMEX CORP	100.00	6,322.42	3,358.56	2,963 86	LT
05/02/2013	02/22/2011	SYSMEX CORP	100.00	6,197.89	3,312.26	2,885.63	LT
05/06/2013	06/14/2010	TIME WARNER CABLE INC	100.00	9,624.93	5,475 19	4,149.74	LT
05/07/2013	06/14/2010	TIME WARNER CABLE INC	50 00	4,835.22	2,737.59	2,097.63	LT
Total Equity				384,668.31	265,413.00	119,255.31	
Total Sales				384,668.31	265,413.00	119,255.31	

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HAWK ROCK FOUNDATION
EIN 26-1518305
SCHEDULE D - FORM 8949 - ATTACHMENT I

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Private Client Services

Realized Gain (Loss) Detail

HAWK ROCK FOUNDATION
Account Number· XXXX14900

For the Period April 1, 2013 - June 30, 2013
Reporting Currency: USD

Sale Date	Purchase Date	Description	Quantity	Proceeds	Cost	Realized Gain (Loss)	ST/LT

	Period ended 06/30/2013	Year to date* 06/30/2013
Total net short-term gain (loss)	(283 24)	(2,142.30)
Total net long-term gain (loss)	119,538.55	216,875 54
Total Gain (Loss)	119,255.31	214,733.24

* Fiscal year ending December 31

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Private Client Services

Realized Gain (Loss) Detail

HAWK ROCK FOUNDATION
Account Number: XXXX14900

For the Period July 1, 2013 - September 30, 2013
Reporting Currency: USD

Sale Date	Purchase Date	Description	Quantity	Proceeds	Cost	Realized Gain (Loss)	ST/LT
Sales							
Equity							
09/25/2013	10/31/2008	ALLERGAN INC	50.00	4,575.67	1,985.90	2,589 77	LT
08/07/2013	07/04/2007	BARRICK GOLD CORP C$	250 00	3,942.42	7,494.68	(3,552.26)	LT
07/12/2013	12/01/2008	BG GROUP PLC	100.00	1,779.99	1,332.53	447.46	LT
07/15/2013	12/01/2008	BG GROUP PLC	100 00	1,793.49	1,332.53	460 96	LT
08/29/2013	12/01/2008	BG GROUP PLC	200.00	3,892.63	2,665 07	1,227.56	LT
08/30/2013	02/11/2013	BG GROUP PLC	100.00	1,901.26	1,751.45	149.81	ST
09/02/2013	02/11/2013	BG GROUP PLC	100.00	1,916.16	1,751.44	164.72	ST
07/01/2013	01/20/2012	CARNIVAL CORP COMMON PAIRED STOCK	450.00	15,591.05	13,936.40	1,654.65	LT
08/19/2013	08/25/2011	CARNIVAL CORP COMMON PAIRED STOCK	200 00	7,196.19	6,079 52	1,116.67	LT
08/20/2013	08/25/2011	CARNIVAL CORP COMMON PAIRED STOCK	100.00	3,606.57	3,039.76	566.81	LT
08/20/2013	08/25/2011	CARNIVAL CORP COMMON PAIRED STOCK	100.00	3,605 89	3,039.76	566.13	LT
07/23/2013	06/27/2013	DBS GROUP HOLDINGS LTD	0 57	7 38	7.81	(0.43)	ST
07/17/2013	09/09/2011	DRIL-QUIP INC	100.00	9,465.64	6,225.77	3,239 87	LT
07/24/2013	09/06/2011	DRIL-QUIP INC	100.00	9,267.15	6,119.34	3,147.81	LT
07/31/2013	09/06/2011	DRIL-QUIP INC	25 00	2,284.15	1,523 76	760 39	LT
07/01/2013	11/12/2008	ECOLAB INC	100.00	8,640.78	3,050.00	5,590.78	LT
07/02/2013	11/12/2008	ECOLAB INC	100.00	8,621 89	3,050.00	5,571.89	LT
07/12/2013	08/09/2011	GENERAL ELECTRIC CO (USD)	1,050.00	24,783.45	15,140.68	9,642.77	LT
07/02/2013	01/31/2012	GILEAD SCIENCES INC	100 00	5,201.93	2,433.69	2,768 24	LT
07/03/2013	01/31/2012	GILEAD SCIENCES INC	100 00	5,212.30	2,433.69	2,778.61	LT

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Private Client Services

Realized Gain (Loss) Detail

HAWK ROCK FOUNDATION
Account Number. XXXX14900

For the Period July 1, 2013 - September 30, 2013
Reporting Currency· USD

Sale Date	Purchase Date	Description	Quantity	Proceeds	Cost	Realized Gain (Loss)	ST/LT
08/23/2013	01/31/2012	GILEAD SCIENCES INC	175 00	10,430.61	4,258.87	6,171.74	LT
07/05/2013	09/14/2006	HONG KONG/CHINA GAS	0 40	0.95	0.52	0 43	LT
09/05/2013	02/20/2009	HONG KONG/CHINA GAS	2,000 00	4,736 88	2,519 80	2,217 08	LT
09/11/2013	02/20/2009	HONG KONG/CHINA GAS	2,000 00	4,652 95	2,064.25	2,588 70	LT
09/12/2013	02/20/2009	HONG KONG/CHINA GAS	2,000 00	4,661 78	2,064 26	2,597 52	LT
09/13/2013	02/20/2009	HONG KONG/CHINA GAS	21 00	49 57	21.67	27 90	LT
07/19/2013	01/27/2012	HSBC HOLDINGS PLC UKP	1,387.00	15,516 47	11,863 27	3,653 20	LT
07/02/2013	04/22/2010	ICICI BANK LTD SPON ADR	100 00	3,904.75	4,237.08	(332.33)	LT
07/03/2013	03/18/2010	ICICI BANK LTD SPON ADR	100 00	3,728 77	4,225.07	(496.30)	LT
07/08/2013	03/11/2010	ICICI BANK LTD SPON ADR	300 00	10,993 78	12,266.40	(1,272 62)	LT
07/25/2013	02/23/2010	ICICI BANK LTD SPON ADR	100 00	3,498 08	3,645 44	(147 36)	LT
07/25/2013	03/15/2010	ICICI BANK LTD SPON ADR	100.00	3,496.48	4,037 87	(541 39)	LT
07/26/2013	02/23/2010	ICICI BANK LTD SPON ADR	100 00	3,433 46	3,645.44	(211 98)	LT
07/29/2013	02/23/2010	ICICI BANK LTD SPON ADR	75 00	2,578 08	2,734.08	(156 00)	LT
08/02/2013	01/19/2012	ICICI BANK LTD SPON ADR	200 00	6,396 12	6,598.67	(202 55)	LT
08/05/2013	01/18/2012	ICICI BANK LTD SPON ADR	100 00	3,204.83	3,117 22	87.61	LT
07/11/2013	10/31/2008	INTERNATIONAL BUSINESS MACHINES CORP	200 00	38,654 18	17,273 21	21,380 97	LT
07/12/2013	09/07/2006	INTERNATIONAL BUSINESS MACHINES CORP	95 00	18,285 66	7,615 77	10,669 89	LT
07/01/2013	02/19/2009	JPMORGAN CHASE & CO	300 00	15,760 25	6,394.28	9,365 97	LT
07/10/2013	02/07/2011	LINDE AG	27 00	5,073.94	4,032.83	1,041 11	LT
07/18/2013	02/07/2011	LINDE AG	36 00	6,848 28	5,377 11	1,471 17	LT
07/19/2013	02/07/2011	LINDE AG	15 00	2,888.30	2,240.46	647.84	LT
07/31/2013	03/22/2011	LINDE AG	17 00	3,272.70	2,555.53	717.17	LT
08/01/2013	03/22/2011	LINDE AG	16 00	3,081.09	2,422 49	658 60	LT

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Private Client Services

Realized Gain (Loss) Detail

HAWK ROCK FOUNDATION
Account Number XXXX14900

For the Period July 1, 2013 - September 30, 2013
Reporting Currency: USD

Sale Date	Purchase Date	Description	Quantity	Proceeds	Cost	Realized Gain (Loss)	ST/LT
08/06/2013	03/22/2011	LINDE AG	40 00	7,686.99	6,056.24	1,630 75	LT
08/08/2013	03/22/2011	LINDE AG	25 00	4,760.89	3,785.15	975.74	LT
07/01/2013	05/17/2011	MONSANTO CO NEW COM	100 00	9,742.36	5,397 19	4,345.17	LT
07/02/2013	05/28/2010	MONSANTO CO NEW COM	80 00	7,846 20	4,072 78	3,773.42	LT
08/01/2013	09/07/2010	NOBLE ENERGY INC	75 00	4,775 46	2,761 92	2,013 54	LT
07/01/2013	07/28/2010	NOVARTIS AG NAMEN	151.00	10,683 59	7,506 86	3,176 73	LT
07/01/2013	01/04/2012	OI SA ON ADR	200 00	351 11	1,956 08	(1,604 97)	LT
07/02/2013	01/09/2012	OI SA ON ADR	188 00	309.87	1,130.25	(820 38)	LT
07/01/2013	06/01/2011	OI SA PN ADR	200 00	324.99	1,634.74	(1,309.75)	LT
07/02/2013	01/04/2012	OI SA PN ADR	900.00	1,413.96	5,181.24	(3,767 28)	LT
07/03/2013	01/09/2012	OI SA PN ADR	500 00	771.88	2,269.28	(1,497 40)	LT
07/04/2013	01/06/2012	OI SA PN ADR	500 00	765 23	2,248 50	(1,483 27)	LT
07/05/2013	01/06/2012	OI SA PN ADR	800 00	1,229.41	3,457.24	(2,227.83)	LT
07/08/2013	12/28/2011	OI SA PN ADR	104.00	162 34	442.63	(280.29)	LT
08/15/2013	10/08/2010	ORACLE CORP	100.00	3,271.01	2,798.52	472.49	LT
07/04/2013	11/26/2008	RIO TINTO PLC REG	200.00	8,013.22	3,912 09	4,101.13	LT
09/16/2013	04/20/2009	ROYAL DUTCH SHELL CL A ADR	100.00	6,523.09	4,177.01	2,346.08	LT
09/17/2013	04/20/2009	ROYAL DUTCH SHELL CL A ADR	200.00	13,057 49	8,354.02	4,703.47	LT
09/18/2013	04/20/2009	ROYAL DUTCH SHELL CL A ADR	75.00	4,897.21	3,132 75	1,764.46	LT
07/19/2013	01/18/2012	SAMSUNG ELEC GDS N/V PF	34 00	12,166 05	6,556 75	5,609.30	LT
07/22/2013	12/19/2008	SAMSUNG ELEC GDS N/V PF	34 00	12,155.37	4,246 53	7,908 84	LT
07/16/2013	02/08/2011	SCHNEIDER ELECTRIC SA	42.00	3,038.37	3,205.91	(167.54)	LT
07/02/2013	04/07/2011	SONOVA HOLDING AG	1 00	107.14	98.49	8.65	LT
07/03/2013	04/07/2011	SONOVA HOLDING AG	2 00	210 12	196.98	13.14	LT
07/04/2013	04/07/2011	SONOVA HOLDING AG	3 00	316.72	295.48	21.24	LT

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Private Client Services

Realized Gain (Loss) Detail

HAWK ROCK FOUNDATION
Account Number· XXXX14900

For the Period July 1, 2013 - September 30, 2013
Reporting Currency: USD

Sale Date	Purchase Date	Description	Quantity	Proceeds	Cost	Realized Gain (Loss)	ST/LT
07/18/2013	08/14/2009	SWISSCOM AG REG	9.00	3,980.64	2,951.19	1,029 45	LT
07/19/2013	08/17/2009	SWISSCOM AG REG	17 00	7,528 60	5,581 19	1,947.41	LT
08/23/2013	08/07/2012	TIFFANY & CO NEW	100 00	8,158.11	5,790.00	2,368.11	LT
08/26/2013	08/07/2012	TIFFANY & CO NEW	125 00	10,255 58	6,470 97	3,784.61	LT
Total Equity				442,936.95	305,273.35	137,663.60	
Total Sales				442,936.95	305,273.35	137,663.60	

	Period ended 09/30/2013	Year to date* 09/30/2013
Total net short-term gain (loss)	314.10	(1,828.20)
Total net long-term gain (loss)	137,349.50	354,225.04
Total Gain (Loss)	137,663.60	352,396.84

* Fiscal year ending December 31

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Private Client Services

Realized Gain (Loss) Detail

HAWK ROCK FOUNDATION
Account Number: XXXX14900

For the Period October 1, 2013 - December 31, 2013
Reporting Currency: USD

Sales

Equity

Sale Date	Purchase Date	Description	Quantity	Proceeds	Cost	Realized Gain (Loss)	ST/LT
12/27/2013	06/03/2010	3M COMPANY	35.00	4,862 81	2,732 85	2,129 96	LT
12/27/2013	01/17/2012	ACCENTURE PLC US$	50.00	4,137.92	2,677.40	1,460.52	LT
12/27/2013	09/26/2012	ACE LTD	50.00	5,129.91	3,768.75	1,361.16	LT
12/30/2013	01/11/2012	AIA GROUP LTD	3,400.00	16,945.34	10,025.30	6,920.04	LT
12/30/2013	03/30/2012	AJINOMOTO CO INC	1,000.00	14,460.90	12,646.31	1,814.59	LT
12/27/2013	11/26/2008	AMERICAN TOWER CORP	100.00	7,839.86	2,674 11	5,165.75	LT
12/30/2013	01/20/2012	ASML HOLDING NV	100.00	9,463 02	4,265.99	5,197.03	LT
12/30/2013	09/07/2012	ASSA ABLOY AB B	110.00	5,876.83	3,426 80	2,450.03	LT
12/27/2013	07/18/2013	B/E AEROSPACE INC	75.00	6,469.38	5,245.74	1,223.64	ST
12/30/2013	01/13/2011	BARCLAYS PLC	1,200.00	5,395.73	5,799.14	(403.41)	LT
12/30/2013	04/01/2011	BAYER AG	100.00	14,203.59	8,039.23	6,164.36	LT
12/27/2013	11/20/2012	BEAM INC	100.00	6,699.88	5,472.85	1,227.03	LT
12/30/2013	02/20/2009	BHP BILLITON LTD (AUD)	165.00	5,586 63	3,358.39	2,228.24	LT
12/27/2013	03/22/2012	BLACKROCK INC	40.00	12,653.37	7,834 44	4,818.93	LT
10/08/2013	10/27/2011	BMW AG	111.00	11,884.17	9,563 61	2,320.56	LT
12/30/2013	08/15/2011	BMW AG	50.00	5,903.56	4,317.96	1,585 60	LT
12/30/2013	12/16/2009	BNP PARIBAS	100 00	7,785 37	5,509.47	2,275.90	LT
12/27/2013	02/13/2012	BOEING CO	100.00	13,695.76	5,671.12	8,024.64	LT
10/07/2013	09/18/2012	BRISTOL-MYERS SQUIBB CO	125 00	5,884 89	4,127.90	1,756.99	LT
12/27/2013	05/15/2012	BRISTOL-MYERS SQUIBB CO	200 00	10,627 81	6,596.96	4,030.85	LT
11/04/2013	06/09/2011	BROADCOM CORP	550.00	14,604 06	18,605.02	(4,000.96)	LT
10/21/2013	07/05/2011	CAE INC C$	300.00	3,251.50	4,033.37	(781.87)	LT
10/22/2013	07/20/2011	CAE INC C$	400.00	4,363.05	5,259.56	(896 51)	LT

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Private Client Services

Realized Gain (Loss) Detail

HAWK ROCK FOUNDATION
Account Number: XXXX14900

For the Period October 1, 2013 - December 31, 2013
Reporting Currency: USD

Sale Date	Purchase Date	Description	Quantity	Proceeds	Cost	Realized Gain (Loss)	ST/LT
10/23/2013	07/20/2011	CAE INC C$	400 00	4,404 39	5,311 76	(907 37)	LT
10/23/2013	07/20/2011	CAE INC C$	600 00	6,538 48	7,967 65	(1,429.17)	LT
10/24/2013	07/20/2011	CAE INC C$	375 00	4,134 80	4,954 89	(820 09)	LT
10/24/2013	07/20/2011	CAE INC C$	500.00	5,499.86	6,639 58	(1,139 72)	LT
10/28/2013	01/20/2010	CENOVUS ENERGY INC C$	325 00	9,548.51	7,860.42	1,688.09	LT
12/12/2013	01/21/2010	CENOVUS ENERGY INC C$	100 00	2,815.99	2,417.74	398 25	LT
12/12/2013	01/20/2010	CENOVUS ENERGY INC C$	100.00	2,821.23	2,423 81	397 42	LT
12/13/2013	01/21/2010	CENOVUS ENERGY INC C$	100 00	2,814 26	2,399 51	414 75	LT
12/16/2013	01/21/2010	CENOVUS ENERGY INC C$	100 00	2,823 28	2,399.51	423.77	LT
12/17/2013	01/21/2010	CENOVUS ENERGY INC C$	100 00	2,779.07	2,399.52	379 55	LT
12/12/2013	06/07/2010	CENOVUS ENERGY INC US$	100.00	2,821.55	2,632.71	188.84	LT
12/13/2013	05/27/2010	CENOVUS ENERGY INC US$	100.00	2,811.65	2,623.33	188.32	LT
12/17/2013	05/27/2010	CENOVUS ENERGY INC US$	100.00	2,776.32	2,623.33	152.99	LT
10/07/2013	01/08/2009	CERNER CORP	175 00	9,477 83	1,607 23	7,870.60	LT
12/27/2013	01/08/2009	CERNER CORP	100 00	5,535 90	880 45	4,655 45	LT
10/08/2013	01/13/2012	CIE FINANCIERE RICHEMON REG	67 00	6,778 13	3,685 35	3,092 78	LT
12/30/2013	12/08/2011	CIE FINANCIERE RICHEMON REG	60 00	6,022.15	3,301.42	2,720 73	LT
12/27/2013	09/10/2012	COACH INC	100 00	5,607 90	6,263.21	(655.31)	LT
10/07/2013	10/25/2010	COMCAST CORP CL A (NEW)	150 00	6,767.88	2,972 31	3,795.57	LT
12/27/2013	10/26/2010	COMCAST CORP CL A (NEW)	200 00	10,326.82	3,949 16	6,377 66	LT
12/30/2013	04/02/2013	DANONE	73 00	5,277 44	5,166 07	111.37	ST
12/30/2013	02/22/2010	DANONE	27 00	1,951 93	1,591 98	359.95	LT
12/27/2013	05/27/2009	DAVITA HEALTHCARE PARTNERS INC	100 00	6,329 88	2,280.33	4,049.55	LT
12/30/2013	06/27/2013	DBS GROUP HOLDINGS LTD	83 00	1,116 00	1,143 95	(27.95)	ST

CAPITAL
GROUP℠

Private Client Services

Realized Gain (Loss) Detail

HAWK ROCK FOUNDATION
Account Number. XXXX14900

For the Period October 1, 2013 - December 31, 2013
Reporting Currency. USD

Sale Date	Purchase Date	Description	Quantity	Proceeds	Cost	Realized Gain (Loss)	ST/LT
12/30/2013	09/28/2012	DBS GROUP HOLDINGS LTD	917.00	12,329 73	10,777.24	1,552 49	LT
10/08/2013	09/28/2012	DIAGEO PLC	400.00	12,400.74	11,369.53	1,031 21	LT
12/30/2013	09/28/2012	DIAGEO PLC	300 00	9,864.53	8,527.15	1,337 38	LT
12/27/2013	12/03/2012	EATON CORP PLC	300 00	22,991 59	15,496.50	7,495.09	LT
10/07/2013	10/31/2008	EMERSON ELECTRIC CO	175.00	11,159.55	5,669.39	5,490 16	LT
10/08/2013	12/16/2009	ESSILOR INTL	113.00	12,003 99	5,897.72	6,106.27	LT
12/27/2013	12/26/2012	EXPRESS SCRIPTS HOLDING CO	100.00	7,062.87	5,347 29	1,715.58	LT
12/30/2013	09/06/2012	GEMALTO NV	80.00	8,989.80	6,391.65	2,598.15	LT
10/07/2013	02/14/2012	GENPACT LTD	300.00	5,729.90	4,705.50	1,024.40	LT
12/04/2013	04/13/2012	GENTING SINGAPORE PLC	4,000.00	4,779.60	5,481.13	(701.53)	LT
12/27/2013	09/21/2012	GILEAD SCIENCES INC	400.00	29,763 48	13,533.16	16,230.32	LT
12/27/2013	11/03/2008	GOLDMAN SACHS GROUP INC	50.00	8,812 34	4,481.55	4,330.79	LT
10/07/2013	11/03/2008	GOOGLE INC CL A	10.00	8,653.14	3,442.19	5,210.95	LT
12/27/2013	11/03/2008	GOOGLE INC CL A	10.00	11,142.10	3,442.19	7,699 91	LT
12/27/2013	12/16/2011	HALLIBURTON CO	200.00	10,255.82	6,345.48	3,910.34	LT
12/30/2013	08/20/2012	HITACHI	1,000 00	7,539.65	6,013.00	1,526.65	LT
12/27/2013	09/20/2011	HOME DEPOT INC	100.00	8,131.85	3,432.02	4,699.83	LT
10/08/2013	01/27/2012	HSBC HOLDINGS PLC UKP	698 00	7,487.93	5,970.13	1,517.80	LT
10/17/2013	01/27/2012	HSBC HOLDINGS PLC UKP	961.00	10,515.09	8,218.94	2,296.15	LT
12/30/2013	01/27/2012	HSBC HOLDINGS PLC UKP	1,500.00	16,331.77	12,607.74	3,724.03	LT
12/27/2013	05/27/2009	ILLINOIS TOOL WORKS INC	100.00	8,359.85	3,271.64	5,088.21	LT
12/30/2013	02/02/2012	IMPERIAL TOBACCO PLC	150.00	5,779.01	5,355 46	423.55	LT
12/27/2013	10/02/2012	JACK HENRY & ASSOC INC	100.00	5,843.89	3,799.02	2,044.87	LT
12/27/2013	02/19/2009	JPMORGAN CHASE & CO	200.00	11,631 29	4,262.85	7,368.44	LT
12/30/2013	01/10/2012	KEYENCE CORP	100.00	42,193.47	21,673.95	20,519.52	LT

CAPITAL
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Private Client Services

Realized Gain (Loss) Detail

HAWK ROCK FOUNDATION
Account Number XXXX14900

For the Period October 1, 2013 - December 31, 2013
Reporting Currency USD

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11/12/2013	12/11/2012	KINDER MORGAN INC	475 00	16,421.88	16,093.50	328 38	ST
10/21/2013	09/27/2010	KLA-TENCOR CORP	100 00	6,427.97	3,379.45	3,048.52	LT
12/04/2013	09/28/2010	KLA-TENCOR CORP	100 00	6,188.39	3,367 13	2,821.26	LT
12/12/2013	09/27/2013	LI & FUNG LTD	4,000.00	4,986.75	5,889.64	(902.89)	ST
12/27/2013	09/02/2011	MARSH & MCLENNAN COS INC	100 00	4,829 41	2,896.63	1,932 78	LT
12/27/2013	08/15/2007	MICROSOFT CORP	200 00	7,446 87	5,200 39	2,246 48	LT
12/27/2013	08/17/2012	MONSANTO CO NEW COM	100 00	11,522.19	8,800 63	2,721 56	LT
12/12/2013	04/05/2013	MOSAIC CO/THE	200.00	8,801 56	11,703.01	(2,901.45)	ST
12/13/2013	04/03/2013	MOSAIC CO/THE	150 00	6,593 60	8,733 48	(2,139.88)	ST
12/30/2013	07/16/2009	MURATA MANUFACTURING CO LTD	100.00	8,857 30	4,566 47	4,290 83	LT
10/08/2013	12/16/2009	NATIONAL GRID PLC	600 00	7,135.73	6,529 90	605 83	LT
10/08/2013	01/18/2012	NESTLE SA REG	149.00	10,115 08	8,554 34	1,560 74	LT
12/30/2013	01/18/2012	NESTLE SA REG	100.00	7,344.63	5,741.16	1,603 47	LT
12/27/2013	12/18/2012	NEWELL RUBBERMAID INC	200 00	6,430 88	4,386.54	2,044.34	LT
12/27/2013	09/27/2011	NIELSEN HOLDINGS NV US$	200 00	9,140.34	5,377.80	3,762.54	LT
12/27/2013	11/05/2012	NOBLE ENERGY INC	100 00	6,835.88	4,567.54	2,268.34	LT
12/27/2013	01/24/2012	NORDSTROM INC	100 00	6,134 89	4,952.67	1,182 22	LT
12/27/2013	03/27/2012	NORFOLK SOUTHERN CORP	100.00	9,219.69	6,618 28	2,601.41	LT
12/30/2013	07/28/2010	NOVARTIS AG NAMEN	90 00	7,223 53	4,475 72	2,747 81	LT
12/30/2013	12/16/2009	NOVO NORDISK A/S B	60 00	11,050 87	3,227.57	7,823.30	LT
10/07/2013	09/27/2010	NUCOR CORP	250 00	12,137.28	9,114 55	3,022 73	LT
12/27/2013	10/08/2010	ORACLE CORP	200 00	7,605.86	5,564.40	2,041.46	LT
10/08/2013	03/25/2013	PERNOD RICARD SA	79 00	9,553 41	9,727.11	(173 70)	ST
12/27/2013	02/11/2010	PHILIP MORRIS INTERNATIONAL INC	75 00	6,499 38	3,656.43	2,842.95	LT

CAPITAL
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Private Client Services

Realized Gain (Loss) Detail

HAWK ROCK FOUNDATION
Account Number· XXXX14900

For the Period October 1, 2013 - December 31, 2013
Reporting Currency: USD

Sale Date	Purchase Date	Description	Quantity	Proceeds	Cost	Realized Gain (Loss)	ST/LT
12/27/2013	11/25/2008	QUALCOMM INC	100.00	7,394.87	3,277.70	4,117 17	LT
10/17/2013	09/14/2006	RECKITT BENCKISER GROUP PLC	200.00	14,026.32	8,098.15	5,928.17	LT
10/16/2013	03/14/2011	REPUBLIC SERVICES INC	400.00	13,222.92	11,849.62	1,373 30	LT
10/17/2013	03/15/2011	REPUBLIC SERVICES INC	75.00	2,482.29	2,206.00	276.29	LT
12/30/2013	01/18/2012	ROCHE HOLDING AG GENUSSCHEIN	20 00	5,591.83	3,510 04	2,081.79	LT
12/27/2013	08/02/2013	ROYAL CARIBBEAN CRUISES	100.00	4,722.91	3,899.80	823.11	ST
10/08/2013	06/27/2011	SAMPO OYJ A SHS	267.00	11,808.31	8,315 55	3,492 76	LT
12/30/2013	10/31/2011	SAMPO OYJ A SHS	175.00	8,643.52	5,176 71	3,466 81	LT
10/17/2013	12/09/2008	SAP AG	199.00	14,609.13	7,268.57	7,340.56	LT
10/07/2013	09/09/2010	SCHLUMBERGER LTD	100.00	8,938.84	5,837.46	3,101.38	LT
12/27/2013	10/31/2008	SCHLUMBERGER LTD	100 00	8,984.84	5,201.04	3,783.80	LT
12/30/2013	02/04/2011	SCHNEIDER ELECTRIC SA	175.00	15,294.12	13,334 28	1,959.84	LT
10/07/2013	09/28/2010	SCRIPPS NETWORKS INTERACTIVE CL A	75 00	5,723.15	3,516.93	2,206.22	LT
12/27/2013	09/28/2010	SCRIPPS NETWORKS INTERACTIVE CL A	75.00	6,356.88	3,505.68	2,851.20	LT
12/27/2013	07/12/2011	SEATTLE GENETICS INC	300.00	12,004.80	6,100.45	5,904.35	LT
12/30/2013	09/26/2012	SES FDR CL A (PARIS)	250.00	8,012.60	6,816 71	1,195.89	LT
12/27/2013	10/12/2011	SIGNET JEWELERS LTD	100.00	7,773 86	3,990.33	3,783 53	LT
12/30/2013	12/16/2009	SMC CORP	100.00	25,201.92	11,827.81	13,374.11	LT
12/30/2013	05/30/2012	SOFTBANK CORP	200.00	17,600.43	6,139.40	11,461.03	LT
12/27/2013	11/29/2012	STARBUCKS CORP	50.00	3,926.43	2,597.86	1,328.57	LT
12/30/2013	10/15/2013	SUMITOMO MITSUI FINANCIAL GROUP INC	100.00	5,170.73	5,000 75	169.98	ST
11/01/2013	11/30/2012	SWIRE PROPERTIES LTD	6,400.00	17,479.28	21,088.16	(3,608.88)	ST

CAPITAL
GROUP℠

Private Client Services

Realized Gain (Loss) Detail

HAWK ROCK FOUNDATION
Account Number: XXXX14900

For the Period October 1, 2013 - December 31, 2013
Reporting Currency· USD

Sale Date	Purchase Date	Description	Quantity	Proceeds	Cost	Realized Gain (Loss)	ST/LT
10/21/2013	02/26/2009	THE WALT DISNEY CO	125 00	8,417.78	2,137 52	6,280.26	LT
12/27/2013	02/26/2009	THE WALT DISNEY CO	50.00	3,713 18	855.01	2,858.17	LT
12/27/2013	08/11/2010	TIFFANY & CO NEW	75 00	6,801 63	3,192.70	3,608.93	LT
12/27/2013	09/07/2006	UNION PACIFIC CORP	25.00	4,138 67	993.82	3,144.85	LT
12/27/2013	01/24/2011	UNITED TECHNOLOGIES CORP	75.00	8,454 60	6,025.82	2,428.78	LT
12/27/2013	11/03/2009	UNITEDHEALTH GROUP INC	100.00	7,481.86	2,689.27	4,792.59	LT
12/27/2013	05/17/2013	VERISIGN INC	200 00	11,909 79	9,571 22	2,338 57	ST
Total Equity				1,089,650.43	739,808.61	349,841.82	
Total Sales				1,089,650.43	739,808.61	349,841.82	

Capital Gain Distributions

Fixed Income

12/13/2013	CAPITAL GROUP CORE BOND FUND	4,905.46	LT
Total Fixed Income		4,905.46	

Equity

12/30/2013	EMERGING MARKETS GROWTH FUND INC	36,026.71	LT
Total Equity		36,026.71	
Total Capital Gain Distributions		40,932.17	

HAWK ROCK FOUNDATION
EIN 26-1518305
SCHEDULE D - FORM 8949 - ATTACHMENT I

CAPITAL
GROUP℠

Private Client Services

Realized Gain (Loss) Detail

HAWK ROCK FOUNDATION
Account Number: XXXX14900

For the Period October 1, 2013 - December 31, 2013
Reporting Currency: USD

Sale Date	Purchase Date	Description	Quantity	Proceeds	Cost	Realized Gain (Loss)	ST/LT

	Period ended 12/31/2013	Year to date* 12/31/2013
Total net short-term gain (loss)	(4,759.70)	(6,587.90)
Total net long-term gain (loss)	354,601.52	708,826.56
Total long-term capital gain distributions	40,932.17	40,932.17
Total Gain (Loss)	390,773.99	743,170.83

* Fiscal year ending December 31

ATTACHMENT I

Form **8868**

(Rev January 2014)

Department of the Treasury
Internal Revenue Service

Application for Extension of Time To File an Exempt Organization Return

▶ **File a separate application for each return.**

▶ **Information about Form 8868 and its instructions is at *www.irs.gov/form8868*.**

OMB No. 1545-1709

- If you are filing for an **Automatic 3-Month Extension, complete only Part I** and check this box . . . . ▶ ☒
- If you are filing for an **Additional (Not Automatic) 3-Month Extension, complete only Part II** (on page 2 of this form)

Do not complete Part II unless you have already been granted an automatic 3-month extension on a previously filed Form 8868

Electronic filing *(e-file)*. You can electronically file Form 8868 if you need a 3-month automatic extension of time to file (6 months for a corporation required to file Form 990-T), or an additional (not automatic) 3-month extension of time. You can electronically file Form 8868 to request an extension of time to file any of the forms listed in Part I or Part II with the exception of Form 8870, Information Return for Transfers Associated With Certain Personal Benefit Contracts, which must be sent to the IRS in paper format (see instructions). For more details on the electronic filing of this form, visit *www irs gov/efile* and click on *e-file for Charities & Nonprofits*.

Part I Automatic 3-Month Extension of Time. Only submit original (no copies needed)

A corporation required to file Form 990-T and requesting an automatic 6-month extension - check this box and complete Part I only . . . . ▶ ☐

All other corporations (including 1120-C filers), partnerships, REMICs, and trusts must use Form 7004 to request an extension of time to file income tax returns.

Enter filer's identifying number, see instructions

Type or print File by the due date for filing your return See instructions	Name of exempt organization or other filer, see instructions HAWK ROCK FOUNDATION	Employer identification number (EIN) or 26-1518305
	Number, street, and room or suite no If a P O box, see instructions 22/F, TAI YAU BUILDING, 181 JOHNSTON ROAD	Social security number (SSN)
	City, town or post office, state, and ZIP code For a foreign address, see instructions WANCHAI HONG KONG	

Enter the Return code for the return that this application is for (file a separate application for each return) 0 4

Application Is For	Return Code	Application Is For	Return Code
Form 990 or Form 990-EZ	01	Form 990-T (corporation)	07
Form 990-BL	02	Form 1041-A	08
Form 4720 (individual)	03	Form 4720 (other than individual)	09
Form 990-PF	04	Form 5227	10
Form 990-T (sec 401(a) or 408(a) trust)	05	Form 6069	11
Form 990-T (trust other than above)	06	Form 8870	12

- The books are in the care of ▶ EAST ASIA SENTINEL TAX SVC LTD

Telephone No ▶ 852 28101018 FAX No ▶ 702 543-5489

- If the organization does not have an office or place of business in the United States, check this box . . . . ▶ ☒
- If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) ______ If this is for the whole group, check this box . . . . . . ▶ ☐ If it is for part of the group, check this box . . . . ▶ ☐ and attach a list with the names and EINs of all members the extension is for

1 I request an automatic 3-month (6 months for a corporation required to file Form 990-T) extension of time until 08/15, 20 14, to file the exempt organization return for the organization named above The extension is for the organization's return for:

▶ ☒ calendar year 20 13 or

▶ ☐ tax year beginning ____________, 20___, and ending ____________, 20___.

2 If the tax year entered in line 1 is for less than 12 months, check reason ☐ Initial return ☐ Final return ☐ Change in accounting period

3a	If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits See instructions	3a	$ 25,552.
b	If this application is for Form 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit	3b	$ 9,552.
c	**Balance due.** Subtract line 3b from line 3a Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System) See instructions	3c	$ 16,000.

Caution. If you are going to make an electronic funds withdrawal (direct debit) with this Form 8868, see Form 8453-EO and Form 8879-EO for payment instructions

For Privacy Act and Paperwork Reduction Act Notice, see instructions.