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Form **990-PF**

Department of the Treasury
Internal Revenue Service

# Return of Private Foundation

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

▶ **Do not enter Social Security numbers on this form as it may be made public. By law, the IRS cannot redact the information on the form.**

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

OMB No 1545-0052

**2013**

**Open to Public Inspection**

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

Name of foundation
THE MCSWEENEY FOUNDATION INC
C0 EDGAR S K MERRELL 3RD

**A Employer identification number**
26-3313677

Number and street (or P O box number if mail is not delivered to street address)
7624 NORTH STATE STREET

Room/suite

**B** Telephone number (see instructions)
(315) 724-2145

City or town, state or province, country, and ZIP or foreign postal code
LOWVILLE, NY 13367

**C** If exemption application is pending, check here ▶ ☐

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

**D 1.** Foreign organizations, check here ▶ ☐

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

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

**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)*▶$ 1,194,236

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

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

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

| | | | **(a)** Revenue and expenses per books | **(b)** Net investment income | **(c)** Adjusted net income | **(d)** Disbursements for charitable purposes (cash basis only) |
|---|---|---|---|---|---|---|
| Revenue | 1 | Contributions, gifts, grants, etc , received (attach schedule) | | | | |
| | 2 | Check ▶ ☑ if the foundation is **not** required to attach Sch B | | | | |
| | 3 | Interest on savings and temporary cash investments | 4,117 | 4,117 | 4,117 | |
| | 4 | Dividends and interest from securities | 16,046 | 16,046 | 16,046 | |
| | 5a | Gross rents | | | | |
| | b | Net rental income or (loss) | | | | |
| | 6a | Net gain or (loss) from sale of assets not on line 10 | 29,384 | | | |
| | b | Gross sales price for all assets on line 6a 103,493 | | | | |
| | 7 | Capital gain net income (from Part IV, line 2) | | 29,384 | | |
| | 8 | Net short-term capital gain | | | 1,258 | |
| | 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) | -876 | -876 | | |
| | 12 | **Total.** Add lines 1 through 11 | 48,671 | 48,671 | 21,421 | |
| Operating and Administrative Expenses | 13 | Compensation of officers, directors, trustees, etc | | | | |
| | 14 | Other employee salaries and wages | | | | |
| | 15 | Pension plans, employee benefits | | | | |
| | 16a | Legal fees (attach schedule) | | | | |
| | b | Accounting fees (attach schedule) | 1,420 | 1,420 | 1,420 | |
| | c | Other professional fees (attach schedule) | | | | |
| | 17 | Interest | | | | |
| | 18 | Taxes (attach schedule) (see instructions) | 530 | 74 | 74 | |
| | 19 | Depreciation (attach schedule) and depletion | | | | |
| | 20 | Occupancy | | | | |
| | 21 | Travel, conferences, and meetings | | | | |
| | 22 | Printing and publications | | | | |
| | 23 | Other expenses (attach schedule) | 165 | 165 | 165 | |
| | 24 | **Total operating and administrative expenses.** Add lines 13 through 23 | 2,115 | 1,659 | 1,659 | 0 |
| | 25 | Contributions, gifts, grants paid | 53,500 | | | 53,500 |
| | 26 | **Total expenses and disbursements.** Add lines 24 and 25 | 55,615 | 1,659 | 1,659 | 53,500 |
| | 27 | Subtract line 26 from line 12 | | | | |
| | a | **Excess of revenue over expenses and disbursements** | -6,944 | | | |
| | b | **Net investment income** (if negative, enter -0-) | | 47,012 | | |
| | c | **Adjusted net income** (if negative, enter -0-) | | | 19,762 | |

| 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 (a) Book Value | End of year (b) Book Value | (c) Fair Market Value |
|---|---|---|---|---|
| **Assets** | | | | |
| 1 | Cash—non-interest-bearing | 321,020 | 267,119 | 267,119 |
| 2 | Savings and temporary cash investments | | | |
| 3 | Accounts receivable ▶ ____<br>Less allowance for doubtful accounts ▶ ____ | | | |
| 4 | Pledges receivable ▶ ____<br>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) ▶ ____<br>Less allowance for doubtful accounts ▶ ____ | | | |
| 8 | Inventories for sale or use | | | |
| 9 | Prepaid expenses and deferred charges | | | |
| 10a | Investments—U S and state government obligations (attach schedule) | | | |
| b | Investments—corporate stock (attach schedule) | 357,476 | 303,991 | 409,068 |
| c | Investments—corporate bonds (attach schedule) | 31,989 | 31,701 | 33,249 |
| 11 | Investments—land, buildings, and equipment basis ▶ ____<br>Less accumulated depreciation (attach schedule) ▶ ____ | | | |
| 12 | Investments—mortgage loans | | | |
| 13 | Investments—other (attach schedule) | 379,344 | 481,749 | 484,800 |
| 14 | Land, buildings, and equipment basis ▶ ____<br>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) | 1,089,829 | 1,084,560 | 1,194,236 |
| **Liabilities** | | | | |
| 17 | Accounts payable and accrued expenses | | | |
| 18 | Grants payable | | | |
| 19 | Deferred revenue | | | |
| 20 | Loans from officers, directors, trustees, and other disqualified persons | | | |
| 21 | Mortgages and other notes payable (attach schedule) | | | |
| 22 | Other liabilities (describe ▶ ____ ) | | | |
| 23 | **Total liabilities** (add lines 17 through 22) | | 0 | |
| **Net Assets or Fund Balances** | | | | |
| | **Foundations that follow SFAS 117, check here** ▶ ☐<br>**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** ▶ ☑<br>**and complete lines 27 through 31.** | | | |
| 27 | Capital stock, trust principal, or current funds | 1,089,829 | 1,084,560 | |
| 28 | Paid-in or capital surplus, or land, bldg , and equipment fund | | | |
| 29 | Retained earnings, accumulated income, endowment, or other funds | | | |
| 30 | **Total net assets or fund balances** (see page 17 of the instructions) | 1,089,829 | 1,084,560 | |
| 31 | **Total liabilities and net assets/fund balances** (see page 17 of the instructions) | 1,089,829 | 1,084,560 | |

## 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 | 1,089,829 |
| 2 | Enter amount from Part I, line 27a | 2 | -6,944 |
| 3 | Other increases not included in line 2 (itemize) ▶ ____ | 3 | 1,675 |
| 4 | Add lines 1, 2, and 3 | 4 | 1,084,560 |
| 5 | Decreases not included in line 2 (itemize) ▶ ____ | 5 | |
| 6 | Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30 | 6 | 1,084,560 |

## 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 | | | |
| | | | |
| | | | |
| | | | |
| | | | |

| | (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 | 29,384 |
| 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 | 1,258 |

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

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

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

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period? ☐ Yes ☑ No
If "Yes," the foundation does not qualify under section 4940(e) Do not complete this part

**1** Enter the appropriate amount in each column for each year, see page 18 of the instructions before making any entries

| (a) Base period years Calendar year (or tax year beginning in) | (b) Adjusted qualifying distributions | (c) Net value of noncharitable-use assets | (d) Distribution ratio (col (b) divided by col (c)) |
|---|---|---|---|
| 2012 | 33,500 | 749,289 | 0 04471 |
| 2011 | 22,500 | 223,639 | 0 10061 |
| 2010 | 12,500 | 218,838 | 0 05712 |
| 2009 | | 185,563 | |
| 2008 | | | |

| | | | |
|---|---|---|---|
| 2 | **Total** of line 1, column (d). | 2 | 0 20244 |
| 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 05061 |
| 4 | Enter the net value of noncharitable-use assets for 2013 from Part X, line 5. | 4 | 1,188,422 |
| 5 | Multiply line 4 by line 3. | 5 | 60,146 |
| 6 | Enter 1% of net investment income (1% of Part I, line 27b). | 6 | 470 |
| 7 | Add lines 5 and 6. | 7 | 60,616 |
| 8 | Enter qualifying distributions from Part XII, line 4. | 8 | 53,500 |

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

## Part VI Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948—see page 18 of the instructions)

| | | | |
|---|---|---|---|
| 1a | Exempt operating foundations described in section 4940(d)(2), check here ▶ ☐ and enter "N/A" on line 1<br>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 | 940 |
| 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 | 940 |
| 4 | Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-) | 4 | |
| 5 | **Tax based on investment income.** Subtract line 4 from line 3 If zero or less, enter -0- | 5 | 940 |
| 6 | Credits/Payments | | |
| a | 2013 estimated tax payments and 2012 overpayment credited to 2013 | 6a | |
| b | Exempt foreign organizations—tax withheld at source | 6b | |
| c | Tax paid with application for extension of time to file (Form 8868) | 6c | |
| d | Backup withholding erroneously withheld | 6d | |
| 7 | Total credits and payments Add lines 6a through 6d | 7 | |
| 8 | Enter any **penalty** for underpayment of estimated tax Check here ☐ if Form 2220 is attached | 8 | |
| 9 | **Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ▶ | 9 | 940 |
| 10 | **Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶ | 10 | |
| 11 | Enter the amount of line 10 to be **Credited to 2014 estimated tax** ▶ **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 | | No |
| b | Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see page 19 of the instructions for definition)? | 1b | | No |
| | *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 | | No |
| d | Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year<br>**(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?<br>*If "Yes," attach a detailed description of the activities.* | 2 | | No |
| 3 | Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? *If "Yes," attach a conformed copy of the changes* | 3 | | No |
| 4a | Did the foundation have unrelated business gross income of $1,000 or more during the year? | 4a | | No |
| b | If "Yes," has it filed a tax return on **Form 990-T** for this year? | 4b | | No |
| 5 | Was there a liquidation, termination, dissolution, or substantial contraction during the year?<br>*If "Yes," attach the statement required by General Instruction T.* | 5 | | No |
| 6 | Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either<br>• By language in the governing instrument, or<br>• By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument? | 6 | Yes | |
| 7 | Did the foundation have at least $5,000 in assets at any time during the year? *If "Yes," complete Part II, col. (c), and Part XV.* | 7 | Yes | |
| 8a | Enter the states to which the foundation reports or with which it is registered (see instructions)<br>▶NY | | | |
| b | If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? *If "No," attach explanation* | 8b | Yes | |
| 9 | Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2013 or the taxable year beginning in 2013 (see instructions for Part XIV)? *If "Yes," complete Part XIV* | 9 | | No |
| 10 | Did any persons become substantial contributors during the tax year? *If "Yes," attach a schedule listing their names and addresses.* | 10 | | No |

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

| | | | | |
|---|---|---|---|---|
| 11 | At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions) | 11 | | No |
| 12 | Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions) | 12 | | No |
| 13 | Did the foundation comply with the public inspection requirements for its annual returns and exemption application? | 13 | Yes | |

Website address ▶N/A

14 The books are in care of ▶FITZGERALDDePietro & Wojnas Telephone no ▶(315) 724-2145

Located at ▶291 GENESEE ST UTICA NY ZIP+4 ▶13501

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 | | No |
| | See instructions for exceptions and filing requirements for Form TD F 90-22 1 If "Yes", enter the name of the foreign country ▶ | | | |

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

| | **File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.** | | | Yes | No |
|---|---|---|---|---|---|
| 1a | During the year did the foundation (either directly or indirectly) | | | | |
| | **(1)** Engage in the sale or exchange, or leasing of property with a disqualified person? | ☐ 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 page 20 of the instructions)? | | 1b | | No |
| | 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 | | No |
| 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 ▶ 20____, 20____, 20____, 20____ | | | | |
| b | Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to **all** years listed, answer "No" and attach statement—see instructions ) | | 2b | | No |
| c | If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here ▶ 20____, 20____, 20____, 20____ | | | | |
| 3a | Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? | ☐ 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 | | No |
| 4a | Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? | | 4a | | No |
| b | Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2013? | | 4b | | No |

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

| | | | | |
|---|---|---|---|---|
| **5a** | During the year did the foundation pay or incur any amount to | | | |
| | **(1)** Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? ☐ 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** | | **No** |
| | 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? | **6b** | | **No** |
| | *If "Yes" to 6b, file Form 8870.* | | | |
| **7a** | At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? ☐ Yes ☑ No | | | |
| **b** | If yes, did the foundation receive any proceeds or have any net income attributable to the transaction? | **7b** | | **No** |

## 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 |
|---|---|---|---|---|
| L MICHAEL FITZGERALD<br>291 GENESEE STREET<br>UTICA,NY 13501 | Treasurer<br>0 25 | 0 | | |
| W PETER NORTZ<br>7455 SOUTH STATE STREET<br>LOWVILLE,NY 13367 | President<br>0 25 | 0 | | |
| EDGAR S K MERRELL 3RD<br>7624 NORTH STATE STREET<br>LOWVILLE,NY 13367 | Secretary<br>0 25 | 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** | |
| **2** | |
| **3** | |
| **4** | |

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

| Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2 | Amount |
|---|---|
| **1** | |
| **2** | |
| All other program-related investments See page 24 of the instructions | |
| **3** | |
| **Total.** Add lines 1 through 3 . . . . . . . . . . . . . . . . . . . . . . . . ► | |

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

| | | | |
|---|---|---|---|
| 1 | Fair market value of assets not used (or held for use) directly in carrying out charitable, etc , purposes | | |
| a | Average monthly fair market value of securities | 1a | 873,343 |
| b | Average of monthly cash balances | 1b | 333,177 |
| c | Fair market value of all other assets (see instructions) | 1c | 0 |
| d | **Total** (add lines 1a, b, and c) | 1d | 1,206,520 |
| e | Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) — 1e: 0 | | |
| 2 | Acquisition indebtedness applicable to line 1 assets | 2 | |
| 3 | Subtract line 2 from line 1d | 3 | 1,206,520 |
| 4 | Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions) | 4 | 18,098 |
| 5 | **Net value of noncharitable-use assets.** Subtract line 4 from line 3 Enter here and on Part V, line 4 | 5 | 1,188,422 |
| 6 | **Minimum investment return.** Enter 5% of line 5 | 6 | 59,421 |

**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 | 59,421 |
| 2a | Tax on investment income for 2013 from Part VI, line 5 — 2a: 940 | | |
| b | Income tax for 2013 (This does not include the tax from Part VI ) — 2b: | | |
| c | Add lines 2a and 2b | 2c | 940 |
| 3 | Distributable amount before adjustments Subtract line 2c from line 1 | 3 | 58,481 |
| 4 | Recoveries of amounts treated as qualifying distributions | 4 | |
| 5 | Add lines 3 and 4 | 5 | 58,481 |
| 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 | 58,481 |

**Part XII** **Qualifying Distributions** (see instructions)

| | | | |
|---|---|---|---|
| 1 | Amounts paid (including administrative expenses) to accomplish charitable, etc , purposes | | |
| a | Expenses, contributions, gifts, etc —total from Part I, column (d), line 26 | 1a | 53,500 |
| b | Program-related investments—total from Part IX-B | 1b | |
| 2 | Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc , purposes | 2 | |
| 3 | Amounts set aside for specific charitable projects that satisfy the | | |
| a | Suitability test (prior IRS approval required) | 3a | |
| b | Cash distribution test (attach the required schedule) | 3b | |
| 4 | **Qualifying distributions.** Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4 | 4 | 53,500 |
| 5 | Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income Enter 1% of Part I, line 27b (see instructions) | 5 | |
| 6 | **Adjusted qualifying distributions.** Subtract line 5 from line 4 | 6 | 53,500 |

**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 | | | | | 58,481 |
| 2 Undistributed income, if any, as of the end of 2013 | | | | | |
| a Enter amount for 2012 only. . . . . . . | | | | | |
| b Total for prior years 20___, 20___, 20___ | | | | | |
| 3 Excess distributions carryover, if any, to 2013 | | | | | |
| a From 2008. . . . . . . | | | | | |
| b From 2009. . . . . . . | | | | | |
| c From 2010. . . . . . . | | | | | |
| d From 2011. . . . . . . | 439 | | | | |
| e From 2012. . . . . . . | | | | | |
| f **Total** of lines 3a through e. . . . . . . . . | | 439 | | | |
| 4 Qualifying distributions for 2013 from Part XII, line 4 ▶ $ 53,500 | | | | | |
| 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). . . . . . . . . | | 0 | | | |
| d Applied to 2013 distributable amount. . . . . | | | | | 53,500 |
| e Remaining amount distributed out of corpus | | | | | |
| 5 Excess distributions carryover applied to 2013 *(If an amount appears in column (d), the same amount must be shown in column (a).)* | | 439 | | | 439 |
| 6 **Enter the net total of each column as indicated below:** | | | | | |
| a Corpus Add lines 3f, 4c, and 4e Subtract line 5 | | | | | |
| 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 . . . . . . . . . . . | | | | | 4,542 |
| 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 . . . . . . | | | | | |
| 10 Analysis of line 9 | | | | | |
| a Excess from 2009. . . . | | | | | |
| b Excess from 2010. . . . | | | | | |
| c Excess from 2011. . . . | | | | | |
| d Excess from 2012. . . . | | | | | |
| e Excess from 2013. . . . | | | | | |

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

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

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

| | 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<br>**a** "Assets" alternative test—enter<br>**(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<br>**(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 organization had $5,000 or more in assets at any time during the year—see instructions.)

**1 Information Regarding Foundation Managers:**

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

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

**2 Information Regarding Contribution, Grant, Gift, Loan, Scholarship, etc., Programs:**

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

**a** The name, address, and telephone number 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<br>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* | | | | |
| See Additional Data Table | | | | |
| **Total** . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . ▶ **3a** | | | | 53,500 |
| **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 . . . . . . . . . . . . | | | 14 | 4,117 | |
| 4 Dividends and interest from securities. . . . | | | 14 | 16,046 | |
| 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 . . . . . . . . . . . . . | | | 18 | 29,384 | |
| 9 Net income or (loss) from special events | | | | | |
| 10 Gross profit or (loss) from sales of inventory. . | | | | | |
| 11 Other revenue a Schedule K-1 | | | 14 | -876 | |
| b | | | | | |
| c | | | | | |
| d | | | | | |
| e | | | | | |
| 12 Subtotal Add columns (b), (d), and (e). . | | | | 48,671 | |

13 **Total.** Add line 12, columns (b), (d), and (e). . . . . . . . . . . . . . . . . . . . 13 48,671

(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**

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?

| | | Yes | No |
|---|---|---|---|
| a Transfers from the reporting foundation to a noncharitable exempt organization of | | | |
| (1) Cash | 1a(1) | | No |
| (2) Other assets | 1a(2) | | No |
| b Other transactions | | | |
| (1) Sales of assets to a noncharitable exempt organization | 1b(1) | | No |
| (2) Purchases of assets from a noncharitable exempt organization | 1b(2) | | No |
| (3) Rental of facilities, equipment, or other assets | 1b(3) | | No |
| (4) Reimbursement arrangements | 1b(4) | | No |
| (5) Loans or loan guarantees | 1b(5) | | No |
| (6) Performance of services or membership or fundraising solicitations | 1b(6) | | No |
| c Sharing of facilities, equipment, mailing lists, other assets, or paid employees | 1c | | No |

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

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

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

b If "Yes," complete the following schedule

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

**Sign Here**

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

****** | 2014-05-13 | ******

Signature of officer or trustee | Date | Title

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

**Paid Preparer Use Only**

| Print/Type preparer's name | Preparer's Signature | Date | Check if self-employed ☐ | PTIN |
|---|---|---|---|---|
| David Wojnas | | | | P00954033 |
| Firm's name ▶ FITZGERALD DEPIETRO & WOJNAS CPAs PC | | | Firm's EIN ▶ | |
| Firm's address ▶ 291 GENESEE STREET UTICA, NY 13501 | | | Phone no (315)724-2145 | |

## Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment

| Recipient<br>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* | | | | |
| Lewis County Hospital 7785 North State Street<br>Lowville, NY 13367 | NONE | 501C3 | GENERAL FUNDS | 15,500 |
| St Peters Church 422 Coventry Ave<br>Utica, NY 13502 | NONE | 501C3 | GENERAL FUNDS | 5,000 |
| Lewis County Humane Society 6390 Pine Grove Rd<br>Glenfield, NY 13343 | NONE | 501C3 | GENERAL FUNDS | 5,000 |
| Care Net Pregancy Ctr of CNY 2414 Genesee Street<br>Utica, NY 13501 | NONE | 501C3 | GENERAL FUNDS | 5,000 |
| The Red Cross 1415 Genesee St<br>Utica, NY 13501 | NONE | 501C3 | GENERAL FUNDS | 5,000 |
| Sisters of the Precious Blood 4000 Denlinger Road<br>Dayton, OH 45426 | NONE | 501C3 | GENERAL FUNDS | 3,000 |
| Lewis County Hospice PO Box 266<br>Lowville, NY 13367 | None | 501C3 | General Funds | 3,000 |
| The Rescue Mission of Utica 212 Rutger Street<br>Utica, NY 13501 | None | 501C3 | General Funds | 3,000 |
| The ARC Oneida Lewis Chapter 245 Genesee Street<br>Utica, NY 13501 | None | 501C3 | General Funds | 3,000 |
| Lowville Free Library 5387 Dayan Street<br>Lowville, NY 13367 | None | 501C3 | General Funds | 3,000 |
| Care Net Pregnancy Ctr of NNY 104 Washington St<br>Watertown, NY 13601 | NONE | 501C3 | General Funds | 3,000 |
| **Total** . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . ▶ **3a** | | | | 53,500 |

# TY 2013 Accounting Fees Schedule

**Name:** THE MCSWEENEY FOUNDATION INC
C0 EDGAR S K MERRELL 3RD
**EIN:** 26-3313677
**Software ID:** 13000170
**Software Version:** 2013v3.1

| Category | Amount | Net Investment Income | Adjusted Net Income | Disbursements for Charitable Purposes |
|---|---|---|---|---|
| Fitzgerald, DePietro & Wojnas PC | 1,420 | 1,420 | 1,420 | 0 |

efile GRAPHIC print - DO NOT PROCESS | As Filed Data - | DLN: 93491133022004

# TY 2013 General Explanation Attachment

**Name:** THE MCSWEENEY FOUNDATION INC
C0 EDGAR S K MERRELL 3RD

**EIN:** 26-3313677

**Software ID:** 13000170

**Software Version:** 2013v3.1

| Identifier | Return Reference | Explanation |
|---|---|---|
| | General Explanation Supplemental Information for Form 990-PF | Federal StatementsThe McSweeney Foundation, Inc C/O Edgar S K Merrell 3rd26-3313677FORM 990-PF, PART VII-B, LINE 1a (4)Accounting fees of $1,420 were paid to Fitzgerald, DePietro & Wojnas C P A 's PC of which Trustee L Michael Fitzgerald is the Treasurer, see Part VII of Form 990-PF |

| efile GRAPHIC print - DO NOT PROCESS | As Filed Data - | DLN: 93491133022004 |
|---|---|---|

# TY 2013 Investments Corporate Bonds Schedule

**Name:** THE MCSWEENEY FOUNDATION INC

C0 EDGAR S K MERRELL 3RD

**EIN:** 26-3313677

**Software ID:** 13000170

**Software Version:** 2013v3.1

| Name of Bond | End of Year Book Value | End of Year Fair Market Value |
|---|---|---|
| See Attached Schedule Y | 31,701 | 33,249 |

# TY 2013 Investments Corporate Stock Schedule

**Name:** THE MCSWEENEY FOUNDATION INC

CO EDGAR S K MERRELL 3RD

**EIN:** 26-3313677

**Software ID:** 13000170

**Software Version:** 2013v3.1

| Name of Stock | End of Year Book Value | End of Year Fair Market Value |
|---|---|---|
| See Attached Schedule Y | 303,991 | 409,068 |

# TY 2013 Investments - Other Schedule

**Name:** THE MCSWEENEY FOUNDATION INC

C0 EDGAR S K MERRELL 3RD

**EIN:** 26-3313677

**Software ID:** 13000170

**Software Version:** 2013v3.1

| Category/ Item | Listed at Cost or FMV | Book Value | End of Year Fair Market Value |
|---|---|---|---|
| See Attached Schedule Y | AT COST | 481,749 | 484,800 |

# TY 2013 Other Expenses Schedule

**Name:** THE MCSWEENEY FOUNDATION INC
C0 EDGAR S K MERRELL 3RD

**EIN:** 26-3313677

**Software ID:** 13000170

**Software Version:** 2013v3.1

| Description | Revenue and Expenses per Books | Net Investment Income | Adjusted Net Income | Disbursements for Charitable Purposes |
|---|---|---|---|---|
| Bank Service Charges | 15 | 15 | 15 | |
| Other Investment Expense | 150 | 150 | 150 | |

# TY 2013 Other Income Schedule

**Name:** THE MCSWEENEY FOUNDATION INC

C0 EDGAR S K MERRELL 3RD

**EIN:** 26-3313677

**Software ID:** 13000170

**Software Version:** 2013v3.1

| Description | Revenue And Expenses Per Books | Net Investment Income | Adjusted Net Income |
|---|---|---|---|
| Schedule K-1 | -876 | -876 | |

| efile GRAPHIC print - DO NOT PROCESS | As Filed Data - | DLN: 93491133022004 |
|---|---|---|

# TY 2013 Other Increases Schedule

**Name:** THE MCSWEENEY FOUNDATION INC
C0 EDGAR S K MERRELL 3RD

**EIN:** 26-3313677

**Software ID:** 13000170

**Software Version:** 2013v3.1

| Description | Amount |
|---|---|
| Offset to Sch. K-1 Income | 1,675 |

# TY 2013 Taxes Schedule

**Name:** THE MCSWEENEY FOUNDATION INC
C0 EDGAR S K MERRELL 3RD

**EIN:** 26-3313677

**Software ID:** 13000170

**Software Version:** 2013v3.1

| Category | Amount | Net Investment Income | Adjusted Net Income | Disbursements for Charitable Purposes |
|---|---|---|---|---|
| 2012 Form 990 | 181 | | | |
| 2012 NYS Filing Fee | 275 | | | |
| Foreign Taxes | 74 | 74 | 74 | |

# TY 2013 IRS Payment

| | |
|---|---|
| **Name:** | THE MCSWEENEY FOUNDATION INC<br>C0 EDGAR S K MERRELL 3RD |
| **EIN:** | 26-3313677 |
| **Software ID:** | 13000170 |
| **Software Version:** | 2013v3.1 |
| **Routing Transit Number:** | 021311383 |
| **Bank Account Number:** | 770024 |
| **Type of Account:** | Checking |
| **Payment Amount in Dollars and Cents:** | 940 |
| **Requested Payment Date:** | 2014-05-15 |
| **Taxpayer's Daytime Phone Number:** | (315) 724-2145 |

McSweeney Foundation
26-3313677
Realized Gain and Losses
1/1/13 - 12/31/13
Morgan Stanley Account

| Security | Date Acquired | Date Sold | Quantity | Sale Proceeds | Cost | Gain | Loss |
|---|---|---|---|---|---|---|---|
| Freeport Mcmoran CP | 04/23/12 | 03/28/13 | 100 | 3,153 | 3,843 | | (690) |
| CST Brands Inc | 12/09/09 | 05/01/13 | | 10 | 0 | 10 | |
| Kraft Foods | 11/19/10 | 05/16/13 | 105 | 5,668 | 3,380 | 2,288 | |
| Mondelez Intl | 11/19/10 | 05/16/13 | 315 | 9,709 | 6,252 | 3,457 | |
| Aqua Amer Inc | 11/19/10 | 11/26/13 | 600 | 14,216 | 10,061 | 4,155 | |
| Archer Daniels Midland | 01/17/12 | 11/16/13 | 100 | 4,119 | 2,998 | 1,121 | |
| | 01/17/12 | 11/26/13 | 100 | 4,127 | 2,998 | 1,129 | |
| Bank Baroda CD | 11/20/12 | 11/25/13 | 50000 | 50,000 | 50,000 | 0 | |
| Chevron | 05/03/10 | 11/26/13 | 13 | 1,570 | 1,067 | 503 | |
| | 11/19/10 | 11/26/13 | 106 | 12,804 | 8,839 | 3,965 | |
| | 08/15/78 | 11/26/13 | 31 | 3,744 | 2,073 | 1,671 | |
| CST Brands Inc | 12/09/09 | 11/26/13 | 10 | 325 | 127 | 198 | |
| | 12/11/09 | 11/26/13 | 1 | 45 | 18 | 27 | |
| | 08/28/12 | 11/26/13 | 33 | 1,027 | 780 | 247 | |
| Johnson Controls | 08/30/12 | 11/26/13 | 100 | 4,877 | 2,801 | 2,076 | |
| Marathon Petrol | 08/30/12 | 11/26/13 | 100 | 7,997 | 5,139 | 2,858 | |
| Natl Fuel Gas | 07/03/12 | 11/26/13 | 100 | 6,651 | 4,951 | 1,700 | |
| Occidental Petrol | 11/19/10 | 11/26/13 | 100 | 9,583 | 8,751 | 832 | |
| Paychex Inc | 07/03/12 | 11/26/13 | 150 | 6,414 | 4,866 | 1,548 | |
| Eaton Corp | 12/03/12 | 11/26/13 | 100 | 7,114 | 5,166 | 1,948 | |
| | | | | 153,153 | 124,110 | 29,733 | (690) |
| | | | ST Gain | 10,267 | 9,009 | 1,258 | |
| | | | LT Gain | 142,886 | 115,101 | 27,785 | |
| | | | LT Loss | 0 | 0 | | 0 |

The McSweeney Foundation, Inc.
Form 990 - PF
Part II Balance Sheet
Schedule Y

| | Smith Barney A/C # 804-119158 | |
|---|---|---|
| | Cost | FMV |
| Investments - Corporate Stocks | 303,991 | 409,068 |
| Investments - Other: | | |
| Money Funds | 182,560 | 182,560 |
| Certificate of Deposits | 100,000 | 100,313 |
| Mutual Funds | 199,189 | 201,927 |
| Total Other | 481,749 | 484,800 |
| Investments - Corporate Bonds | 31,701 | 33,249 |
| | 817,441 | 927,117 |

Morgan Stanley



**CLIENT STATEMENT** | For the Period December 1-31, 2013

McSweeny Foundation
26-3313677
Schedule 4

## Account Detail

Active Assets Account
840-119158-213

THE MCSWEENEY FOUNDATION, INC
E MERRELL, MERRELL, & MERRELL

INTERESTED PARTY COPY

Brokerage Account

**Investment Objectives**†: Capital Appreciation, Income

*† See the Expanded Disclosures for more information about investment objectives. Please review for accuracy and inform us if your investment objectives change.*

## HOLDINGS

*This section reflects positions purchased/sold on a trade date basis, and will include positions purchased and omit positions sold in the current month. "Market Value" and "Unrealized Gain/(Loss)" are representative values as of the last business day of the statement period indicated, may not reflect the value that could be obtained in the market. See "Pricing of Securities" in the Expanded Disclosures. Fixed Income securities are sorted by maturity or pre-refunding date, and alphabetically within date. Estimated annual income and estimated yield for certain securities may include return of principal or capital gains which could overstate such estimates. Actual income or yield may be lower or higher than the estimates. Estimated yield reflects only the income generated by an investment and, it does not reflect changes in its price, which may fluctuate. Structured products appear in various statement product categories and are identified as "Structured Products" in the Security Description column. Estimated accrued interest, estimated annual income and estimated yield for structured products with a contingent income feature (such as Range Accrual Notes or Contingent Income Notes) assume specified accrual conditions are met during the relevant observation period and payment in full of all contingent interest. If you hold structured products, see "Special Considerations Regarding Structured Products" in the Disclosures. New Treasury regulations require that we report on Form 1099-B after the close of the tax year your adjusted cost basis and classify the gain or loss as either long-term or short-term on the sale of covered securities acquired on or after January 1, 2011. These regulations also require that we make basis adjustments on covered securities due to wash sales, certain corporate actions and transfers by gift or inheritance, which will be reflected on your Form 1099-B. Cost basis is reflected on monthly statements for informational purposes only and should not be used in the preparation of your income tax returns. Refer to the Expanded Disclosures for additional information.*

### CASH, BANK DEPOSIT PROGRAM AND MONEY MARKET FUNDS

*Cash, Bank Deposit Program, and Money Market Funds are generally displayed on a settlement date basis. Estimated Annual Income, Accrued Interest, and APY% will only be displayed for fully settled positions.*

| Description | Value | Estimated Annual Income | 7-Day Current Yield % | Annual Percentage Yield % |
|---|---|---|---|---|
| CASH | $15.37 | | | |
| MS ACTIVE ASSETS MONEY TRUST | 182,544.21 | 18.25 | 0.010 | — |

| | Percentage of Assets % | Market Value | Estimated Annual Income / Accrued Interest |
|---|---|---|---|
| CASH, BDP, AND MMFs | 19.7% | $182,559.58 | $18.25<br>$0.00 |

*Money market funds seek to maintain a share price of $1.00, therefore the dollar amounts listed equal the number of shares. Additional information concerning these transactions is available upon request. For more information about the pricing of Money Market Funds, please see the Expanded Disclosures.*
*The money market funds reflected above include the balances in your automatic sweep feature, if any, and may include other money market funds that have been purchased in your account.*

Total Cost = 817,441

035210 MSGDD157 010733

# Account Detail

McSweeney Foundation
26-3318677
Schedule Y

Active Assets Account
840-119158-213

THE MCSWEENEY FOUNDATION, INC
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## STOCKS

### COMMON STOCKS

*Morgan Stanley & Co LLC (Morgan Stanley) and Standard & Poor's equity research ratings may be shown for certain securities. All research ratings represent the "opinions" of the research provider and are not representations or guarantees of performance. Because the applicable research report contains more complete information regarding the analyst's opinions, analysis, and rating, you should read the entire research report and not infer its contents from the rating. For ease of comparison, Morgan Stanley and Standard & Poor's equity research ratings have been normalized to a 1 (Buy), 2 (Hold), and 3 (Sell). Please refer to the quarter month-end statement (or your first statement, if you have not yet received a statement at the quarter-end) for a summary guide describing Morgan Stanley and Standard & Poor's ratings Morgan Stanley Smith Barney LLC does not take responsibility for, and does not guarantee the accuracy, completeness, or timeliness of research prepared for Standard & Poor's.*

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| AQUA AMER INC (WTR) | 11/19/10 | 650.000 | $16.768 | $10,899.20 | **$15,333.50** | $4,434.30 LT 1 | $395.20 | 2.57 |
| *Share Price: $23.590; Rating: S&P: 1; Next Dividend Payable 03/2014* | | | | | | | | |
| AT&T INC (T) | 11/19/10 | 400.000 | 28.290 | 11,316.00 | 14,064.00 | 2,748.00 LT 1 | | |
| | 1/17/12 | 200.000 | 31.097 | 6,219.38 | 7,032.00 | 812.62 LT | --- | |
| | Total | 600.000 | | 17,535.38 | **21,096.00** | 3,560.62 LT | 1,104.00 | 5.23 |
| *Share Price: $35.160; Rating: Morgan Stanley: 2, S&P: 2; Next Dividend Payable 02/2014* | | | | | | | | |
| BRISTOL MYERS SQUIBB CO (BMY) | 4/23/12 | 100.000 | 35.145 | 3,514.46 | **5,315.00** | 1,800.54 LT | 144.00 | 2.70 |
| *Share Price: $53.150; Rating: Morgan Stanley: 1, S&P: 2; Next Dividend Payable 02/03/14* | | | | | | | | |
| CHEVRON CORP (CVX) | 11/19/10 | 210.000 | 83.390 | 17,511.90 | **26,231.10** | 8,719.20 LT 1 | 840.00 | 3.20 |
| *Share Price: $124.910, Rating: Morgan Stanley. 1, S&P: 1; Next Dividend Payable 03/2014* | | | | | | | | |
| CMNTY BK SYST INCORPORATED (CBU) | 11/19/10 | 440.000 | 24.100 | 10,604.00 | 17,459.20 | 6,855.20 LT 1 | | |
| | 8/30/12 | 300.000 | 28.872 | 8,661.51 | 11,904.00 | 3,242.49 LT | | |
| | Total | 740.000 | | 19,265.51 | **29,363.20** | 10,097.69 LT | 828.80 | 2.82 |
| *Share Price: $39.680; Next Dividend Payable 01/10/14* | | | | | | | | |
| CONOCOPHILLIPS (COP) | 10/6/09 | 43.000 | 37.142 | 1,597.10 | 3,037.95 | 1,440.85 LT | | |
| | 8/30/12 | 100.000 | 57.927 | 5,792.65 | 7,065.00 | 1,272.35 LT | | |
| | Total | 143.000 | | 7,389.75 | **10,102.95** | 2,713.20 LT | 394.68 | 3.90 |
| *Share Price: $70.650; Rating. Morgan Stanley: 3, S&P: 1, Next Dividend Payable 03/2014* | | | | | | | | |
| DOW CHEMICAL CO (DOW) | 6/3/13 | 200.000 | 35.127 | 7,025.35 | **8,880.00** | 1,854.65 ST | 256.00 | 2.88 |
| *Share Price: $44.400; Rating: Morgan Stanley: 2, S&P: 2; Next Dividend Payable 01/30/14* | | | | | | | | |
| DU PONT EI DE NEMOURS & CO (DD) | 1/17/12 | 200.000 | 49.477 | 9,895.38 | **12,994.00** | 3,098.62 LT | 360.00 | 2.77 |
| *Share Price: $64.970; Rating: Morgan Stanley: 2, S&P: 2; Next Dividend Payable 03/2014* | | | | | | | | |
| DUKE ENERGY CORP NEW (DUK) | 11/19/10 | 138.000 | 52.905 | 7,300.93 | **9,523.38** | 2,222.45 LT | 430.56 | 4.52 |
| *Share Price. $69.010; Rating: Morgan Stanley: 1, S&P: 2; Next Dividend Payable 03/2014* | | | | | | | | |
| EMC CORP MASS (EMC) | 4/23/12 | 100.000 | 28.700 | 2,870.00 | **2,515.00** | (355.00) LT | 40.00 | 1.59 |
| *Share Price: $25.150; Rating: Morgan Stanley: 2, S&P: 1; Next Dividend Payable 01/2014* | | | | | | | | |
| EMERSON ELECTRIC CO (EMR) | 7/3/12 | 100.000 | 47.137 | 4,713.65 | **7,018.00** | 2,304.35 LT | 172.00 | 2.45 |
| *Share Price: $70.180; Rating: Morgan Stanley: 2, S&P: 1; Next Dividend Payable 03/2014* | | | | | | | | |
| ENBRIDGE ENERGY PTNRS LP (EEP) | 2/6/13 | 200.000 | 29.849 | 5,969.80 | **5,974.00** | 4.20 ST | 434.80 | 7.27 |
| *Share Price: $29.870; Rating: Morgan Stanley: 3, S&P: 2; Next Dividend Payable 02/2014* | | | | | | | | |

Security Mark

Account Detail

McSweeny Foundation
26-3313677
Schedule 4

Active Assets Account
840-119158-213

THE MCSWEENEY FOUNDATION, INC
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## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| GENERAL ELECTRIC CO (GE) | 10/6/09 | 99.000 | 16.070 | 1,590.93 | 2,774.97 | 1,184.04 LT | | |
| | 11/30/09 | 65.000 | 15.876 | 1,031.94 | 1,821.95 | 790.01 LT | | |
| | Total | 164.000 | | 2,622.87 | **4,596.92** | 1,974.05 LT | 144.32 | 3.13 |
| *Share Price: $28.030; Rating: Morgan Stanley: 2, S&P: 1; Next Dividend Payable 01/27/14* | | | | | | | | |
| INTL BUSINESS MACHINES CORP (IBM) | 10/6/09 | 20.000 | 120.800 | 2,416.00 | **3,751.40** | 1,335.40 LT | 76.00 | 2.02 |
| *Share Price: $187.570; Rating: Morgan Stanley. 2, S&P: 1; Next Dividend Payable 03/2014* | | | | | | | | |
| JOHNSON CONTROLS INCORPORATED (JCI) | 8/30/12 | 100.000 | 28.008 | 2,800.83 | **5,130.00** | 2,329.17 LT | 88.00 | 1.71 |
| *Share Price: $51.300; Rating: Morgan Stanley: 3, S&P: 1; Next Dividend Payable 01/06/14* | | | | | | | | |
| KEYCORP NEW (KEY) | 11/19/10 | 2,850.000 | 7.620 | 21,717.00 | **38,247.00** | 16,530.00 LT 1 | 627.00 | 1.63 |
| *Share Price: $13.420; Rating: Morgan Stanley: 2, S&P: 2; Next Dividend Payable 03/2014* | | | | | | | | |
| MARATHON PETROLEUM CORP (MPC) | 8/30/12 | 200.000 | 51.389 | 10,277.79 | **18,346.00** | 8,068.21 LT | 336.00 | 1.83 |
| *Share Price: $91.730; Rating: Morgan Stanley: 1, S&P: 1; Next Dividend Payable 03/2014* | | | | | | | | |
| MEMORIAL PRODN PTNRS (MEMP) | 2/22/13 | 300.000 | 19.116 | 5,734.79 | **6,582.00** | 847.21 ST | 660.00 | 10.02 |
| *Share Price: $21.940; Next Dividend Payable 02/2014* | | | | | | | | |
| MONSANTO CO/NEW (MON) | 1/17/12 | 100.000 | 82.230 | 8,223.00 | **11,655.00** | 3,432.00 LT | 172.00 | 1.47 |
| *Share Price: $116.550; Rating: Morgan Stanley. 1, S&P: 2; Next Dividend Payable 01/2014* | | | | | | | | |
| NATL FUEL GAS CO (NFG) | 8/30/12 | 200.000 | 51.012 | 10,202.39 | **14,280.00** | 4,077.61 LT | 300.00 | 2.10 |
| *Share Price: $71.400; Rating: Morgan Stanley: 2, S&P: 2; Next Dividend Payable 01/15/14* | | | | | | | | |
| NBT BANCORP (NBTB) | 1/17/12 | 300.000 | 23.818 | 7,145.34 | 7,770.00 | 624.66 LT | | |
| | 8/30/12 | 300.000 | 21.781 | 6,534.20 | 7,770.00 | 1,235.80 LT | | |
| | Total | 600.000 | | 13,679.54 | **15,540.00** | 1,860.46 LT | 504.00 | 3.24 |
| *Share Price: $25.900; Next Dividend Payable 03/2014* | | | | | | | | |
| OCCIDENTAL PETROLEUM CORP DE (OXY) | 11/19/10 | 200.000 | 87.510 | 17,502.00 | **19,020.00** | 1,518.00 LT 1 | 512.00 | 2.69 |
| *Share Price: $95.100; Rating: Morgan Stanley: 2, S&P: 1; Next Dividend Payable 01/15/14* | | | | | | | | |
| PAYCHEX INC (PAYX) | 8/30/12 | 200.000 | 34.023 | 6,804.61 | **9,106.00** | 2,301.39 LT | 280.00 | 3.07 |
| *Share Price: $45.530; Rating: Morgan Stanley: 3, S&P: 2; Next Dividend Payable 02/2014* | | | | | | | | |
| PG&E CORPORATION (PCG) | 11/19/10 | 200.000 | 47.265 | 9,453.00 | **8,056.00** | (1,397.00) LT 1 | 364.00 | 4.51 |
| *Share Price: $40.280; Rating: Morgan Stanley: 2, S&P: 2; Next Dividend Payable 01/15/14* | | | | | | | | |
| PHILLIPS 66 COM (PSX) | 10/6/09 | 21.000 | 22.076 | 463.60 | 1,619.73 | 1,156.13 LT | | |
| | 8/30/12 | 200.000 | 43.224 | 8,644.75 | 15,426.00 | 6,781.25 LT | | |
| | Total | 221.000 | | 9,108.35 | **17,045.73** | 7,937.38 LT | 344.76 | 2.02 |
| *Share Price: $77.130; Rating, Morgan Stanley: 1, S&P: 1; Next Dividend Payable 03/2014* | | | | | | | | |
| POTASH CP OF SASKATCHEWAN INC (POT) | 1/17/12 | 200.000 | 46.413 | 9,282.60 | 6,592.00 | (2,690.60) LT | | |
| | 8/30/12 | 100.000 | 41.705 | 4,170.49 | 3,296.00 | (874 49) LT | | |
| | 10/11/13 | 200.000 | 32.013 | 6,402.62 | 6,592.00 | 189.38 ST | | |

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Morgan Stanley



# Account Detail

Mc Sweeney Foundation
26-3313677
Schedule Y

**Active Assets Account**
840-119158-213

THE MCSWEENEY FOUNDATION, INC
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## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | Total | 500.000 | | 19,855.71 | **16,480.00** | (3,565.09) LT<br>189.38 ST | 700.00 | 4.24 |
| *Share Price: $32.960; Rating: Morgan Stanley: 2, S&P: 2; Next Dividend Payable 02/2014* | | | | | | | | |
| ROYAL DUTCH SHELL PLC (RDS'A) | 10/6/09 | 39.000 | 57.060 | 2,225.34 | **2,779.53** | 554.19 LT | 119.34 | 4.29 |
| *Share Price: $71.270; Rating. S&P: 3* | | | | | | | | |
| THE MOSAIC CO (HLDG CO) NEW (MOS) | 8/30/12 | 100.000 | 58.245 | 5,824.51 | **4,727.00** | (1,097.51) LT | 100.00 | 2.11 |
| *Share Price: $47.270; Rating. Morgan Stanley: 2, S&P: 2; Next Dividend Payable 03/2014* | | | | | | | | |
| VALERO ENERGY CP DELA NEW (VLO) | 12/9/09 | 95.000 | 14.897 | 1,415.19 | 4,788.00 | 3,372.81 LT | | |
| | 12/11/09 | 13.000 | 15.448 | 200.83 | 655.20 | 454.37 LT | | |
| | 8/28/12 | 300.000 | 29.211 | 8,763.22 | 15,120.00 | 6,356.78 LT | | |
| | 7/5/13 | 200.000 | 34.829 | 6,965.87 | 10,080.00 | 3,114.13 ST | | |
| | Total | 608.000 | | 17,345.11 | **30,643.20** | 10,183.96 LT<br>3,114.13 ST | 547.20 | 1.78 |
| *Share Price: $50.400; Rating. Morgan Stanley: 1, S&P: 1; Next Dividend Payable 03/2014* | | | | | | | | |
| VERIZON COMMUNICATIONS (VZ) | 1/17/12 | 200.000 | 39.927 | 7,985.38 | 9,828.00 | 1,842.62 LT | | |
| | 8/30/12 | 200.000 | 43.750 | 8,750.01 | 9,828.00 | 1,077.99 LT | | |
| | Total | 400.000 | | 16,735.39 | **19,656.00** | 2,920.61 LT | 848.00 | 4.31 |
| *Share Price: $49.140; Rating: S&P: 2, Next Dividend Payable 02/2014* | | | | | | | | |
| WELLS FARGO & CO NEW (WFC) | 3/14/13 | 200.000 | 37.858 | 7,571.63 | **9,080.00** | 1,508.37 ST | 240.00 | 2.64 |
| *Share Price: $45.400; Rating: Morgan Stanley. 2, S&P: 1; Next Dividend Payable 03/2014* | | | | | | | | |

| | Percentage of Assets % | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income<br>*Accrued Interest* | Yield % |
|---|---|---|---|---|---|---|
| STOCKS | 44.1% | $303,991.17 | $409,067.91 | $97,558.80 LT<br>$7,517.94 ST | $12,362.66<br>$0.00 | 3.02% |

## EXCHANGE-TRADED & CLOSED-END FUNDS

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| ISHARES MSCI EMERGING MKTS ETF (EEM) | 1/17/12 | 300.000 | $40.687 | $12,205.95 | **$12,538.50** | $332.55 LT | $257.40 | 2.05 |
| *Share Price: $41.795; Next Dividend Payable 06/2014* | | | | | | | | |
| SPDR GOLD TR GOLD SHS (GLD) | 10/6/09 | 16.000 | 101.638 | 1,626.21 | 1,857.92 | 231.71 LT | | |
| | 11/9/09 | 2.000 | 108.445 | 216.89 | 232.24 | 15.35 LT | | |
| | Total | 18.000 | | 1,843.10 | **2,090.16** | 247.06 LT | — | — |
| *Share Price: $116.120* | | | | | | | | |

Security Mark at Right

# Account Detail

McSweeney Foundation
26-3313677
Schedule 4

Active Assets Account
840-119158-213

THE MCSWEENEY FOUNDATION, INC
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## EXCHANGE-TRADED & CLOSED-END FUNDS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| SPDR S&P BIOTECH (XBI) | 6/21/13 | 100.000 | 104.457 | 10,445.66 | 13,020.00 | 2,574.34 ST | | |
| | 10/11/13 | 100.000 | 121.089 | 12,108.90 | 13,020.00 | 911.10 ST | | |
| | Total | 200.000 | | 22,554.56 | 26,040.00 | 3,485.44 ST | 44.20 | 0.16 |
| *Share Price: $130.200; Next Dividend Payable 03/2014* | | | | | | | | |
| SPDR S&P HOMEBUILDERS (XHB) | 8/30/12 | 200.000 | 24.222 | 4,844.39 | 6,660.00 | 1,815.61 LT | | |
| | 3/14/13 | 200.000 | 30.637 | 6,127.30 | 6,660.00 | 532.70 ST | | |
| | Total | 400.000 | | 10,971.69 | 13,320.00 | 1,815.61 LT<br>532.70 ST | 38.76 | 0.29 |
| *Share Price: $33.300; Next Dividend Payable 03/2014* | | | | | | | | |
| WESTERN ASSET MNGD MUNICIPALS (MMU) | | — | 0.000 | 0.00 | 0.00 | | | |
| Long Term Reinvestments | | 12.027 | | 145.17 | 146.84 | 1.67 LT | | |
| | Total | 12.027 | | 145.17 | 146.84 | 1.67 LT | 9.38 | 6.38 |
| *Share Price: $12.210; Next Dividend Payable 01/2014* | | | | | | | | |

| | Percentage of Assets % | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income / *Accrued Interest* | Yield % |
|---|---|---|---|---|---|---|
| EXCHANGE-TRADED & CLOSED-END FUNDS | 5.8% | $47,720.47 | $54,135.50 | $2,396.89 LT<br>4,018.14 ST | $349.74<br>$0.00 | 0.65% |

w/ Mutual Funds

## CORPORATE FIXED INCOME

### CORPORATE BONDS

| Security Description | Trade Date | Face Value | Orig. Unit Cost / Adj. Unit Cost | Orig. Total Cost / Adj. Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income / *Accrued Interest* | Yield % |
|---|---|---|---|---|---|---|---|---|
| BANK OF AMERICA CORP | 2/10/10 | 1,000.000 | $102.300 | $1,023.00 | | | $52.50 | 4.89 |
| CUSIP 060505BG8 | | | $100.832 | $1,008.32 | $1,072.66 | $64.34 LT | $4.37 | |
| *Unit Price: $107.266; Coupon Rate 5.250%; Matures 12/01/2015, Int. Semi-Annually Jun/Dec 01; Yield to Maturity 1.394%; Moody BAA3 S&P BBB+; Issued 11/18/03* | | | | | | | | |
| GENERAL ELECTRIC CAPITAL CORP | 11/19/10 | 30,000.000 | 105.140 | 31,542.00 | | | 1,500.00 | 4.66 |
| CUSIP 36966RWQ5 | | | 102.308 | 30,692.34 | 32,176.20 | 1,483.86 LT | 316.66 | |
| *Unit Price: $107.254; Coupon Rate 5.000%; Matures 04/15/2016; Int. Semi-Annually Apr/Oct 15; Yield to Maturity 1.752%; Moody A1 S&P AA+; Issued 04/07/05* | | | | | | | | |

McSweeney Foundation
26-3313677
Schedule Y

## Account Detail

Active Assets Account
840-119158-213

THE MCSWEENEY FOUNDATION, INC
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INTERESTED PARTY COPY

| | Face Value Percentage of Assets % | Orig. Total Cost / Adj. Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income / Accrued Interest | Yield % |
|---|---|---|---|---|---|---|
| CORPORATE FIXED INCOME | 31,000.000 | $32,565.00 | | | $1,552.50 | 4.67% |
| | | $31,700.66 | $33,248.86 | $1,548.20 LT | $321.03 | |
| TOTAL CORPORATE FIXED INCOME (incl.accr.int.) | 3.6% | | $33,569.89 | | | |

## CERTIFICATES OF DEPOSIT

| Security Description | Trade Date | Face Value | Orig. Unit Cost / Adj. Unit Cost | Orig. Total Cost / Adj. Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income / Accrued Interest | Yield % |
|---|---|---|---|---|---|---|---|---|
| BK CHINA NY CD NEW YORK NY CD | 11/20/12 | 50,000.000 | $100.000 | $50,000.00 | | | $300.00 | 0.59 |
| CUSIP 06426NRC8 | | | $100.000 | $50,000.00 | $50,130.00 | $130.00 LT | $27.34 | |
| *Unit Price: $100.260; Coupon Rate 0.600%; Matures 11/28/2014; Int. Semi-Annually May/Nov 28; Issued 11/28/12; Maturity Value = $50,000.00* | | | | | | | | |
| FIRSTBANK CD Santurce PR CD | 11/20/12 | 50,000.000 | 100.000 | 50,000.00 | | | 500.00 | 0.99 |
| CUSIP 33764JPZ2 | | | 100.000 | 50,000.00 | 50,183.00 | 183.00 LT | 1.34 | |
| *Unit Price: $100.366, Coupon Rate 1.000%; Matures 11/30/2015; Interest Paid Monthly Dec 30; Yield to Maturity .807%; Issued 11/30/12; Maturity Value = $50,000.00* | | | | | | | | |

| | Face Value Percentage of Assets % | Orig. Total Cost / Adj. Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income / Accrued Interest | Yield % |
|---|---|---|---|---|---|---|
| CERTIFICATES OF DEPOSIT | 100,000.000 | $100,000.00 | | | $800.00 | 0.80% |
| | | $100,000.00 | $100,313.00 | $313.00 LT | $28.68 | |
| TOTAL CERTIFICATES OF DEPOSIT (incl.accr.int.) | 10.8% | | $100,341.68 | | | |

Security Mark

# Account Detail

McSweeney Foundation
26-3313677
Schedule 4

Active Assets Account
840-119158-213

THE MCSWEENEY FOUNDATION, INC
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## MUTUAL FUNDS

### OTHER MUTUAL FUNDS

*"Total Purchases vs Market Value" is provided to assist you in comparing your "Total Purchases," excluding reinvested distributions, with the current value of the mutual fund positions in your account*

*"Cumulative Cash Distributions" when shown, may reflect distributions on shares no longer held in the account. It may not reflect all distributions received in cash; due to but not limited to the following· investments made prior to addition of this information on statements, securities transfers, timing of recent distributions, and certain adjustments made in your account.*

*"Net Value Increase/ (Decrease)" reflects the difference between your total purchases, and the sum of the current value of the fund's shares, and cash distributions shown. This calculation is for informational purposes only and does not reflect your total unrealized gain or loss nor should it be used for tax purposes*

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| ABERDEEN EMERG MKTS INST C (GEGCX) | 1/2/13 | 623.830 | $16.030 | $10,000.00 | $8,976.91 | $(1,023.09) ST | | |
| | Purchases | 623.830 | | 10,000.00 | 8,976.91 | (1,023.09) ST | | |
| Short Term Reinvestments | | 3.907 | | 55.98 | 56.22 | 0.24 ST | | |
| | Total | 627.737 | | 10,055.98 | 9,033.14 | (1,022.85) ST | 56.00 | 0.61 |
| Total Purchases vs Market Value | | | | 10,000.00 | 9,033.14 | | | |
| Net Value Increase/(Decrease) | | | | | (966.86) | | | |
| *Share Price: $14.390; Enrolled In MS Dividend Reinvestment, Capital Gains Reinvest* | | | | | | | | |
| BLACKROCK INFLAT PROT BOND A (BPRAX) | 10/16/09 | 327.949 | 10.642 | 3,490.00 | 3,486.10 | (3.90) LT | 39.00 | 1.11 |
| Total Purchases vs Market Value | | | | 3,490.00 | 3,486.10 | | | |
| Cumulative Cash Distributions | | | | | 355.85 | | | |
| Net Value Increase/(Decrease) | | | | | 351.95 | | | |
| *Share Price: $10.630; Dividend Cash; Capital Gains Cash* | | | | | | | | |
| LORD ABBETT SHT DURATION INC C (LDLAX) | 9/6/12 | 21,505.376 | 4.650 | 100,000.00 | 98,494.62 | (1,505.38) LT | 2,968.00 | 3.01 |
| Total Purchases vs Market Value | | | | 100,000.00 | 98,494.62 | | | |
| Cumulative Cash Distributions | | | | | 3,677.49 | | | |
| Net Value Increase/(Decrease) | | | | | 2,172.11 | | | |
| *Share Price: $4.580; Dividend Cash; Capital Gains Cash* | | | | | | | | |
| PIMCO FOREIGN BD (UNHEDGED) A (PFUAX) | 10/6/10 | 166.813 | 11.390 | 1,900.00 | 1,674.80 | (225.20) LT | 33.00 | 1.97 |
| Total Purchases vs Market Value | | | | 1,900.00 | 1,674.80 | | | |
| Cumulative Cash Distributions | | | | | 219.62 | | | |
| Net Value Increase/(Decrease) | | | | | (5.58) | | | |
| *Share Price: $10.040; Dividend Cash; Capital Gains Cash* | | | | | | | | |
| PIMCO INV GRADE CORP BD A (PBDAX) | 6/18/10 | 405.041 | 11.110 | 4,500.00 | 4,147.62 | (352.38) LT | 147.00 | 3.54 |
| Total Purchases vs Market Value | | | | 4,500.00 | 4,147.62 | | | |
| Cumulative Cash Distributions | | | | | 829.22 | | | |
| Net Value Increase/(Decrease) | | | | | 476.84 | | | |
| *Share Price: $10.240; Dividend Cash, Capital Gains Cash* | | | | | | | | |
| PIMCO TOTAL RETURN A (PTTAX) | 3/17/10 | 108.355 | 11.050 | 1,197.32 | 1,158.31 | (39.01) LT | | |
| | 3/30/10 | 820.962 | 11.020 | 9,047.00 | 8,776.08 | (270.92) LT | | |

# Account Detail

McSweeny Foundation
26-3313677
Schedule Y

Active Assets Account
840-119158-213

THE MCSWEENEY FOUNDATION, INC
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INTERESTED PARTY COPY

## MUTUAL FUNDS

### OTHER MUTUAL FUNDS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | Purchases | 929.317 | | 10,244.32 | 9,934.39 | (309.93) LT | | |
| Long Term Reinvestments | | 183.643 | | 2,040.65 | 1,963.14 | (77.51) LT | | |
| Short Term Reinvestments | | 31.302 | | 343.09 | 334.61 | (8.48) ST | | |
| | **Total** | 1,144.262 | | 12,628.06 | **12,232.16** | (387.44) LT<br>(8.48) ST | 267.00 | 2.18 |
| Total Purchases vs Market Value | | | | 10,244.32 | 12,232.16 | | | |
| Net Value Increase/(Decrease) | | | | | 1,987.84 | | | |
| *Share Price: $10.690; Enrolled In MS Dividend Reinvestment; Capital Gains Reinvest* | | | | | | | | |
| **PIMCO UNCONSTRAINED BD A (PUBAX)** | 4/12/10 | 317.604 | 11.020 | 3,500.00 | 3,522.23 | 22.23 LT | | |
| | 10/15/10 | 422.556 | 11.340 | 4,791.78 | 4,686.15 | (105.63) LT | | |
| | 11/10/10 | 318.013 | 11.330 | 3,603.09 | 3,526.76 | (76.33) LT | | |
| | **Total** | 1,058.173 | | 11,894.87 | **11,735.14** | (159.73) LT | 53.00 | 0.45 |
| Total Purchases vs Market Value | | | | 11,894.87 | 11,735.14 | | | |
| Cumulative Cash Distributions | | | | | 676.66 | | | |
| Net Value Increase/(Decrease) | | | | | 516.93 | | | |
| *Share Price: $11.090; Dividend Cash; Capital Gains Cash* | | | | | | | | |
| **TEMPLETON GLOBAL BD FD A (TPINX)** | 3/26/10 | 378.523 | 13.209 | 5,000.00 | 4,973.79 | (26.21) LT | | |
| | 7/15/10 | 153.271 | 13.049 | 2,000.00 | 2,013.98 | 13.98 LT | | |
| | **Total** | 531.794 | | 7,000.00 | **6,987.77** | (12.23) LT | 255.00 | 3.64 |
| Total Purchases vs Market Value | | | | 7,000.00 | 6,987.77 | | | |
| Cumulative Cash Distributions | | | | | 1,224.48 | | | |
| Net Value Increase/(Decrease) | | | | | 1,212.25 | | | |
| *Share Price: $13.140; Dividend Cash; Capital Gains Cash* | | | | | | | | |

| | Percentage of Assets % | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income / *Accrued Interest* | Yield % |
|---|---|---|---|---|---|---|
| MUTUAL FUNDS | 15.9% | $151,468.91 | $147,791.35 | $(2,646.26) LT<br>$(1,031.33) ST | $3,818.00<br>$0.00 | 2.58% |

*Transactions in mutual fund positions held directly at the Fund Company are not included in the total above and are not reflected on the Summary Page.*
*For more information about the pricing of Money Market Funds, please see the Expanded Disclosures.*

Security Mark at Right

Morgan Stanley



# Account Detail

McSweeney Foundation
26-3313677
Schedule 4

Active Assets Account
840-119158-213

THE MCSWEENEY FOUNDATION, INC
E MERRELL, MERRELL, & MERRELL

INTERESTED PARTY COPY

| | Percentage of Assets % | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income / Accrued Interest | Yield % |
|---|---|---|---|---|---|---|
| TOTAL MARKET VALUE | 100.0% | $634,881.21 | 1 $927,116.20 | $99,170.63 LT<br>$10,504.75 ST | $18,901.15<br>$349.71 | 2.04% |

TOTAL VALUE (includes accrued interest) $927,465.91

*1 - This information reflects your requested adjustments to the transaction details.*
*Unrealized Gain/(Loss) totals only reflect positions that have cost basis and/or market value information available. Cash, MMF, Deposits and positions stating 'Please Provide' are not included.*

1 927,116.20
<182,560>
744,556.20

## ACTIVITY

### INVESTMENT RELATED ACTIVITY

PURCHASES, DIVIDEND REINVESTMENTS, SALES AND REDEMPTIONS

| Trade Date | Settlement Date | Activity Type | Description | Comments | Quantity | Price | Credits/(Debits) |
|---|---|---|---|---|---|---|---|
| 11/29 | 11/29 | Dividend Reinvestment | PIMCO TOTAL RETURN A | REINVESTMENT | 1.722 | $10.8800 | $(18.73) |
| 12/11 | 12/11 | Dividend Reinvestment | PIMCO TOTAL RETURN A | REINVESTMENT | 7.552 | 10.7500 | (81.19) |
| 12/20 | 12/20 | Dividend Reinvestment | ABERDEEN EMERG MKTS INST C | REINVESTMENT | 2.759 | 14.2400 | (39.29) |
| TOTAL PURCHASES, DIVIDEND REINVESTMENTS, SALES AND REDEMPTIONS | | | | | | | $(139.21) |
| TOTAL DIVIDEND REINVESTMENTS | | | | | | | $(139.21) |

*Purchase and Sale transactions above may have received an average price execution. Details regarding the actual prices are available upon request.*

TAXABLE INCOME

| Date | Activity Type | Description | Comments | Credits/(Debits) |
|---|---|---|---|---|
| 11/29 | Dividend | LORD ABBETT SHT DURATION INC C<br>DIV PAYMENT | | $240.36 |
| 11/29 | Dividend | PIMCO TOTAL RETURN A<br>DIV PAYMENT | | 18.73 |
| 11/29 | Dividend | PIMCO INV GRADE CORP BD A<br>DIV PAYMENT | | 10.10 |
| 11/29 | Dividend | BLACKROCK INFLAT PROT BOND A<br>DIV PAYMENT | | 5.47 |
| 11/29 | Dividend | PIMCO UNCONSTRAINED BD A<br>DIV PAYMENT | | 5.22 |
| 11/29 | Dividend | PIMCO FOREIGN BD (UNHEDGED) A<br>DIV PAYMENT | | 2.79 |
| 12/1 | Qualified Dividend | AQUA AMER INC | | 190.00 |
| 12/1 | Qualified Dividend | WELLS FARGO & CO NEW | | 60.00 |
| 12/1 | Interest Income | BANK OF AMERICA 5250 15DE01 | CUSIP: 060505BG8 | 26.25 |
| 12/2 | Qualified Dividend | CONOCOPHILLIPS | | 98.67 |

035210 MSGDD157 010737