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

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

OMB No 1545-0052

2013

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

Xie Foundation
325 Sharon Park Drive, #802
Menlo Park, CA 94025

A Employer identification number
27-1208110

B Telephone number (see the instructions)
(650) 496-7458

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, column (c), line 16) **J** Accounting method: ☒ Cash ☐ Accrual
▶ \$ 16,299,570. ☐ Other (specify) _____
(Part I, column (d) must be on cash basis)

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 ☐

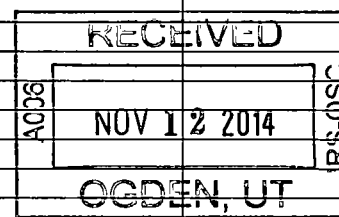
F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐

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 (att sch)	1,261,500.			
2 Ck ☐ if the foundn is not req to att Sch B				
3 Interest on savings and temporary cash investments				
4 Dividends and interest from securities	30,381.	30,381.	30,381.	
5a Gross rents	19,860.	19,860.	19,860.	
b Net rental income or (loss) -4,618.				
6a Net gain/(loss) from sale of assets not on line 10	89,446.			
b Gross sales price for all assets on line 6a 2,105,777.				
7 Capital gain net income (from Part IV, line 2)		514,189.		
8 Net short-term capital gain			31,664.	
9 Income modifications				
10a Gross sales less returns and allowances				
b Less Cost of goods sold				
c Gross profit/(loss) (att sch)				
11 Other income (attach schedule) See Statement 1	-53.			
12 Total. Add lines 1 through 11	1,401,134.	564,430.	81,905.	
ADMINISTRATIVE AND OPERATING 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) See St 2	5,185.			
b Accounting fees (attach sch) See St 3	13,435.			
c Other prof fees (attach sch) See St 4	19,490.	10,490.		
17 Interest				
18 Taxes (attach schedule)(see instrs) See Stmt 5	286.	276.		
19 Depreciation (attach sch) and depletion See Stmt 6	16,592.	16,592.		
20 Occupancy				
21 Travel, conferences, and meetings				
22 Printing and publications				
23 Other expenses (attach schedule) See Statement 7	8,236.	7,886.		
24 Total operating and administrative expenses. Add lines 13 through 23	63,224.	35,244.		
25 Contributions, gifts, grants paid Part XV	992,060.			992,060.
26 Total expenses and disbursements. Add lines 24 and 25	1,055,284.	35,244.	0.	992,060.
27 Subtract line 26 from line 12:				
a Excess of revenue over expenses and disbursements	345,850.			
b Net investment income (if negative, enter -0-)		529,186.		
c Adjusted net income (if negative, enter -0-)			81,905.	

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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	1,418,043.	891,831.	891,831.
	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 sch) ▶			
		Less: allowance for doubtful accounts ▶			
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges	45,078.		
	10a	Investments — U.S. and state government obligations (attach schedule)			
	b	Investments — corporate stock (attach schedule)	14,252,041.	14,142,561.	14,142,561.
	c	Investments — corporate bonds (attach schedule)			
	11	Investments — land, buildings, and equipment basis ▶			
LIABILITIES		Less: accumulated depreciation (attach schedule) ▶			
	12	Investments — mortgage loans			
	13	Investments — other (attach schedule)	294,690.	281,456.	281,456.
	14	Land, buildings, and equipment basis ▶ 1,005,156.			
		Less: accumulated depreciation (attach schedule) See Stmt 8 ▶ 21,434.	1,000,314.	983,722.	983,722.
	15	Other assets (describe ▶)			
	16	Total assets (to be completed by all filers — see the instructions. Also, see page 1, item I)	17,010,166.	16,299,570.	16,299,570.
	17	Accounts payable and accrued expenses	5,000.		
	18	Grants payable	1,844,891.		
	19	Deferred revenue			
NET FUND ASSET BALANCES	20	Loans from officers, directors, trustees, & other disqualified persons			
	21	Mortgages and other notes payable (attach schedule)			
	22	Other liabilities (describe ▶)			
	23	Total liabilities (add lines 17 through 22)	1,849,891.	0.	
		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, building, and equipment fund			
	29	Retained earnings, accumulated income, endowment, or other funds	15,160,275.	16,299,570.	
	30	Total net assets or fund balances (see instructions)	15,160,275.	16,299,570.	
	31	Total liabilities and net assets/fund balances (see instructions)	17,010,166.	16,299,570.	

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	15,160,275.
2	Enter amount from Part I, line 27a	2	345,850.
3	Other increases not included in line 2 (itemize) ▶ See Statement 9	3	793,445.
4	Add lines 1, 2, and 3	4	16,299,570.
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	16,299,570.

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 shares MLC Company)		(b) How acquired P — Purchase D — Donation	(c) Date acquired (month, day, year)	(d) Date sold (month, day, year)
1 a See Statement 10				
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			(l) Gains (Column (h) gain minus column (k), but not less than -0-) or Losses (from column (h))
(i) Fair Market Value as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of column (i) over column (j), if any	
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	514,189.
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	31,664.

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 (column (b) divided by column (c))
2012	750,060.	17,971,156.	0.041737
2011	249,622.	12,747,728.	0.019582
2010	205,277.	1,381,514.	0.148588
2009		175,133.	
2008			

2 Total of line 1, column (d)	2	0.209907
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	0.052477
4 Enter the net value of noncharitable-use assets for 2013 from Part X, line 5	4	16,166,735.
5 Multiply line 4 by line 3	5	848,382.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	5,292.
7 Add lines 5 and 6	7	853,674.
8 Enter qualifying distributions from Part XII, line 4	8	992,060.

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)

1 a 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 instrs)			
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☒ and enter 1% of Part I, line 27b		1	5,292.
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, column (b)			
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		2	0.
3 Add lines 1 and 2		3	5,292.
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	5,292.
6 Credits/Payments			
a 2013 estimated tax pmts and 2012 overpayment credited to 2013	6 a	25,488.	
b Exempt foreign organizations – tax withheld at source	6 b		
c Tax paid with application for extension of time to file (Form 8868)	6 c		
d Backup withholding erroneously withheld	6 d		
7 Total credits and payments. Add lines 6a through 6d	7	25,488.	
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	0.	
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	20,196.	
11 Enter the amount of line 10 to be: Credited to 2014 estimated tax <u>10,000.</u> Refunded	11	10,196.	

Part VII-A Statements Regarding Activities

	Yes	No
1 a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		X
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see the instructions for definition)? <i>If the answer is 'Yes' to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities</i>		X
c Did the foundation file Form 1120-POL for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year. (1) On the foundation <u>\$ 0.</u> (2) On foundation managers <u>\$ 0.</u>		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers <u>\$ 0.</u>		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? <i>If 'Yes,' attach a detailed description of the activities</i>		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? <i>If 'Yes,' attach a conformed copy of the changes</i>		X
4 a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		X
b If 'Yes,' has it filed a tax return on Form 990-T for this year?	N/A	
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? <i>If 'Yes,' attach the statement required by General Instruction T</i>		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	X	
7 Did the foundation have at least \$5,000 in assets at any time during the year? <i>If 'Yes,' complete Part II, column (c), and Part XV</i>	X	
8 a Enter the states to which the foundation reports or with which it is registered (see instructions) <u>CA DE</u>		
b If the answer is 'Yes' to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by <i>General Instruction G</i> ? <i>If 'No,' attach explanation</i>	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)? <i>If 'Yes,' complete Part XIV</i>		X
10 Did any persons become substantial contributors during the tax year? <i>If 'Yes,' attach a schedule listing their names and addresses</i> <u>See Statement 11</u>	X	

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Form 990-PF (2013)

Part VII-A Statements Regarding Activities (continued)

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If 'Yes', attach schedule (see instructions)	11		X
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If 'Yes,' attach statement (see instructions)	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address <u>N/A</u>	13	X	
14	The books are in care of <u>UBS Financial Services</u> Telephone no <u>(650) 496-7458</u> Located at <u>775 Page Mill Road Palo Alto CA</u> ZIP + 4 <u>94304</u>			
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 <u>N/A</u>	15		N/A
16	At any time during calendar year 2013, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? See the instructions for exceptions and filing requirements for Form TD F 90-22.1 If 'Yes,' enter the name of the foreign country <u></u>	16		X

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

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

	Yes	No
1 a 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)? Organizations relying on a current notice regarding disaster assistance check here <u></u>	1 b	N/A
c Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2013?	1 c	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? If 'Yes,' list the years <u>20</u> , <u>20</u> , <u>20</u> , <u>20</u>	☐ Yes ☒ No	
b Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer 'No' and attach statement - see instructions)	2 b	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. <u>20</u> , <u>20</u> , <u>20</u> , <u>20</u>		
3 a 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)	3 b	N/A
4 a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4 a	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?	4 b	X

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Form 990-PF (2013)

Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required (continued)**5 a** 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)?

Organizations relying on a current notice regarding disaster assistance check here

☐**5 b****X****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)

6 a 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?**6 b****X**

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

7 a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?☐ Yes ☒ No**b** If 'Yes,' did the foundation receive any proceeds or have any net income attributable to the transaction?

N/A

7 b**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
Yuyi Wu 325 Sharon Park Drive, #802 Menlo Park, CA 94025	Vice Pres/Di 1.00	0.	0.	0.
Bing Xie 325 Sharon Park Drive, #802 Menlo Park, CA 94025	Vice Pres/Di 1.00	0.	0.	0.
Ken Xie 325 Sharon Park Drive, #802 Menlo Park, CA 94025	Co-Prs/Dir/S 3.00	0.	0.	0.
Michael Xie 325 Sharon Park Drive, #802 Menlo Park, CA 94025	Co-Prs/Dir 1.00	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

0

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	1 a	13,975,994.
b Average of monthly cash balances	1 b	1,152,023.
c Fair market value of all other assets (see instructions)	1 c	1,284,912.
d Total (add lines 1a, b, and c)	1 d	16,412,929.
e Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1 e	0.
2 Acquisition indebtedness applicable to line 1 assets	2	0.
3 Subtract line 2 from line 1d	3	16,412,929.
4 Cash deemed held for charitable activities. Enter 1-1/2% of line 3 (for greater amount, see instructions)	4	246,194.
5 Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	16,166,735.
6 Minimum investment return. Enter 5% of line 5	6	808,337.

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	808,337.
2 a Tax on investment income for 2013 from Part VI, line 5	2 a	5,292.	
b Income tax for 2013 (This does not include the tax from Part VI)	2 b		
c Add lines 2a and 2b	2 c		5,292.
3 Distributable amount before adjustments. Subtract line 2c from line 1	3		803,045.
4 Recoveries of amounts treated as qualifying distributions	4		
5 Add lines 3 and 4	5		803,045.
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		803,045.

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	1 a	992,060.
b Program-related investments — total from Part IX-B	1 b	
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)	3 a	
b Cash distribution test (attach the required schedule)	3 b	
4 Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	992,060.
5 Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b (see instructions)	5	5,292.
6 Adjusted qualifying distributions. Subtract line 5 from line 4	6	986,768.

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.

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Form 990-PF (2013)

Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2012	(c) 2012	(d) 2013
1 Distributable amount for 2013 from Part XI, line 7				803,045.
2 Undistributed income, if any, as of the end of 2013:				
a Enter amount for 2012 only			299,643.	
b Total for prior years: 20 __, 20 __, 20 __		0.		
3 Excess distributions carryover, if any, to 2013:				
a From 2008				
b From 2009				
c From 2010				
d From 2011				
e From 2012				
f Total of lines 3a through e	0.			
4 Qualifying distributions for 2013 from Part XII, line 4 ▶ \$ 992,060.				
a Applied to 2012, but not more than line 2a			299,643.	
b Applied to undistributed income of prior years (Election required — see instructions)		0.		
c Treated as distributions out of corpus (Election required — see instructions)	0.			
d Applied to 2013 distributable amount				692,417.
e Remaining amount distributed out of corpus	0.			
5 Excess distributions carryover applied to 2013 (If an amount appears in column (d), the same amount must be shown in column (a))	0.			0.
6 Enter the net total of each column as indicated below:				
a Corpus. Add lines 3f, 4c, and 4e. Subtract line 5	0.			
b Prior years' undistributed income. Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b. Taxable amount — see instructions		0.		
e Undistributed income for 2012. Subtract line 4a from line 2a. Taxable amount — see instructions			0.	
f Undistributed income for 2013. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2014				110,628.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions)	0.			
8 Excess distributions carryover from 2008 not applied on line 5 or line 7 (see instructions)	0.			
9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a	0.			
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				

BAA

Form 990-PF (2013)

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

N/A

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

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

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

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

a List any managers of the foundation who have contributed more than 2% of the total contributions received by the foundation before the close of any tax year (but only if they have contributed more than \$5,000) (See section 507(d)(2))
See Statement 12

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 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	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a Paid during the year See Statement 13				
Total			3 a	992,060.
b Approved for future payment				
Total			3 b	

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated.

Enter gross amounts unless otherwise indicated.		Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See instructions)
		(a) Business code	(b) Amount	(c) Exclu- sion code	(d) Amount	
1	Program service revenue					
a						
b						
c						
d						
e						
f						
g	Fees and contracts from government agencies					
2	Membership dues and assessments.					
3	Interest on savings and temporary cash investments					
4	Dividends and interest from securities			14	30,381.	
5	Net rental income or (loss) from real estate					
a	Debt-financed property					
b	Not debt-financed property	531110	-4,618.			
6	Net rental income or (loss) from personal property					
7	Other investment income			1	-53.	
8	Gain or (loss) from sales of assets other than inventory			18	89,446.	
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)		-4,618.		119,774.	
13	Total. Add line 12, columns (b), (d), and (e)					115,156.

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

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

[illegible]

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, 990-PF) and its instructions is at www.irs.gov/form990.

OMB No 1545-0047

2013

Name of the organization

Xie Foundation

Employer identification number

27-1208110

Organization type (check one):

Filers of:

Form 990 or 990-EZ

Section:

☐ 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).

BAA For Paperwork Reduction Act Notice, see the Instructions for Form 990, 990-EZ,

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

Name of organization

Xie Foundation

Employer identification number

27-1208110

Part I Contributors (see instructions) Use duplicate copies of Part I if additional space is needed

(a) Number	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	Ken Xie 325 Sharon Park Drive, #802 Menlo Park, CA 94025	\$ 538,950.	Person ☐ Payroll ☐ Noncash ☒ (Complete Part II for noncash contributions.)
2	Bing Xie & Yuyi Wu 325 Sharon Park Drive, #802 Menlo Park, CA 94025	\$ 722,550.	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

Xie Foundation

27-1208110

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
1	Fortinet, Inc. - 30,000 shs	\$ 538,950.	12/11/13
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
2	Fortinet, Inc. - 40,000 shs	\$ 722,550.	Various
(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
		\$	

BAA

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

Name of organization

Xie Foundation

Employer identification number

27-1208110

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 total of exclusively religious, charitable, etc., contributions of \$1,000 or less for the year (Enter this information once. See instructions.)

► \$ N/A

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
	N/A		
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee

BAA

Client M1115

Xie Foundation

27-1208110

10/23/14

12 01PM

Xie Foundation
FEIN: 27-1208110
Attachment for Form 990-PF
Page #6, Part VII-B, Question #5c

Expenditure Responsibility Statement
For the 2013 Tax Year

Pursuant to IRC Regulations 53.4945-5(d)(2), the Xie Foundation provides the following information:

(i) Grantee: Tsinghua University Education Foundation
Tsinghua University
Haidian District
Beijing, China 100084

(ii) Amount of Grant: \$200,000 given in 2013.

(iii) Purpose of Grant: To directly support the activities of Tsinghua University Education Foundation to aid in the reconstruction of primary schools damaged or destroyed from natural disasters and to bring science and technology to remote poverty-relief teaching stations in China.

(iv) & (vi) Reports: Of the \$200,000 given in 2013, all was used for the stated purpose. All expenditures and reports are monitored in real time.

(v) Diversion: To the knowledge of the Xie Foundation, Tsinghua University Education Foundation did not divert any portion of the funds given in 2013 from the purpose of the grant.

(vii) Verification: The Xie Foundation has no reason to doubt the accuracy or reliability of the report received from the Tsinghua University Education Foundation; therefore no independent verification of the report was made.

2013

Federal Statements

Page 1

Client M1115

Xie Foundation

27-1208110

10/23/14

12 01PM

Statement 1
Form 990-PF, Part I, Line 11
Other Income

	(a) Revenue per Books	(b) Net Investment Income	(c) Adjusted Net Income
Other Investment Income	\$ -53.		
Total	\$ -53.	\$ 0.	\$ 0.

Statement 2
Form 990-PF, Part I, Line 16a
Legal Fees

	(a) Expenses Per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes
Fee-Attorney	\$ 5,185.			
Total	\$ 5,185.	\$ 0.	\$ 0.	\$ 0.

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

	(a) Expenses per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes
Fee-Auditor	\$ 8,650.			
McCabe & Totah, LLP	4,785.			
Total	\$ 13,435.	\$ 0.	\$ 0.	\$ 0.

Statement 4
Form 990-PF, Part I, Line 16c
Other Professional Fees

	(a) Expenses per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes
Fee-Membership	\$ 9,000.			
Fee-Portfolio Management Fee	10,490.	\$ 10,490.		
Total	\$ 19,490.	\$ 10,490.	\$ 0.	\$ 0.

2013

Federal Statements

Page 2

Client M1115

Xie Foundation

27-1208110

10/23/14

12 01PM

Statement 5
Form 990-PF, Part I, Line 18
Taxes

	(a) Expenses per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes
Foreign Taxes	\$ 276.	\$ 276.		
Franchise Tax Board	10.			
Total	\$ 286.	\$ 276.	\$ 0.	\$ 0.

Statement 6
Form 990-PF, Part I, Line 19
Allocated Depreciation

Date Acquired	Cost Basis	Prior Yr Depr	Method	Rate	Life	Current Yr Depr	Net Invest Income	Adjusted Net Income
Building 9/01/12	456,335	4,842	S/L	0.0364		16,592	16,592	0

Statement 7
Form 990-PF, Part I, Line 23
Other Expenses

	(a) Expenses per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes
Fee-Registration	\$ 325.			
Fee-Wire	25.			
Rental Expenses	7,886.	\$ 7,886.		
Total	\$ 8,236.	\$ 7,886.	\$ 0.	\$ 0.

Statement 8
Form 990-PF, Part II, Line 14
Land, Buildings, and Equipment

Category	Basis	Accum. Deprec.	Book Value	Fair Market Value
Buildings	\$ 456,335.	\$ 21,434.	\$ 434,901.	\$ 434,901.
Land	548,821.		548,821.	548,821.
Total	\$ 1,005,156.	\$ 21,434.	\$ 983,722.	\$ 983,722.

Statement 9
Form 990-PF, Part III, Line 3
Other Increases

Adjustments Book & Tax of FTNT shs Sold	\$ 424,743.
Adjustments K-1 Other Income, net	53.

Client M1115

Xie Foundation

27-1208110

10/23/14

12.01PM

Statement 9 (continued)
Form 990-PF, Part III, Line 3
Other Increases

Net Unrealized Gains or Losses on Investments Total \$ 368,649.
\$ 793,445.

Statement 10
Form 990-PF, Part IV, Line 1
Capital Gains and Losses for Tax on Investment Income

Item	(a) Description	(b) How Acquired	(c) Date Acquired	(d) Date Sold
1	10,000 shs Fortinet, Inc.	Donated	12/14/2000	3/08/2013
2	UBS #1 See Stmt	Purchased	Various	Various
3	UBS #1 See Stmt	Purchased	Various	Various
4	UBS #1 See Stmt	Purchased	Various	Various
5	UBS #1 See Stmt	Purchased	Various	Various
6	UBS #1 See Stmt	Purchased	Various	Various
7	10,000 shs Fortinet, Inc.	Donated	11/30/2000	3/08/2013

Item	(e) Gross Sales	(f) Deprec. Allowed	(g) Cost Basis	(h) Gain (Loss)	(i) FMV 12/31/69	(j) Adj. Bas. 12/31/69	(k) Excess (i) - (j)	(l) Gain (Loss)
1	242,626.		1,250.	241,376.				\$ 241,376.
2	1404859.		1365336.	39,523.				39,523.
3	37,998.		39,854.	-1,856.				-1,856.
4	157,457.		158,869.	-1,412.				-1,412.
5	12.		12.	0.				0.
6	20,214.		26,217.	-6,003.				-6,003.
7	242,611.		50.	242,561.				242,561.
Total								\$ 514,189.

Statement 11
Form 990-PF, Part VII-A, Line 10
Substantial Contributors During the Tax Year

Name of Substantial Contributor	Address of Substantial Contributor
Ken Xie	325 Sharon Park Drive, #802 Menlo Park, CA 94025
Bing Xie & Yuyi Wu	325 Sharon Park Drive, #802 Menlo Park, CA 94025

Client M1115

Xie Foundation

27-1208110

10/23/14

12 01PM

Statement 12
Form 990-PF, Part XV, Line 1a
Foundation Managers - 2% or More Contributors

Ken Xie
 Michael Xie

Statement 13
Form 990-PF, Part XV, Line 3a
Recipient Paid During the Year

<u>Name and Address</u>	<u>Donee Relationship</u>	<u>Found- ation Status</u>	<u>Purpose of Grant</u>	<u>Amount</u>
Sacred Heart Schools 150 Valparaiso Ave Atherton, CA 94027	N/A	509(a) (1)	Capital Campaign.	\$ 330,000.
Tsinghua Alumni Foundation of NA 2880 LakeSide Drive, Suite 345 Santa Clara, CA 95054	N/A	509(a) (1)	General Purpose.	20,000.
Stanford University PO Box 20466 Stanford, CA 94305	N/A	509(a) (1)	Professors Frank Scioscia & Philip Wong.	70,000.
Pen-tung Sah Education & Scientific Res 1356 Forest Hills Blvd Cleveland Hts, OH 44118	N/A	501(c) (3)	General Purpose.	10,060.
Pinewood School 477 Fremont Ave Los Altos, CA 94024	N/A	501(c) (3)	General Purpose.	60,000.
Tsinghua University Education Foundation Tsinghua University Beijing, Haidian District 100084 China	N/A	Fgn Char	General Purpose.	200,000.
University of Miami P.O. Box 025388 Coral Gables, FL 33102	N/A	501(c) (3)	General Purpose.	200,000.
Asia American Tennis Foundation P.O. Box 7847 Menlo Park, CA 94026	N/A	501(c) (3)	General Purpose.	2,000.
National Academy of Engineering 500 Fifth St., N.W. Washington, DC 20001	N/A	501(c) (3)	General Purpose.	100,000.

Total \$ 992,060.

12/31/13

2013 Federal Book Depreciation Schedule

Page 1

Client M1115

Xie Foundation

27-1208110

10/23/14

12 01PM

No.	Description	Date Acquired	Date Sold	Cost/ Basis	Bus Pct.	Cur 179 Bonus	Special Dep. Allow.	Prior 179/ Bonus/ Sp. Dep.	Prior Dec. Bal Dep.	Salvage /Basis Reductn	Depr. Basis	Prior Depr.	Method	Life	Rate	Current Depr.
Rental Activity																
Buildings																
1	Building	9/01/12		456,335							456,335	4,842	S/L	MM	27.5	03636
	Total Buildings										456,335	4,842				16,592
Land																
2	Land	9/01/12		548,821							548,821					0
	Total Land										548,821	0				0
	Total Depreciation			1,005,156		0	0	0	0	0	1,005,156	4,842				16,592
	Grand Total Depreciation			1,005,156		0	0	0	0	0	1,005,156	4,842				16,592

UBS Financial Services Inc.

1000 Harbor Boulevard
Weehawken, NJ 07086-6790
Federal ID 13-2638166

Your Financial Advisor:
JUANGWANG
650-496-7400/888-771-8949

Payer:
XIE FOUNDATION

2013 Informational Statement

Account Number: #1
Tax Identification Number

Proceeds from Broker Transactions

Short-term transactions for covered securities, included in Box 2a

Activity type	Quantity / face value (Box 1e)	Original cost basis (\$)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) (\$)	Cost or other basis (Box 3) (\$)	Wash sale loss disallowed (Box 5) (\$)	Federal income tax withheld (Box 4) (\$)	Loss not allowed (Box 2b)	Gain/Loss (\$)
Description (Box 8) ALPS/CORECOMMODITY MANGM COMPLETE COMMODITIESM STRATEGY FUND CLASS A CUSIP 317609675 Symbol (Box 1d) JCRAX										
Sell	1,642 5590		01/31/13	05/30/13	16,836 23	18,281 68				(1,445 45)
Sell	1,642 5590		01/31/13	09/12/13	16,704 83	18,281 68				(1,576 85)
Sub Total	3,285.1180				33,541.06	36,563 36				(3,022 30)
Description (Box 8) CONSUMER SECTOR SPDR TRUST SHS DISCRETIONARY CUSIP 81369Y407 Symbol (Box 1d) XLY										
Sell	48 0000		11/28/12	01/31/13	2,409 55	2,263 20				146 35
Sell	289 0000		12/03/12	01/31/13	14,507 47	13,698 60				808 87
Sell	48 0000		12/19/12	01/31/13	2,409 55	2,315 98				93 57
Sell	349 0000		12/24/12	01/31/13	17,519 41	16,507 70				1,011 71
Sell	308 0000		12/27/12	01/31/13	15,461 25	14,460 45				1,000 80
Sub Total	1,042.0000				52,307.23	49,245.93				3,061.30
Description (Box 8) CONSUMERS STAPLES SECTOR SPDR TRUST SHS CUSIP 81369Y308 Symbol (Box 1d) XLP										
Sell	232 0000		12/18/12	01/31/13	8,572 21	8,351 98				220 23
Sell	58 0000		12/18/12	01/31/13	2,143 05	2,087 39				55 66
Sell	652 0000		12/24/12	01/31/13	24,090 86	22,820 00				1,270 86
Sell	180 0000		12/27/12	01/31/13	6,650 85	6,228 00				422 85
Sell	44 0000		12/27/12	04/22/13	1,806 16	1,522 40				283 76
Sell	200 0000		12/27/12	05/17/13	8,175 81±	6,920 00				1,255 81
Sell	22 0000		12/27/12	09/12/13	888 78	761 20				127 58
Sell	78 0000		03/18/13	09/12/13	3,151 15	2,995 20				155 95

continued next page

UBS Financial Services Inc.

1000 Harbor Boulevard
Weehawken, NJ 07086-6790
Federal ID 13-2638166

Your Financial Advisor:

JUANG/WANG
650-496-7400/888-771-8949

Payer:

XIE FOUNDATION

2013 Informational Statement

Account Number: #/

Tax Identification Number:

Proceeds from Broker Transactions (continued)

Short-term transactions for covered securities, included in Box 2a (continued)

Activity type	Quantity / face value (Box 1e)	Original cost basis (\$)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) (\$)	Cost or other basis (Box 3) (\$)	Wash sale loss disallowed (Box 5) (\$)	Federal income tax withheld (Box 4) (\$)	Loss not allowed (Box 2b)	Gain/Loss (\$)
Description (Box 8) CONSUMERS STAPLES SECTOR SPDR TRUST SHS					CUSIP 81369Y308		Symbol (Box 1d) XLP			
Sell	56 0000		05/01/13	09/12/13	2,262 36	2,290 40				(28 04)
Sell	176 0000		07/30/13	09/12/13	7,110 28	7,286 40				(176 12)
Sub Total	1,698.0000				64,851.51	61,262.97				3,588.54
Description (Box 8) ENERGY SECTOR SPDR TRUST SHARES					CUSIP 81369Y506		Symbol (Box 1d) XLE			
Sell	229 0000		12/18/12	01/31/13	17,749 51	16,661 93				1,087 58
Sell	210 0000		12/24/12	01/31/13	16,276 84	15,015 00				1,261 84
Sell	36 0000		12/24/12	01/31/13	2,790 32	2,574 00				216 32
Sell	97 0000		12/26/12	01/31/13	7,518 35	6,925 80				592 55
Sell	136 0000		12/26/12	07/30/13	11,165 41	9,710 40				1,455 01
Sell	67 0000		03/18/13	07/30/13	5,500 60	5,306 39				194 21
Sub Total	775.0000				61,001.03	56,193 52				4,807.51
Description (Box 8) FINANCIAL SECTOR SPDR TRUST ETF					CUSIP 81369Y605		Symbol (Box 1d) XLF			
Sell	500 0000		12/03/12	01/18/13	8,544 80±	7,875 00				669 80
Sell	577 0000		12/03/12	01/31/13	10,033 80	9,087 75				946 05
Sell	805 0000		12/24/12	01/31/13	13,998 64	13,185 90				812 74
Sell	198 0000		12/24/12	01/31/13	3,443 14	3,243 24				199 90
Sell	825 0000		12/27/12	01/31/13	14,346 43	13,406 17				940 26
Sell	252 0000		12/27/12	02/15/13	4,311 62±	4,094 97				216 65
Sell	248 0000		01/22/13	02/15/13	4,243 18±	4,263 12	19 94			0 00
Sell	252 0000		01/22/13	03/14/13	4,581 25±	4,331 88				249 37
Sell	248 0000		02/19/13	03/14/13	4,508 54±	4,441 68				66 86

continued next page

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2013 Informational Statement

Account Number **#1**

Tax Identification Number:

Proceeds from Broker Transactions (continued)

Short-term transactions for covered securities, included in Box 2a (continued)

Activity type	Quantity / face value (Box 1e)	Original cost basis (\$)	Date acquired (Box 1b)	Date of sale / exchange (Box 1c)	Sale amount (Box 2a) (\$)	Cost or other basis (Box 3) (\$)	Wash sale loss disallowed (Box 5) (\$)	Federal income tax withheld (Box 4) (\$)	Loss not allowed (Box 2b)	Gain/Loss (\$)
Description (Box 8) FINANCIAL SECTOR SPDR TRUST ETF					CUSIP 81369Y605		Symbol (Box 1d) XLF			
Sell	3 0000		02/19/13	03/18/13	54 89	53 73				1 16
Sell	48 0000		02/19/13	04/19/13	866 38	863 54				2 84
Sell	1 0000		02/19/13	04/19/13	18 05	17 91				0 14
Sell	200 0000		02/19/13	04/19/13	3,707 91±	3,598 08				109 83
Sub Total	4,157.0000				72,658 63	68,462.97	19.94			4,215 60
Description (Box 8) FIRST EAGLE GLOBAL FUND CLASS A					CUSIP 32008F507		Symbol (Box 1d) SGENX			
Sell	451 2810		10/02/12	01/31/13	22,419 66	22,424 16				(4 50)
Sell	31 9890		10/02/12	03/18/13	1,625 04	1,589 53				35 51
Sub Total	483.2700				24,044 70	24,013 69				31.01
Description (Box 8) FRANKLIN/TEMPLETON GLOBAL BOND FUND CLASS A					CUSIP 880208103		Symbol (Box 1d) TPINX			
Sell	762 3800		10/02/12	01/31/13	10,208 27	10,200 64				7 63
Sell	171 8010		10/02/12	05/01/13	2,345 08	2,298 70				46 38
Sell	622 3100		10/12/12	05/01/13	8,494 53	8,363 84				130 69
Sell	5 7220		01/15/13	12/23/13	74 73	77 02				(2 29)
Sell	3 4680		02/15/13	12/23/13	45 29	46 75				(1 46)
Sell	3 4760		03/15/13	12/23/13	45 39	46 89				(1 50)
Sell	4 1890		03/18/13	12/23/13	54 71	56 43				(1 72)
Sell	3 4760		04/15/13	12/23/13	45 40	47 20				(1 80)
Sell	1 1370		05/15/13	12/23/13	14 85	15 57				(0 72)
Sell	1 1940		06/17/13	12/23/13	15 59	15 62				(0 03)
Sell	1 2020		07/15/13	12/23/13	15 70	15 67				0 03

continued next page

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Proceeds from Broker Transactions (continued)

Short-term transactions for covered securities, included in Box 2a (continued)

Activity type	Quantity / face value (Box 1e)	Original cost basis (\$)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) (\$)	Cost or other basis (Box 3) (\$)	Wash sale loss disallowed (Box 5) (\$)	Federal income tax withheld (Box 4) (\$)	Loss not allowed (Box 2b)	Gain/Loss (\$)
Description (Box 8) FRANKLIN/TEMPLETON GLOBAL BOND FUND CLASS A					CUSIP 880208103		Symbol (Box 1d) TPINX			
Sell	1 2220		08/15/13	12/23/13	15 96	15 71				0 25
Sell	1 2130		09/16/13	12/23/13	15 84	15 76				0 08
Sell	1,272 2810		10/02/13	12/23/13	16,615 99	16,565 10				50 89
Sell	5 0680		10/15/13	12/23/13	66 19	66 69				(0 50)
Sell	5 1230		11/15/13	12/23/13	66 91	66 91				0 00
Sell	11 2500		12/16/13	12/23/13	146 92	146 81				0 11
Sell	0 3980		12/16/13	12/23/13	5 20	5 20				0 00
Sub Total	2,876.9100				38,292.55	38,066.51				226.04
Description (Box 8) HATTERAS FINANCIAL CORP REIT					CUSIP 41902R103		Symbol (Box 1d) HTS			
Sell	355 0000		10/02/12	01/31/13	9,648 68	9,975 50				(326 82)
Sell	212 0000		10/23/12	01/31/13	5,762 03	5,586 20				175 83
Sell	188 0000		11/08/12	01/31/13	5,109 73	4,901 16				208 57
Sub Total	755 0000				20,520.44	20,462.86				57 58
Description (Box 8) HEALTH CARE SELECT SECTOR SPDR FUND					CUSIP 81369Y209		Symbol (Box 1d) XLV			
Sell	56 0000		11/28/12	01/31/13	2,407 95	2,234 75				173 20
Sell	77 0000		12/04/12	01/31/13	3,310 92	3,099 25				211 67
Sell	81 0000		12/19/12	01/31/13	3,482 92	3,322 61				160 31
Sell	312 0000		12/24/12	01/31/13	13,415 70	12,495 60				920 10

continued next page

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Short-term transactions for covered securities, included in Box 2a (continued)

continued next page

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2013 Informational Statement

Account Number: **#1**

Tax Identification Number:

Proceeds from Broker Transactions (continued)

Short-term transactions for covered securities, included in Box 2a (continued)

Activity type	Quantity / face value (Box 1e)	Original cost basis (\$)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) (\$)	Cost or other basis (Box 3) (\$)	Wash sale loss disallowed (Box 5) (\$)	Federal income tax withheld (Box 4) (\$)	Loss not allowed (Box 2b)	Gain/Loss (\$)
Description (Box 8) ISHARES IBOXX HIGH YIELD CORPORATE BOND ETF					CUSIP 464288513		Symbol (Box 1d) HYG			
Sell	158 0000		10/02/12	01/02/13	14,872 21	14,504 40				367 81
Sell	250 0000		10/02/12	03/15/13	23,599 47±	22,950 00				649 47
Sell	150 0000		10/12/12	03/15/13	14,159 68±	13,875 00				284 68
Sell	249 0000		10/12/12	03/18/13	23,492 62	23,032 50				460 12
Sell	797 0000		01/31/13	03/18/13	75,195 27	74,798 45				396 82
Sell	92 0000		05/17/13	10/18/13	8,514 45±	8,781 40				(266 95)
Sell	408 0000		05/17/13	10/18/13	37,759 74±	38,970 73				(1,210 99)
Sell	8 0000		05/17/13	10/21/13	746 95	763 60				(16 65)
Sub Total	2,112.0000				198,340 39	197,676.08				664 31
Description (Box 8) ISHARES MSCI EAFE ETF					CUSIP 464287465		Symbol (Box 1d) EFA			
Sell	200 0000		10/02/12	01/18/13	11,289 74±	10,703 98				585 76
Sell	378 0000		01/02/13	10/18/13	24,059 28±	21,719 88				2,339 40
Sub Total	578.0000				35,349 02	32,423 86				2,925.16
Description (Box 8) ISHARES RUSSELL MID-CAP GROWTH ETF					CUSIP 464287481		Symbol (Box 1d) IWP			
Sell	300.0000		01/31/13	03/15/13	20,504 54±	20,010.00				494 54
Description (Box 8) ISHARES RUSSELL MID-CAP VALUE ETF					CUSIP 464287473		Symbol (Box 1d) IWS			
Sell	416 0000		01/31/13	11/25/13	26,777 49	22,472 28				4,305 21
Sell	108 0000		03/18/13	11/25/13	6,951 85	6,146 28				805 57
Sub Total	524.0000				33,729.34	28,618.56				5,110 78

continued next page

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2013 Informational Statement

Account Number: **#1**

Tax Identification Number:

Proceeds from Broker Transactions (continued)

Short-term transactions for covered securities, included in Box 2a (continued)

Activity type	Quantity / face value (Box 1e)	Original cost basis (\$)	Date acquired (Box 1b)	Date of sale / exchange (Box 1d)	Sale amount (Box 2a) (\$)	Cost or other basis (Box 3) (\$)	Wash sale loss disallowed (Box 5) (\$)	Federal income tax withheld (Box 4) (\$)	Loss not allowed (Box 2b)	Gain/Loss (\$)
Description (Box 8) ISHARES RUSSELL 1000 VALUE ETF										
										CUSIP 464287598 Symbol (Box 1d) IWD
Sell	24.0000		04/22/13	05/01/13	1,957.40	1,926.00				31.40
Description (Box 8) ISHARES RUSSELL 2000 VALUE ETF										
										CUSIP 464287630 Symbol (Box 1d) IWN
Sell	177.0000		03/18/13	11/25/13	17,132.43	14,892.77				2,239.66
Description (Box 8) ISHARES S&P SMALL-CAP 600 VALUE ETF										
										CUSIP 464287879 Symbol (Box 1d) IIS
Sell	400.0000		01/31/13	03/15/13	35,539.20±	34,112.00				1,427.20
Sell	28.0000		01/31/13	03/18/13	2,524.14	2,387.84				136.30
Sub Total	428.0000				38,063.34	36,499.84				1,563.50
Description (Box 8) ISHARES S&P SMALLCAP 600 GROWTH ETF										
										CUSIP 464287887 Symbol (Box 1d) IUT
Sell	200.0000		01/31/13	03/15/13	18,669.57±	17,860.00				809.57
Sell	92.0000		01/31/13	03/18/13	8,604.58	8,215.60				388.98
Sub Total	292.0000				27,274.15	26,075.60				1,198.55
Description (Box 8) OPPENHEIMER DEVELOPING MARKETS FUND CL A										
										CUSIP 683974109 Symbol (Box 1d) ODMAX
Sell	589.7620		11/16/12	05/01/13	21,001.41	19,568.30				1,433.11
Sell	751.5420		11/16/12	08/15/13	26,649.67	24,936.17				1,713.50
Sell	7.9640		12/07/12	11/25/13	298.73	272.61				26.12
Sell	130.0830		01/31/13	11/25/13	4,879.41	4,715.51				163.90
Sub Total	1,479.3510				52,829.22	49,492.59				3,336.63

continued next page

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2013 Informational Statement

Account Number: **#1**

Tax Identification Number:

Proceeds from Broker Transactions (continued)

Short-term transactions for covered securities, included in Box 2a (continued)

Activity type	Quantity / face value (Box 1e)	Original cost basis (\$)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) (\$)	Cost or other basis (Box 3) (\$)	Wash sale loss disallowed (Box 5) (\$)	Federal income tax withheld (Box 4) (\$)	Loss not allowed (Box 2b)	Gain/Loss (\$)
Description (Box 8) PIMCO TOTAL RETURN ETF					CUSIP 72201R775		Symbol (Box 1d) BOND			
Sell	7 0000		10/02/12	01/02/13	762 42	763 35	0 93			0 00
Sell	24 0000		10/02/12	01/02/13	2,613 54	2,617 20	3 66			0 00
Sell	246 0000		01/31/13	12/23/13	25,817 25	26,809 08				(991 83)
Sell	9 0000		03/18/13	12/23/13	944 53	986 85				(42 32)
Sell	92 0000		05/01/13	12/23/13	9,655 24	10,204 64				(549 40)
Sell	20 0000		05/17/13	12/23/13	2,098 96	2,196 00				(97 04)
Sub Total	398.0000				41,891 94	43,577.12	4.59			(1,680 59)
Description (Box 8) POWERSHARES ETF TRUST II					CUSIP 73936Q769		Symbol (Box 1d) BKLN			
Sell	5,488.0000		03/18/13	10/17/13	135,441 48	137,504 10				(2,062.62)
Description (Box 8) POWERSHARES ETF TRUST II ETF					CUSIP 73936Q835		Symbol (Box 1d) PICB			
Sell	325 0000		10/02/12	01/31/13	9,545 04	9,379 88				165 16
Sell	24 0000		10/02/12	05/01/13	714 22	691 66				22 56
Sell	83 0000		10/02/12	05/01/13	2,462 06	2,391 99				70 07
Sell	270 0000		10/12/12	05/01/13	8,009 10	7,829 77				179 33
Sell	4 0000		10/12/12	10/02/13	117 19	115 74				1 45
Sell	152 0000		10/12/12	10/02/13	4,447 95	4,398 30				49 65
Sell	23 0000		03/18/13	10/02/13	673 05	654 11				18 94
Sub Total	881.0000				25,968.61	25,461 45				507.16

continued next page

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Account Number: ~~4~~/

Tax Identification Number.

Proceeds from Broker Transactions (continued)

Short-term transactions for covered securities, included in Box 2a (continued)

Activity type	Quantity / face value (Box 1e)	Original cost basis (\$)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) (\$)	Cost or other basis (Box 3) (\$)	Wash sale loss disallowed (Box 5) (\$)	Federal income tax withheld (Box 4) (\$)	Loss not allowed (Box 2b)	Gain/Loss (\$)
Description (Box 8) REDWOOD TRUST INC					CUSIP 758075402		Symbol (Box 1d) RWT			
Sell	100 0000		10/02/12	01/31/13	1,909 96	1,469 31				440 65
Sell	581 0000		10/02/12	01/31/13	11,096 85	8,548 31				2,548 54
Sell	321 0000		10/23/12	01/31/13	6,130 96	4,771 03				1,359 93
Sell	242 0000		11/08/12	01/31/13	4,622 10	3,834 03				788 07
Sub Total	1,244.0000				23,759 87	18,622 68				5,137.19
Description (Box 8) SECTOR SPDR TRUST SHS BEN INT-MATERIALS					CUSIP 81369Y100		Symbol (Box 1d) XLB			
Sell	166 0000		12/03/12	01/31/13	6,515 35	6,027 44				487 91
Sell	182 0000		12/18/12	01/31/13	7,143 34	6,801 34				342 00
Sub Total	348.0000				13,658.69	12,828 78				829 91
Description (Box 8) SPDR S&P 500 ETF TR					CUSIP 78462F103		Symbol (Box 1d) SPY			
Sell	36 0000		10/02/12	03/14/13	5,578 80±	5,183 28				395 52
Sell	4 0000		11/08/12	03/14/13	621 95±	556 00				65 95
Sell	264 0000		11/08/12	03/14/13	40,911 16±	36,696 00				4,215 16
Sell	296 0000		01/31/13	03/14/13	46,024 00±	44,400 00				1,624 00
Sell	6 0000		01/31/13	11/25/13	1,082 80	900 00				182 80
Sub Total	606.0000				94,218 71	87,735 28				6,483 43
Description (Box 8) TCW EMERGING MARKETS INCOME FUND CLASS N					CUSIP 87234N351		Symbol (Box 1d) TGINX			
Sell	691 1600		01/31/13	07/03/13	7,644 23	8,315 29	48 52			(622 54)
Sell	2,214 7840		01/31/13	11/13/13	23,897 52	26,573 75	34 15			(2,642 08)

continued next page

UBS Financial Services Inc.

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2013 Informational Statement

Account Number: #/

Tax Identification Number:

Proceeds from Broker Transactions (continued)

Short-term transactions for covered securities, included in Box 2a (continued)

Activity type	Quantity / face value (Box 1e)	Original cost basis (\$)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) (\$)	Cost or other basis (Box 3) (\$)	Wash sale loss disallowed (Box 5) (\$)	Federal income tax withheld (Box 4) (\$)	Loss not allowed (Box 2b)	Gain/Loss (\$)
Description (Box 8) TCW EMERGING MARKETS INCOME FUND CLASS N					CUSIP 87234N351		Symbol (Box 1d) TGINX			
Sell	2,282 8010		01/31/13	12/23/13	24,836 88	27,389 85				(2,552 97)
Sell	23 7820		02/28/13	12/23/13	258 75	283 68				(24 93)
Sell	51 5490		03/18/13	12/23/13	560 85	616 42				(55 57)
Sell	24 3910		03/28/13	12/23/13	265 37	288 01				(22 64)
Sell	24 1590		04/30/13	12/23/13	262 85	289 61				(26 76)
Sell	25 0810		05/31/13	12/23/13	272 88	291 12				(18 24)
Sell	26 5430		06/28/13	12/23/13	288 79	318 48				(29 69)
Sell	23 4290		07/31/13	12/23/13	254 91	279 23				(24 32)
Sell	18 8840		08/30/13	12/23/13	205 46	199 32				6 14
Sell	18 5900		09/30/13	12/23/13	202 26	200 26				2 00
Sell	18 3070		11/01/13	12/23/13	199 18	223 31				(24 13)
Sell	9 9580		11/29/13	12/23/13	108 34	119 88				(11 54)
Sub Total	5,453.4180				59,258.27	65,388.21	82.67			(6,047.27)
Description (Box 8) TECHNOLOGY SECTOR SPDR TRUST SHS					CUSIP 81369Y803		Symbol (Box 1d) XLK			
Sell	514 0000		11/28/12	01/31/13	15,136 96	14,906 00				230 96
Sell	686 0000		12/18/12	01/31/13	20,202 25	20,147 82				54 43
Sell	1 0000		12/19/12	01/31/13	29 45	29 49				(0 04)
Sell	707 0000		12/24/12	01/31/13	20,820 68	20,375 74				444 94
Sell	641 0000		12/27/12	01/31/13	18,877 03	18,172 35				704 68
Sub Total	2,549.0000				75,066.37	73,631.40				1,434.97
Total	40,709 0670				\$1,404,858 60	\$1,365,454 18	\$117 83			\$39,522.25

continued next page

UBS Financial Services Inc.

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Federal ID 13-2638166

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2013 Informational Statement

Account Number: #/
Tax Identification Number:

Proceeds from Broker Transactions (continued)

Short-term transactions for noncovered securities, included in Box 2a

Activity type	Quantity / face value (Box 1e)	Original cost basis (\$)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) (\$)	Cost or other basis (Box 3) (\$)	Wash sale loss disallowed (Box 5) (\$)	Federal income tax withheld (Box 4) (\$)	Loss not allowed (Box 2b)	Gain/Loss (\$)
Description (Box 8) SPDR GOLD TRUST					CUSIP 78463V107		Symbol (Box 1d) GLD			
Sell	116 0000		10/02/12	01/31/13	18,676 74	19,923 29				(1,246 55)
Sell	64 0000		10/23/12	01/31/13	10,304 41	10,588 31				(283 90)
Sell	56 0000		11/08/12	01/31/13	9,016 36	9,342 62				(326 26)
Sub Total	236.0000				37,997 51	39,854 22				(1,856.71)
Total	236 0000				\$37,997.51	\$39,854.22				\$(1,856 71)

Long-term transactions for covered securities, included in Box 2a

Activity type	Quantity / face value (Box 1e)	Original cost basis (\$)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) (\$)	Cost or other basis (Box 3) (\$)	Wash sale loss disallowed (Box 5) (\$)	Federal income tax withheld (Box 4) (\$)	Loss not allowed (Box 2b)	Gain/Loss (\$)
Description (Box 8) FRANKLIN/TEMPLETON GLOBAL BOND FUND CLASS A					CUSIP 880208103		Symbol (Box 1d) TPINX			
Sell	297 9960		10/12/12	12/23/13	3,891 83	4,005 07				(113 24)
Sell	5 5150		10/15/12	12/23/13	72 02	74 18				(2 16)
Sell	5 5400		11/15/12	12/23/13	72 36	74 40				(2 04)
Sell	35 7900		12/17/12	12/23/13	467 41	474 22				(6 81)
Sell	0 2390		12/17/12	12/23/13	3 13	3 17				(0 04)
Sell	23 9220		12/17/12	12/23/13	312 42	316 96				(4 54)
Sub Total	369 0020				4,819 17	4,948.00				(128.83)

continued next page

UBS Financial Services Inc.

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Federal ID 13-2638166

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2013 Informational Statement

Account Number: #/

Tax Identification Number:

Proceeds from Broker Transactions (continued)

Long-term transactions for covered securities, included in Box 2a (continued)

Activity type	Quantity / face value (Box 1e)	Original cost basis (\$)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) (\$)	Cost or other basis (Box 3) (\$)	Wash sale loss disallowed (Box 5) (\$)	Federal income tax withheld (Box 4) (\$)	Loss not allowed (Box 2b)	Gain/Loss (\$)
Description (Box 8) ISHARES IBOXX \$ INVT GRADE CORPORATE BOND ETF					CUSIP 464287242		Symbol (Box 1d) LQD			
Sell	56 0000		10/02/12	10/16/13	6,383 89	6,815 20				(431 31)
Sell	178 0000		10/02/12	10/18/13	20,362 84±	21,662 60				(1,299 76)
Sell	249 0000		10/12/12	10/18/13	28,485 11±	30,589 65				(2,104 54)
Sub Total	483 0000				55,231.84	59,067 45				(3,835 61)
Description (Box 8) ISHARES MSCI EAFE ETF					CUSIP 464287465		Symbol (Box 1d) EFA			
Sell	222.0000		10/02/12	10/18/13	14,130 05±	11,881 42				2,248 63
Description (Box 8) OPPENHEIMER DEVELOPING MARKETS FUND CL A					CUSIP 683974109		Symbol (Box 1d) ODMAX			
Sell	628 1160		11/16/12	11/25/13	23,560 64	20,840 89				2,719 75
Description (Box 8) PIMCO TOTAL RETURN ETF					CUSIP 72201R775		Symbol (Box 1d) BOND			
Sell	256 0000		10/02/12	12/23/13	26,866 73	27,916 80				(1,050 07)
Sell	282 0000		10/12/12	12/23/13	29,595 39	30,831 06				(1,235 67)
Sell	7 0000		01/31/13	12/23/13	734 63	763 79				(29 16)
Sell	24 0000		01/31/13	12/23/13	2,518 76	2,619 18				(100 42)
Sub Total	569.0000				59,715.51	62,130 83				(2,415 32)
Total	2,271 1180				\$157,457.21	\$158,868 59				\$(1,411 38)

continued next page

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Payer:
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2013 Informational Statement

Account Number: #/
Tax Identification Number:

Proceeds from Broker Transactions (continued)

Term undetermined transactions for noncovered securities, included in Box 2a

Activity type	Quantity / face value (Box 1e)	Original cost basis (\$)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) (\$)	Cost or other basis (Box 3) (\$)	Wash sale loss disallowed (Box 5) (\$)	Federal income tax withheld (Box 4) (\$)	Loss not allowed (Box 2b)	Gain/Loss (\$)
Description (Box 8) SPDR GOLD TRUST CUSIP 78463V107 Symbol (Box 1d) GLD										
Return of Principal			01/07/13		12.40	12				Not Calculated
Total					\$12.40					
Total					\$1,600,325.72					

Proceeds from Broker Transactions

Short-term transactions, not included in Box 2a

Activity type	Quantity / face value (Box 1e)	Original cost basis (\$)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) (\$)	Cost or other basis (Box 3) (\$)	Wash sale loss disallowed (Box 5) (\$)	Federal income tax withheld (Box 4) (\$)	Loss not allowed (Box 2b)	Gain/Loss (\$)
Description (Box 8) CALL CONSUMERS STAPLES S DUE 03/16/13 38 000 4315N9										
Shortcover	2.0000		03/14/13	02/14/13	39.99	170.00				(130.01)
Description (Box 8) CALL CONSUMERS STAPLES S DUE 04/20/13 39 000 4315N9										
Shortcover	2.0000		04/17/13	03/14/13	45.99	280.00				(234.01)
Description (Box 8) CALL ENERGY SECTOR SPDR DUE 03/16/13 80 000 431554										
Shortcover	1.0000		03/14/13	02/06/13	64.99	11.00				53.99

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2013 Informational Statement

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Tax Identification Number: .

Proceeds from Broker Transactions (continued)

Short-term transactions, not included in Box 2a (continued)

Activity type	Quantity / face value (Box 1e)	Original cost basis (\$)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) (\$)	Cost or other basis (Box 3) (\$)	Wash sale loss disallowed (Box 5) (\$)	Federal income tax withheld (Box 4) (\$)	Loss not allowed (Box 2b)	Gain/Loss (\$)
Description (Box 8) CALL ENERGY SECTOR SPDR DUE 05/18/13		80 000	431554							
Shortcover	2.0000		05/17/13	04/24/13	59.99	300.00				(240.01)
Description (Box 8) CALL ENERGY SECTOR SPDR DUE 05/18/13		82 000	431554							
Shortcover	2.0000		04/15/13	03/26/13	125.99	18.00				107.99
Description (Box 8) CALL ENERGY SECTOR SPDR DUE 06/22/13		81 000	431554							
Expired	2.0000		06/24/13	05/17/13	367.99					367.99
Description (Box 8) CALL FINANCIAL SECTOR SP DUE 03/16/13		18 000	4315R1							
Shortcover	2.0000		03/14/13	02/08/13	27.99	86.00				(58.01)
Description (Box 8) CALL HATTERAS FINANCIAL DUE 02/16/13		27 000	204A45							
Shortcover	1.0000		01/31/13	01/09/13	29.99	35.00				(5.01)
Shortcover	6.0000		01/31/13	01/10/13	179.99	210.00				(30.01)
Sub Total	7.0000				209.98	245.00				(35.02)
Description (Box 8) CALL INDUSTRIAL SECTOR S DUE 01/19/13		39 000	4315Q3							
Shortcover	7.0000		01/17/13	12/05/12	118.99	469.00				(350.01)
Description (Box 8) CALL INDUSTRIAL SECTOR S DUE 02/16/13		39 000	4315Q3							
Shortcover	7.0000		01/31/13	01/17/13	699.98	833.00				(133.02)

continued next page

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Account Number: #1

Tax Identification Number

Proceeds from Broker Transactions (continued)

Short-term transactions, not included in Box 2a (continued)

Activity type	Quantity / face value (Box 1e)	Original cost basis (\$)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) (\$)	Cost or other basis (Box 3) (\$)	Wash sale loss disallowed (Box 5) (\$)	Federal income tax withheld (Box 4) (\$)	Loss not allowed (Box 2b)	Gain/Loss (\$)
Description (Box 8) CALL ISHARES IBOX \$ INV DUE 03/16/13 123 000 214CW1										
Shortcover	1.0000		01/02/13	11/14/12	40.00	20.00				20.00
Expired	1.0000		03/18/13	11/14/12	39.99					39.99
Expired	3.0000		03/18/13	12/05/12	149.99					149.99
Sub Total	5.0000				229.98	20.00				209.98
Description (Box 8) CALL ISHARES IBOX HIGH DUE 03/16/13 95 000 214JB4										
Shortcover	2.0000		02/07/13	01/10/13	59.99	10.00				49.99
Description (Box 8) CALL ISHARES IBOX HIGH DUE 04/20/13 94 000 214JB4										
Shortcover	10.0000		03/18/13	02/26/13	349.99	490.00				(140.01)
Description (Box 8) CALL ISHARES MSCI EAFE E DUE 01/18/14 67 000 214BT0										
Shortcover	7.0000		12/09/13	11/15/13	524.99	196.00				328.99
Description (Box 8) CALL ISHARES MSCI EAFE E DUE 10/19/13 64 000 214BT0										
Shortcover	7.0000		10/16/13	09/10/13	370.99	560.00				(189.01)
Description (Box 8) CALL ISHARES MSCI EAFE E DUE 11/16/13 65 000 214BT0										
Shortcover	7.0000		11/15/13	10/16/13	594.99	700.00				(105.01)
Description (Box 8) CALL ISHARES MSCI EAFE I DUE 01/19/13 58 000 214BT0										
Shortcover	2.0000		01/17/13	12/18/12	51.99	78.00				(26.01)

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Proceeds from Broker Transactions (continued)

Short-term transactions, not included in Box 2a (continued)

Activity type	Quantity / face value (Box 1e)	Original cost basis (\$)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) (\$)	Cost or other basis (Box 3) (\$)	Wash sale loss disallowed (Box 5) (\$)	Federal income tax withheld (Box 4) (\$)	Loss not allowed (Box 2b)	Gain/Loss (\$)
Description (Box 8) CALL ISHARES MSCI EAFE I DUE 02/16/13 59 000 214BT0										
Shortcover	2.0000		02/14/13	01/09/13	45.99	8.00				37.99
Shortcover	2.0000		02/14/13	01/09/13	47.99	8.00				39.99
Shortcover	2.0000		02/14/13	01/17/13	99.99	8.00				91.99
Sub Total	6.0000				193.97	24.00				169.97
Description (Box 8) CALL ISHARES MSCI EAFE I DUE 03/16/13 59 000 214BT0										
Shortcover	6.0000		03/15/13	02/27/13	167.99	588.00				(420.01)
Description (Box 8) CALL ISHARES MSCI EAFE I DUE 03/16/13 60 000 214BT0										
Shortcover	7.0000		03/13/13	02/08/13	251.99	21.00				230.99
Description (Box 8) CALL ISHARES MSCI EAFE I DUE 05/18/13 60 000 214BT0										
Shortcover	13.0000		05/17/13	03/15/13	1,624.96	3,640.00				(2,015.04)
Description (Box 8) CALL ISHARES MSCI EAFE I DUE 06/22/13 61 000 214BT0										
Shortcover	13.0000		06/05/13	05/17/13	2,924.93	455.00				2,469.93
Description (Box 8) CALL ISHARES MSCI EAFE I DUE 08/17/13 62 000 214BT0										
Expired	13.0000		08/19/13	07/11/13	389.99					389.99
Description (Box 8) CALL ISHARES RUSSELL MID DUE 10/19/13 61 000 214BQ1										
Shortcover	10.0000		10/18/13	09/04/13	449.99	2,350.00				(1,900.01)

continued next page

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2013 Informational Statement

Account Number: #1

Tax Identification Number:

Proceeds from Broker Transactions (continued)

Short-term transactions, not included in Box 2a (continued)

Activity type	Quantity / face value (Box 1e)	Original cost basis (\$)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) (\$)	Cost or other basis (Box 3) (\$)	Wash sale loss disallowed (Box 5) (\$)	Federal income tax withheld (Box 4) (\$)	Loss not allowed (Box 2b)	Gain/Loss (\$)
<i>Description (Box 8) CALL ISHARES RUSSELL MID DUE 10/19/13 78 000 214B51</i>										
Shortcover	6.0000		10/18/13	09/04/13	359.99	1,200.00				(840.01)
<i>Description (Box 8) CALL ISHARES RUSSELL MID DUE 11/16/13 63 000 214BQ1</i>										
Shortcover	10.0000		11/15/13	10/18/13	949.98	1,800.00				(850.02)
<i>Description (Box 8) CALL ISHARES RUSSELL 100 DUE 10/19/13 88 000 2139T4</i>										
Shortcover	1.0000		10/17/13	09/04/13	49.99	100.00				(50.01)
<i>Description (Box 8) CALL ISHARES RUSSELL 100 DUE 11/16/13 89 000 2139T4</i>										
Shortcover	1.0000		11/15/13	10/17/13	109.99	310.00				(200.01)
<i>Description (Box 8) CALL ISHARES RUSSELL 200 DUE 08/17/13 123 000 214AV9</i>										
Expired	3.0000		08/19/13	07/25/13	149.99					149.99
<i>Description (Box 8) CALL ISHARES RUSSELL 200 DUE 09/21/13 94 000 214AU1</i>										
Shortcover	5.0000		09/04/13	08/01/13	574.99	25.00				549.99
<i>Description (Box 8) CALL ISHARES RUSSELL 200 DUE 10/19/13 91 000 214AU1</i>										
Shortcover	5.0000		10/18/13	09/04/13	424.99	2,150.00				(1,725.01)
<i>Description (Box 8) CALL ISHARES RUSSELL 200 DUE 10/19/13 125 000 214AV9</i>										
Shortcover	3.0000		10/17/13	09/05/13	299.99	960.00				(660.01)

continued next page

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Proceeds from Broker Transactions (continued)

Short-term transactions, not included in Box 2a (continued)

Activity type	Quantity / face value (Box 1e)	Original cost basis (\$)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) (\$)	Cost or other basis (Box 3) (\$)	Wash sale loss disallowed (Box 5) (\$)	Federal income tax withheld (Box 4) (\$)	Loss not allowed (Box 2b)	Gain/Loss (\$)
<i>Description (Box 8) CALL ISHARES RUSSELL 200 DUE 11/16/13 93 000 214AU1</i>										
Shortcover	5.0000		11/15/13	10/18/13	1,449.97	1,325.00				124.97
<i>Description (Box 8) CALL ISHARES RUSSELL 200 DUE 11/16/13 127 000 214AV9</i>										
Shortcover	3.0000		11/15/13	10/17/13	839.99	930.00				(90.01)
<i>Description (Box 8) CALL ISHARES TRUST RUSSE DUE 03/16/13 56 000 214BQ1</i>										
Shortcover	4.0000		03/15/13	02/14/13	119.99	460.00				(340.01)
<i>Description (Box 8) CALL ISHARES TRUST RUSSE DUE 03/16/13 68 000 214BS1</i>										
Shortcover	4.0000		03/15/13	02/27/13	139.99	600.00				(460.01)
<i>Description (Box 8) CALL ISHARES TRUST RUSSE DUE 04/20/13 85 000 214AU1</i>										
Expired	3.0000		04/22/13	04/02/13	89.99					89.99
<i>Description (Box 8) CALL ISHARES TRUST RUSSE DUE 04/20/13 110 000 214AV9</i>										
Shortcover	2.0000		04/08/13	03/28/13	79.99	10.00				69.99
<i>Description (Box 8) CALL ISHARES TRUST RUSSE DUE 05/18/13 72 000 214BS1</i>										
Shortcover	5.0000		05/16/13	04/11/13	199.99	1,000.00				(800.01)
Shortcover	1.0000		05/16/13	05/02/13	24.99	200.00				(175.01)
Sub Total	6.0000				224.98	1,200.00				(975.02)

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Proceeds from Broker Transactions (continued)

Short-term transactions, not included in Box 2a (continued)

Activity type	Quantity / face value (Box 1e)	Original cost basis (\$)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) (\$)	Cost or other basis (Box 3) (\$)	Wash sale loss disallowed (Box 5) (\$)	Federal income tax withheld (Box 4) (\$)	Loss not allowed (Box 2b)	Gain/Loss (\$)
Description (Box 8) CALL ISHARES TRUST RUSSE DUE 05/18/13 85 000 214AU1										
Shortcover	3 0000		05/17/13	04/24/13	104 99	720 00				(615 01)
Shortcover	2 0000		05/17/13	05/02/13	59 99	480 00				(420 01)
Sub Total	5.0000				164.98	1,200.00				(1,035 02)
Description (Box 8) CALL ISHARES TRUST RUSSE DUE 05/18/13 110 000 214AV9										
Shortcover	2 0000		05/17/13	04/10/13	79 99	620 00				(540 01)
Shortcover	1 0000		05/17/13	05/02/13	14 99	310 00				(295 01)
Sub Total	3.0000				94.98	930.00				(835.02)
Description (Box 8) CALL ISHARES TRUST RUSSE DUE 06/22/13 60 000 214BQ1										
Shortcover	10.0000		06/19/13	05/03/13	349 99	50 00				299.99
Description (Box 8) CALL ISHARES TRUST RUSSE DUE 06/22/13 74 000 214BS1										
Shortcover	6.0000		06/19/13	05/16/13	689.98	180 00				509.98
Description (Box 8) CALL ISHARES TRUST RUSSE DUE 06/22/13 86 000 2139T4										
Shortcover	1.0000		06/19/13	05/08/13	44 99	10 00				34.99
Description (Box 8) CALL ISHARES TRUST RUSSE DUE 06/22/13 86 000 214AU1										
Shortcover	5.0000		06/20/13	05/17/13	1,249 97	75 00				1,174.97

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Proceeds from Broker Transactions (continued)

Short-term transactions, not included in Box 2a (continued)

Activity type	Quantity / face value (Box 1e)	Original cost basis (\$)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) (\$)	Cost or other basis (Box 3) (\$)	Wash sale loss disallowed (Box 5) (\$)	Federal income tax withheld (Box 4) (\$)	Loss not allowed (Box 2b)	Gain/Loss (\$)
<i>Description (Box 8) CALL ISHARES TRUST RUSSE DUE 06/22/13 112 000 214AV9</i>										
Shortcover	3.0000		06/20/13	05/17/13	854.98	90.00				764.98
<i>Description (Box 8) CALL PIMCO TOTAL RETURN DUE 06/22/13 111 000 355KU1</i>										
Expired	8.0000		06/24/13	04/26/13	319.99					319.99
<i>Description (Box 8) CALL PIMCO TOTAL RETURN DUE 12/21/13 105 560 355KU1</i>										
Expired	9.0000		12/23/13	12/10/13	224.99					224.99
<i>Description (Box 8) CALL SPDR S&P 500 ETF TR DUE 01/19/13 146 000 492221</i>										
Shortcover	1.0000		01/17/13	11/28/12	67.99	240.00				(172.01)
<i>Description (Box 8) CALL SPDR S&P 500 ETF TR DUE 02/16/13 147 000 492221</i>										
Shortcover	1.0000		02/14/13	01/17/13	274.99	525.00				(250.01)
<i>Description (Box 8) CALL SPDR S&P 500 ETF TR DUE 03/08/13 154 000 492221</i>										
Shortcover	3.0000		03/07/13	02/27/13	62.99	303.00				(240.01)
Total	258.0000				\$20,214.25	\$26,217.00				\$(6,002.75)