Form **990-PF**

Department of the Treasury
Internal Revenue Service

# Return of Private Foundation

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

◆ Do not enter Social Security numbers on this form as it may be made public.
◆ Information about Form 990-PF and its separate instructions is at www.irs.gov/form990pf.

OMB No 1545-0052

**2013**

Open to Public Inspection

For calendar year 2013 or tax year beginning , and ending

Name of foundation
THE PETERMAN FOUNDATION, INC.

A Employer identification number
27-1332412

Number and street (or P O box number if mail is not delivered to street address) Room/suite
364 PATTESON DRIVE #265

B Telephone number (see instructions)
304-598-8000

City or town, state or province, country, and ZIP or foreign postal code
MORGANTOWN WV 26505

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 ◆ ☐

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

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

I Fair market value of all assets at end of year (from Part II, col (c), line 16) ◆ $ 4,930,617

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) | 3,879,661 | | | |
| | 2 | Check ◆☒ if the foundation is not required to attach Sch. B | | | | |
| | 3 | Interest on savings and temporary cash investments | 480 | 480 | | |
| | 4 | Dividends and interest from securities | 66,343 | 66,343 | | |
| | 5a | Gross rents | | | | |
| | b | Net rental income or (loss) | | | | |
| | 6a | Net gain or (loss) from sale of assets not on line 10 STMT 1 | 18,435 | | | |
| | b | Gross sales price for all assets on line 6a 608,296 | | | | |
| | 7 | Capital gain net income (from Part IV, line 2) | | 0 | | |
| | 8 | Net short-term capital gain | | | 0 | |
| | 9 | Income modifications | | | | |
| | 10a | Gross sales less returns and allowances | | | | |
| | b | Less Cost of goods sold | | | | |
| | c | Gross profit or (loss) (attach schedule) | | | | |
| | 11 | Other income (attach schedule) | | | | |
| | 12 | **Total.** Add lines 1 through 11 | 3,964,919 | 66,823 | 0 | |
| Operating and Administrative Expenses | 13 | Compensation of officers, directors, trustees, etc. | 0 | | | |
| | 14 | Other employee salaries and wages | | | | |
| | 15 | Pension plans, employee benefits | | | | |
| | 16a | Legal fees (attach schedule) SEE STMT 2 | 4,862 | | | |
| | b | Accounting fees (attach schedule) | | | | |
| | c | Other professional fees (attach schedule) | | | | |
| | 17 | Interest | | | | |
| | 18 | Taxes (attach schedule) (see instructions) | | | | |
| | 19 | Depreciation (attach schedule) and depletion | | | | |
| | 20 | Occupancy | | | | |
| | 21 | Travel, conferences, and meetings | | | | |
| | 22 | Printing and publications | | | | |
| | 23 | Other expenses (att sch) STMT 3 STMT 4 | 28,447 | | | 21,677 |
| | 24 | **Total operating and administrative expenses.** Add lines 13 through 23 | 33,309 | 0 | 0 | 21,677 |
| | 25 | Contributions, gifts, grants paid | 31,000 | | | 31,000 |
| | 26 | **Total expenses and disbursements.** Add lines 24 and 25 | 64,309 | 0 | 0 | 52,677 |
| | 27 | Subtract line 26 from line 12. | | | | |
| | a | **Excess of revenue over expenses and disbursements** | 3,900,610 | | | |
| | b | **Net investment income** (if negative, enter -0-) | | 66,823 | | |
| | c | **Adjusted net income** (if negative, enter -0-) | | | 0 | |

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Form **990-PF** (2013)

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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 (a) Book Value | End of year (b) Book Value | End of year (c) Fair Market Value |
|---|---|---|---|---|
| **Assets** | | | | |
| 1 | Cash – non-interest-bearing | 332,037 | 3,502 | 3,502 |
| 2 | Savings and temporary cash investments | | 461,708 | 461,708 |
| 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 (att schedule) ◆ | | | |
| | Less allowance for doubtful accounts ◆ 0 | | | |
| 8 | Inventories for sale or use | | | |
| 9 | Prepaid expenses and deferred charges | | | |
| 10a | Investments – U.S and state government obligations (attach schedule) STMT 5 | 579,873 | 1,206,082 | 1,197,362 |
| b | Investments – corporate stock (attach schedule) SEE STMT 6 | | 2,022,645 | 2,101,633 |
| c | Investments – corporate bonds (attach schedule) SEE STMT 7 | 53,252 | 1,171,835 | 1,166,412 |
| 11 | Investments – land, buildings, and equipment basis ◆ | | | |
| | Less accumulated depreciation (attach sch) ◆ | | | |
| 12 | Investments – mortgage loans | | | |
| 13 | Investments – other (attach schedule) | | | |
| 14 | Land, buildings, and equipment basis ◆ | | | |
| | Less accumulated depreciation (attach sch) ◆ | | | |
| 15 | Other assets (describe ◆ ) | | | |
| 16 | **Total assets** (to be completed by all filers – see the instructions Also, see page 1, item I) | 965,162 | 4,865,772 | 4,930,617 |
| **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 | 0 | |
| **Net Assets or Fund Balances** | | | | |
| | **Foundations that follow SFAS 117, check here ◆ [X] and complete lines 24 through 26 and lines 30 and 31.** | | | |
| 24 | Unrestricted | 965,162 | 4,865,772 | |
| 25 | Temporarily restricted | | | |
| 26 | Permanently restricted | | | |
| | **Foundations that do not follow SFAS 117, check here ◆ [ ] and complete lines 27 through 31.** | | | |
| 27 | Capital stock, trust principal, or current funds | | | |
| 28 | Paid-in or capital surplus, or land, bldg , and equipment fund | | | |
| 29 | Retained earnings, accumulated income, endowment, or other funds | | | |
| 30 | **Total net assets or fund balances** (see instructions) | 965,162 | 4,865,772 | |
| 31 | **Total liabilities and net assets/fund balances** (see instructions) | 965,162 | 4,865,772 | |

**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 | 965,162 |
| 2 | Enter amount from Part I, line 27a | 2 | 3,900,610 |
| 3 | Other increases not included in line 2 (itemize) ◆ | 3 | |
| 4 | Add lines 1, 2, and 3 | 4 | 4,865,772 |
| 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 | 4,865,772 |

## 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 | 6091000469 (SEE ATTACHED) | | | |
| b | 6091000094 (SEE ATTACHED) | | | |
| c | 60-0041-01-6 (SEE ATTACHED) | | | |
| 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 | 0 | | | |
| b | 0 | | | |
| 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

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

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

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

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

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period? ☐ Yes ☒ No

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

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

| (a) Base period years Calendar year (or tax year beginning in) | (b) Adjusted qualifying distributions | (c) Net value of noncharitable-use assets | (d) Distribution ratio (col (b) divided by col (c)) |
|---|---|---|---|
| 2012 | 39,565 | 685,871 | 0.057686 |
| 2011 | 20,899 | 719,173 | 0.029060 |
| 2010 | | 421,837 | |
| 2009 | | 47,820 | |
| 2008 | | | |

| | | | |
|---|---|---|---|
| 2 | Total of line 1, column (d) | 2 | 0.086746 |
| 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 | 0.043373 |
| 4 | Enter the net value of noncharitable-use assets for 2013 from Part X, line 5 | 4 | 3,337,912 |
| 5 | Multiply line 4 by line 3 | 5 | 144,775 |
| 6 | Enter 1% of net investment income (1% of Part I, line 27b) | 6 | 668 |
| 7 | Add lines 5 and 6 | 7 | 145,443 |
| 8 | Enter qualifying distributions from Part XII, line 4 | 8 | 52,677 |

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

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

| | | | |
|---|---|---|---|
| 1a | Exempt operating foundations described in section 4940(d)(2), check here ☐ and enter "N/A" on line 1. Date of ruling or determination letter: (attach copy of letter if necessary—see instructions) | | |
| b | Domestic foundations that meet the section 4940(e) requirements in Part V, check here ◆ ☐ and enter 1% of Part I, line 27b | 1 | 1,336 |
| c | All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col (b). | | |
| 2 | Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-) | 2 | 0 |
| 3 | Add lines 1 and 2 | 3 | 1,336 |
| 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 | 1,336 |
| 6 | Credits/Payments: | | |
| a | 2013 estimated tax payments and 2012 overpayment credited to 2013 — 6a: 1,587 | | |
| b | Exempt foreign organizations – tax withheld at source — 6b: | | |
| c | Tax paid with application for extension of time to file (Form 8868) — 6c: 1,500 | | |
| d | Backup withholding erroneously withheld — 6d: | | |
| 7 | Total credits and payments Add lines 6a through 6d | 7 | 3,087 |
| 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 | |
| 10 | **Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ◆ | 10 | 1,751 |
| 11 | Enter the amount of line 10 to be **Credited to 2014 estimated tax** ◆ 1,751 **Refunded** ◆ | 11 | |

**Part VII-A Statements Regarding Activities**

| | | | Yes | No |
|---|---|---|---|---|
| 1a | During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign? | 1a | | X |
| b | Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see Instructions for the definition)? | 1b | | X |
| | If the answer is "Yes" to **1a** or **1b**, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities. | | | |
| c | Did the foundation file **Form 1120-POL** for this year? | 1c | | X |
| d | Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year. **(1)** On the foundation. ◆ $ ________ **(2)** On foundation managers. ◆$ ________ | | | |
| e | Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ◆ $ ________ | | | |
| 2 | Has the foundation engaged in any activities that have not previously been reported to the IRS? If "Yes," attach a detailed description of the activities. | 2 | | X |
| 3 | Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes | 3 | | X |
| 4a | Did the foundation have unrelated business gross income of $1,000 or more during the year? | 4a | | X |
| b | If "Yes," has it filed a tax return on **Form 990-T** for this year? N/A | 4b | | |
| 5 | Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by General Instruction T | 5 | | X |
| 6 | Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument? | 6 | X | |
| 7 | Did the foundation have at least $5,000 in assets at any time during the year? If "Yes," complete Part II, col (c), and Part XV | 7 | X | |
| 8a | Enter the states to which the foundation reports or with which it is registered (see instructions) ◆ NONE | | | |
| 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 N/A | 8b | | |
| 9 | Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2013 or the taxable year beginning in 2013 (see instructions for Part XIV)? If "Yes," complete Part XIV | 9 | | X |
| 10 | Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses | 10 | | X |

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

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

Website address ◆ N/A

14 The books are in care of ◆ THOMAS A. VORBACH, ESQ. Telephone no ◆ 304-598-8112
SUNCREST CENTER, SUITE 400
Located at ◆MORGANTOWN WV ZIP+4 ◆ 26505

15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 – Check here ◆ ☐
and enter the amount of tax-exempt interest received or accrued during the year ◆ 15

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

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

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

| | | | | Yes | No |
|---|---|---|---|---|---|
| 1a | During the year did the foundation (either directly or indirectly): | | | | |
| | (1) Engage in the sale or exchange, or leasing of property with a disqualified person? | ☐ Yes ☒ No | | | |
| | (2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? | ☐ Yes ☒ No | | | |
| | (3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? | ☐ Yes ☒ No | | | |
| | (4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? | ☐ Yes ☒ No | | | |
| | (5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? | ☐ Yes ☒ No | | | |
| | (6) Agree to pay money or property to a government official? (**Exception.** Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days ) | ☐ Yes ☒ No | | | |
| b | If any answer is "Yes" to 1a(1)–(6), did **any** of the acts fail to qualify under the exceptions described in Regulations section 53 4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? | N/A | 1b | | |
| | 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? | N/A | 1c | | |
| 2 | Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)): | | | | |
| a | At the end of tax year 2013, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2013? | ☐ 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 ) | N/A | 2b | | |
| c | If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here ◆ 20 , 20 , 20 , 20 | | | | |
| 3a | Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? | ☐ 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.) | N/A | 3b | | |
| 4a | Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? | | 4a | | X |
| b | Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2013? | | 4b | | X |



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

| | | | Yes | No |
|---|---|---|---|---|
| **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)? N/A | 5b | | |
| | Organizations relying on a current notice regarding disaster assistance check here ◆ ☐ | | | |
| **c** | If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? N/A ☐ Yes ☐ No | | | |
| | If "Yes," attach the statement required by Regulations section 53.4945–5(d). | | | |
| **6a** | Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? ☐ Yes ☒ No | | | |
| **b** | Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? | 6b | | X |
| | 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? N/A | 7b | | |

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

**1 List all officers, directors, trustees, foundation managers and their compensation (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 |
|---|---|---|---|---|---|
| THOMAS A. VORBACH<br>5009 LAKE LYNN DRIVE | MORGANTOWN<br>WV 26508 | PRESIDENT<br>1.00 | 0 | 0 | 0 |
| LAURIE C. BARBE<br>651 KILARNEY DRIVE | MORGANTOWN<br>WV 26505 | VICE PRES.<br>1.00 | 0 | 0 | 0 |
| SHERI O. SMITH<br>845 MALLARD LANDING BLVD. | CLEMMONS<br>NC 27012 | SEC./TREAS.<br>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 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 SEE STATEMENT 8 | |
| 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 N/A | |
| 2 | |
| All other program-related investments See instructions<br>3 | |
| **Total.** Add lines 1 through 3 ▶ | |



DAA

**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 | 2,288,687 |
| b | Average of monthly cash balances | 1b | 1,100,056 |
| c | Fair market value of all other assets (see instructions) | 1c | 0 |
| d | **Total** (add lines 1a, b, and c) | 1d | 3,388,743 |
| e | Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) 1e 0 | | |
| 2 | Acquisition indebtedness applicable to line 1 assets | 2 | 0 |
| 3 | Subtract line 2 from line 1d | 3 | 3,388,743 |
| 4 | Cash deemed held for charitable activities. Enter 1½% of line 3 (for greater amount, see instructions) | 4 | 50,831 |
| 5 | **Net value of noncharitable-use assets.** Subtract line 4 from line 3. Enter here and on Part V, line 4 | 5 | 3,337,912 |
| 6 | **Minimum investment return.** Enter 5% of line 5 | 6 | 166,896 |

**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 | 166,896 |
| 2a | Tax on investment income for 2013 from Part VI, line 5 | 2a | 1,336 | | |
| b | Income tax for 2013. (This does not include the tax from Part VI.) | 2b | | | |
| c | Add lines 2a and 2b | | | 2c | 1,336 |
| 3 | Distributable amount before adjustments. Subtract line 2c from line 1 | | | 3 | 165,560 |
| 4 | Recoveries of amounts treated as qualifying distributions | | | 4 | |
| 5 | Add lines 3 and 4 | | | 5 | 165,560 |
| 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 | 165,560 |

**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 | 52,677 |
| 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 | 52,677 |
| 5 | Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b (see instructions) | 5 | 0 |
| 6 | **Adjusted qualifying distributions.** Subtract line 5 from line 4 | 6 | 52,677 |

**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 | | | | 165,560 |
| 2 | Undistributed income, if any, as of the end of 2013. | | | | |
| a | Enter amount for 2012 only | | | 30,149 | |
| 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 | | | | |
| e | From 2012 | | | | |
| f | **Total** of lines 3a through e | | | | |
| 4 | Qualifying distributions for 2013 from Part XII, line 4 ◆ $ 52,677 | | | | |
| a | Applied to 2012, but not more than line 2a | | | 30,149 | |
| b | Applied to undistributed income of prior years (Election required – see instructions) | | | | |
| c | Treated as distributions out of corpus (Election required – see instructions) | | | | |
| d | Applied to 2013 distributable amount | | | | 22,528 |
| 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).) | | | | |
| 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 | | | | 143,032 |
| 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 | | | | |



DAA

## 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 foundation is a private operating foundation described in section ☐ 4942(j)(3) or ☐ 4942(j)(5)

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

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

1 **Information Regarding Foundation Managers:**

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

N/A

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

N/A

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

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

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

SEE ATTACHED.

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

SEE ATTACHED.

c Any submission deadlines:

SEE ATTACHED.

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

SEE ATTACHED.

**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 | | | | |
| ANIMAL FRIENDS OF NORTH CENTRAL WV<br>252 BREWER ROAD<br>MORGANTOWN WV 26508 | | | SPAYING AND NEUTERING ANIMALS | 6,000 |
| MOUNTAINEER SPAY NEUTER ASSIST. PRO<br>1216 PHILLIP ST.<br>MORGANTOWN WV 26501 | | | SPAYING AND NEUTERING ANIMALS | 15,000 |
| PRESTON COUNTY HUMANE SOCIETY<br>116 BROWN AVENUE<br>KINGWOOD WV 26537 | | | SPAYING AND NEUTERING ANIMALS | 10,000 |
| **Total** | | | ◆ 3a | 31,000 |
| **b** Approved for future payment<br>N/A | | | | |
| **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 | 480 | |
| 4 Dividends and interest from securities | | | 14 | 66,343 | |
| 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 | | | 14 | 18,435 | 0 |
| 9 Net income or (loss) from special events | | | | | |
| 10 Gross profit or (loss) from sales of inventory | | | | | |
| 11 Other revenue a | | | | | |
| b | | | | | |
| c | | | | | |
| d | | | | | |
| e | | | | | |
| 12 Subtotal. Add columns (b), (d), and (e) | | 0 | | 85,258 | 0 |

13 **Total.** Add line 12, columns (b), (d), and (e) 13 85,258

(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 ) |
|---|---|
| N/A | |



DAA

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

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

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

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

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

b If "Yes," complete the following schedule

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

**Sign Here**

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

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

Signature of officer or trustee | Date 8-15-14 | Title President

**Paid Preparer Use Only**

| Print/Type preparer's name | Preparer's signature | Date | Check ☐ if self-employed |
|---|---|---|---|
| MELISSA S. WATKINS, ESQ. | | 8/15/14 | |

Firm's name ④ STEPTOE & JOHNSON — PTIN P00670290

Firm's address ④ 1085 VAN VOORHIS RD STE 400 MORGANTOWN, WV 26505-6403 — Firm's EIN ④ 55-0286140 — Phone no 304-598-8000

# Federal Statements

## Statement 1 - Form 990-PF, Part I, Line 6a - Sale of Assets

| Description: Whom Sold | Date Acquired | Date Sold | How Received / Sale Price | Cost | Expense | Depreciation | Net Gain / Loss |
|---|---|---|---|---|---|---|---|
| ACCOUNT # 60-0041-01-6 (SEE ATTACHED | | | PURCHASE $ 97,124 | $ 93,488 | $ | $ | $ 3,636 |
| 6091000469 (SEE ATTACHED-SHORT) | | | PURCHASE 102,592 | 103,860 | | | -1,268 |
| 6091000469 (SEE ATTACHED-LONG) | | | PURCHASE 296,655 | 288,716 | | | 7,939 |
| 6091000094 (SEE ATTAHCED-SHORT) | | | PURCHASE 1,668 | 1,663 | | | 5 |
| 6091000094 (SEE ATTACHED-LONG) | | | PURCHASE 104,788 | 102,134 | | | 2,654 |
| TOTAL | | | $ 602,827 | $ 589,861 | $ 0 | $ 0 | $ 12,966 |

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

| Description | Total | Net Investment | Adjusted Net | Charitable Purpose |
|---|---|---|---|---|
| STEPTOE & JOHNSON PLLC | $ 4,862 | $ | $ | $ |
| TOTAL | $ 4,862 | $ 0 | $ 0 | $ 0 |

## Statement 3 - Form 990-PF, Part I, Line 23 - Amortization

| Description | Date Acquired | Cost Basis | Prior Year Amortization | Life | Current Year Amortization | Net Investment Income | Adjusted Net Income | COGS |
|---|---|---|---|---|---|---|---|---|
| AMORTIZATION ON 75,000 UNITS OF WHEELING WV WTRWKS | 11/20/09 | $ | $ 349 | | $ | $ | $ | |
| AMORTIZATION ON 50,000 UNITS OF MARSHALL CNTY WVA | | | 423 | | | | | |
| AMORTIZATION ON 75,000 UNITS OF WV STR DEV AUTH | | | 121 | | | | | |

# Federal Statements

## Statement 3 - Form 990-PF, Part I, Line 23 - Amortization (continued)

| Description | Date Acquired | Cost Basis | Prior Year Amortization | Life | Current Year Amortization | Net Investment Income | Adjusted Net Income | COGS |
|---|---|---|---|---|---|---|---|---|
| AMORTIZATION ON 75,000 UNITS PARKERSBURG WV WRTWK | | $ | $ 217 | | $ | $ | $ | |
| AMORTIZATION ON 50,000 UNITS BERKELRY COUNTY WV BD | | | 794 | | | | | |
| TOTAL | | | | | 7,247 | | | |
| TOTAL | | $ 0 | $ 1,904 | | $ 7,247 | $ 0 | $ 0 | |

## Statement 4 - Form 990-PF, Part I, Line 23 - Other Expenses

| Description | Total | Net Investment | Adjusted Net | Charitable Purpose |
|---|---|---|---|---|
| | $ | $ | $ | $ |
| EXPENSES | | | | |
| HUNTINGTON BANK FEES | 84 | | | 84 |
| 8212 | 8,212 | | | 8,212 |
| INVESTMENT FEES 60910000469 | 4,053 | | | 4,053 |
| INVESTMENT FEES 6091000094 | 7,410 | | | 7,410 |
| HNB ELECTRONIC WITHDRAWALS | 1,418 | | | 1,895 |
| BANK FEES | 23 | | | 23 |
| TOTAL | $ 21,200 | $ 0 | $ 0 | $ 21,677 |

## Statement 5 - Form 990-PF, Part II, Line 10a - US and State Government Investments

| Description | Beginning of Year | End of Year | Basis of Valuation | Fair Market Value |
|---|---|---|---|---|
| 473664DG2 JEFF CNTY WV BRD ED PUB SC | $ 50,000 | $ 50,000 | COST | $ 51,130 |
| 572274BE7 MARSH CNTY WVA BRD ED PUB | 50,096 | | COST | |
| 701352BQ8 PARKBRG WV WTRWKS & SEW SY | 75,207 | 50,272 | COST | 51,162 |
| 956695WF3 WV ST WTR DEV AUTH | 75,121 | 75,060 | COST | 76,663 |
| 963270DR1 WH WV WTRWKS & SWR SYS REV | 75,398 | 75,284 | COST | 80,309 |
| 084239FQ0 BERKELEY CNTY WV BRD ED | 52,773 | 51,662 | COST | 51,643 |

## Statement 5 - Form 990-PF, Part II, Line 10a - US and State Government Investments (continued)

| Description | Beginning of Year | End of Year | Basis of Valuation | Fair Market Value |
|---|---|---|---|---|
| 084239FR8 BERKELEY CNTY WV BRD ED | $ 51,620 | $ 51,324 | COST | $ 51,464 |
| 084239FS6 BERKELEY CNTY WV BRD ED | 49,658 | | COST | |
| 95662MM64 WV ST HSG DEV FD SER | 50,000 | 50,000 | COST | 49,936 |
| 95662MN22 WV ST HSG DEV FD SER | 50,000 | 50,000 | COST | 49,999 |
| 956553VL2 WV ST REF 4% | | 57,233 | COST | 54,479 |
| 305459FC8 FAIRMONT WV WTRWKS REV REF | | 49,820 | COST | 47,479 |
| 746690CM6 PUTNAM CNTY WVA BRD ED PUB | | 57,512 | COST | 54,180 |
| 95639RCK3 WV HIGHER ED POL COMMN | | 50,201 | COST | 50,421 |
| 95648MPFO WV ST ECON DEV AUTH | | 99,074 | COST | 92,998 |
| 95662MN48 WV ST HSG DEV FD SER | | 50,000 | COST | 49,516 |
| 95667QAP1 WV ST SCH BLDG AUTH REV | | 50,325 | COST | 52,539 |
| 956704UL2 WV UNIV REVS REF-W VA | | 65,099 | COST | 66,686 |
| 956704YW4 WV UNIV REVS WV UNIV | | 50,256 | COST | 47,411 |
| 956704YYO WV UNIV REVS WV UNIV | | 72,960 | COST | 68,282 |
| 473664DG2 JEFF CTY WV BRD ED PUB SCH | | 50,000 | COST | 51,130 |
| 95662MM64 WV ST HSG DEV FD SER | | 50,000 | COST | 49,936 |
| 95662MN22 WV ST HSG DEV FD SER | | 50,000 | COST | 49,999 |
| TOTAL | $ 579,873 | $ 1,206,082 | | $ 1,197,362 |

## Statement 6 - Form 990-PF, Part II, Line 10b - Corporate Stock Investments

| Description | Beginning of Year | End of Year | Basis of Valuation | Fair Market Value |
|---|---|---|---|---|
| 6091000469-EQUITIES (SEE ATTACHED) | $ | $ 423,525 | COST | $ 438,332 |
| 60-0041-01-6-EQUITIES (SEE ATTACHED) | | 886,677 | COST | 949,808 |
| 6091000094-MUTUAL FUNDS EQUITIES | | 227,023 | COST | 228,600 |
| 6091000469-MUTUAL FUNDS EQUITIES | | 485,420 | COST | 484,893 |
| TOTAL | $ 0 | $ 2,022,645 | | $ 2,101,633 |

# Federal Statements

## Statement 7 - Form 990-PF, Part II, Line 10c - Corporate Bond Investments

| Description | Beginning of Year | End of Year | Basis of Valuation | Fair Market Value |
|---|---|---|---|---|
| VANGUARD INTERMEDIATE EXEMPT FUND | $ 53,252 | $ | COST | $ |
| FEDERATED INTRMD CORP BD FD | | 147,683 | COST | 147,372 |
| FEDERATED ULTRA SHORT BD | | 162,416 | COST | 162,451 |
| MERGER FUND - INST | | 30,450 | COST | 30,066 |
| NEUBERGER BERMAN INCOME FDS | | 24,873 | COST | 24,584 |
| OPPENHEIMER SR FLOAT RATE-Y | | 49,031 | COST | 49,286 |
| VANGUARD INTER TERM INV GRADE ADMIRA | | 158,583 | COST | 157,095 |
| VANGUARD INTM TERM TREAS ADM | | 129,127 | COST | 126,917 |
| VANGUARD SHORT TERM INV GRADE | | 196,507 | COST | 196,680 |
| VANGAURD ADM SRT TRM US TRSRY | | 49,207 | COST | 49,140 |
| FIDELTIY INTER MUNI INC | | 69,240 | COST | 68,766 |
| VANGUARD INFLATION PROTECTED | | 12,601 | COST | 12,393 |
| EATON VANCE FLOATING-RATE FUND | | 55,006 | COST | 55,066 |
| FIDELITY NEW MARKETS INCOME FUND | | 5,074 | COST | 5,013 |
| HUNTINGTON WORLD INCOME FUND III | | 21,000 | COST | 21,267 |
| PIMCO 0-5 YEAR HIGH YIELD | | 10,642 | COST | 10,636 |
| FRANKLIN TEMPLETON GLOBAL BOND | | 10,072 | COST | 10,126 |
| VANGUARD INFLATION PROTECTED | | 40,323 | COST | 39,554 |
| TOTAL | $ 53,252 | $ 1,171,835 | | $ 1,166,412 |

## Statement 8 - Form 990-PF, Part IX-A, Line 1 - Summary of Direct Charitable Activities

| Description |
|---|
| DURING 2011, THE ORGANIZATION BEGAN SUPPORTING FREE SPAYING AND NEUTERING OF CATS AND DOGS, THE PREVENTION OF CRUELTY TO ANIMALS, AND THE NEEDS OF THOSE INDIVIDUALS WHO ARE MENTALLY OR PHYSICALLY INCAPACITATED OR INCOMPETENT. |

## Form 990-PF, Part XV, Line 2b - Application Format and Required Contents

| Description |
|---|
| SEE ATTACHED. |

## Form 990-PF, Part XV, Line 2c - Submission Deadlines

| Description |
|---|
| SEE ATTACHED. |

## Form 990-PF, Part XV, Line 2d - Award Restrictions or Limitations

| Description |
|---|
| SEE ATTACHED. |

Form **990PF**

# Two Year Comparison Report

**2012 & 2013**

For calendar year 2013, or tax year beginning , ending

Name: THE PETERMAN FOUNDATION, INC.

Taxpayer Identification Number: 27-1332412

| Section | Line | # | 2012 Revenue and expenses per books | 2012 Net investment income | 2013 Revenue and expenses per books | 2013 Net investment income | Differences Revenue and expenses per books | Differences Net investment income |
|---|---|---|---|---|---|---|---|---|
| Revenue | 1. Contributions, gifts, grants, and similar amounts received | 1 | 349,018 | | 3,879,661 | | 3,530,643 | |
| Revenue | 2. Interest on savings and temporary cash investments | 2 | 14 | 14 | 480 | 480 | 466 | 466 |
| Revenue | 3. Dividends and interest from securities | 3 | 19,315 | 19,315 | 66,343 | 66,343 | 47,028 | 47,028 |
| Revenue | 4. Gross rents | 4 | | | | | | |
| Revenue | 5. Net gain or (loss) from sale of assets | 5 | 779 | | 18,435 | | 17,656 | |
| Revenue | 6. Capital gain net income | 6 | | | | | | |
| Revenue | 7. Gross profit or (loss) | 7 | | | | | | |
| Revenue | 8. Other income | 8 | | | | | | |
| Revenue | 9. **Total.** Add lines 1 through 8 | 9 | 369,126 | 19,329 | 3,964,919 | 66,823 | 3,595,793 | 47,494 |
| Expenses & Deductions | 10. Compensation of officers, directors, trustees, etc. | 10 | | | | | | |
| Expenses & Deductions | 11. Other employee salaries and wages | 11 | | | | | | |
| Expenses & Deductions | 12. Pension plans, employee benefits | 12 | | | | | | |
| Expenses & Deductions | 13. Professional fees | 13 | 8,006 | 4,014 | 4,862 | | -3,144 | -4,014 |
| Expenses & Deductions | 14. Interest | 14 | | | | | | |
| Expenses & Deductions | 15. Taxes | 15 | | | | | | |
| Expenses & Deductions | 16. Depreciation and depletion | 16 | | | | | | |
| Expenses & Deductions | 17. Occupancy | 17 | | | | | | |
| Expenses & Deductions | 18. Other expenses | 18 | 1,185 | | 28,447 | | 27,262 | |
| Expenses & Deductions | 19. Contributions, gifts, grants paid | 19 | 35,726 | | 31,000 | | -4,726 | |
| Expenses & Deductions | 20. **Total expenses and disbursements.** Add lines 10 through 19 | 20 | 44,917 | 4,014 | 64,309 | | 19,392 | -4,014 |
| Expenses & Deductions | 21. **Net income (if negative investment activity, enter -0-)** | 21 | 324,209 | 15,315 | 3,900,610 | 66,823 | 3,576,401 | 51,508 |
| Taxes | 22. Excise Tax | 22 | | 153 | | 1,336 | | 1,183 |
| Taxes | 23. Section 511 Tax | 23 | | | | | | |
| Taxes | 24. Subtitle A income tax | 24 | | | | | | |
| Taxes | 25. **Total Taxes** | 25 | | 153 | | 1,336 | | 1,183 |
| Due / Refund | 26. Estimates and overpayments credited | 26 | | 240 | | 1,587 | | 1,347 |
| Due / Refund | 27. Foreign tax withheld | 27 | | | | | | |
| Due / Refund | 28. Other Payments | 28 | | 1,500 | | 1,500 | | |
| Due / Refund | 29. **Total payments and credits** | 29 | | 1,740 | | 3,087 | | 1,347 |
| Due / Refund | 30. **Balance due / (Overpayment)** | 30 | | -1,587 | | -1,751 | | -164 |
| Due / Refund | 31. Overpayment credited to next year | 31 | | | | | | |
| Due / Refund | 32. Penalty | 32 | | | | | | |
| Due / Refund | 33. **Net due / (Refund)** | 33 | | -1,587 | | -1,751 | | -164 |
| Other | 34. Total assets | 34 | 965,162 | | 4,865,772 | | 0 | |
| Other | 35. Total liabilities | 35 | 0 | | 0 | | 0 | |
| Other | 36. **Net assets** | 36 | 965,162 | | 4,865,772 | | 0 | |

# Two Year Comparison Report

**2012 & 2013**

For calendar year 2013, or tax year beginning , ending

Name: THE PETERMAN FOUNDATION, INC.

Taxpayer Identification Number: 27-1332412

| Section | Line | | 2012 | 2013 | Differences |
|---|---|---|---|---|---|
| Revenue | 1. Gross profit/loss on business activities | 1. | | | |
| | 2. Capital gains/losses | 2. | | | |
| | 3. Income/loss from partnerships and S corporations | 3. | | | |
| | 4. Rental income (net of expense) | 4. | | | |
| | 5. Unrelated debt-financed income (net of expense) | 5. | | | |
| | 6. Interest, and other income from controlled organizations (net of expense) | 6. | | | |
| | 7. Investment income of specific organizations (net of expense) | 7. | | | |
| | 8. Exploited exempt activity income (net of expense) | 8. | | | |
| | 9. Advertising income (net of expense) | 9. | | | |
| | 10. Other income | 10. | | | |
| | **11. Total trade or business income.** Combine lines 1 through 10 | 11. | | | |
| Expenses | 12. Compensation of officers, directors, and trustees | 12. | | | |
| | 13. Other salaries and wages | 13. | | | |
| | 14. Repairs and maintenance | 14. | | | |
| | 15. Bad debts | 15. | | | |
| | 16. Interest | 16. | | | |
| | 17. Taxes and licenses | 17. | | | |
| | 18. Charitable contributions | 18. | | | |
| | 19. Depreciation and Depletion | 19. | | | |
| | 20. Contributions to deferred compensation plans | 20. | | | |
| | 21. Employee benefit programs | 21. | | | |
| | 22. Other deductions | 22. | | | |
| | **23. Total deductions.** Add lines 12 through 22 | 23. | | | |
| | **24. Taxable income before NOL.** Subtract line 23 from 11 | 24. | | | |
| | 25. Net operating loss deduction | 25. | | | |
| | 26. Specific deduction | 26. | 1,000 | 1,000 | |
| | **27. Unrelated business taxable income.** | 27. | -1,000 | -1,000 | |
| Tax & Credits | 28. Income tax (corporate or trust) | 28. | | | |
| | 29. Proxy tax | 29. | | | |
| | 30. Alternative minimum tax | 30. | | | |
| | **31. Total taxes** | 31. | | | |
| | 32. Other credits | 32. | | | |
| | 33. General business credit | 33. | | | |
| | 34. Credit for prior year minimum tax | 34. | | | |
| | **35. Total credits** | 35. | | | |
| | **36. Net tax after credits** | 36. | | | |
| | 37. Recapture taxes | 37. | | | |
| | **38. Total Taxes** | 38. | | | |
| Due/Refund | 39. Prior year overpayment and estimated tax payments | 39. | | | |
| | 40. Payment made with extension | 40. | | | |
| | 41. Backup withholding and foreign withholding | 41. | | | |
| | 42. Other payments | 42. | | | |
| | **43. Total payments** | 43. | | | |
| | **44. Balance due/(Overpayment)** | 44. | | | |
| | 45. Overpayment applied to next year | 45. | | | |
| | 46. Penalties | 46. | | | |
| | **47. Total due/(Refund)** | 47. | | | |

# Tax Return History

**2013**

Name: THE PETERMAN FOUNDATION, INC.

Employer Identification Number: 27-1332412

| | 2009 | 2010 | 2011 | 2012 | 2013 | 2014 |
|---|---|---|---|---|---|---|
| Business activity profit/loss | | | | | | |
| Capital gains/losses | | | | | | |
| Partner and S Corp gain/loss | | | | | | |
| Rental income* | | | | | | |
| Debt-financed income* | | | | | | |
| Controlled organizations income/interest* | | | | | | |
| Investment income, specific organizations* | | | | | | |
| Exploited exempt activity income* | | | | | | |
| Other income | | | | | | |
| **Total trade or business income.** | | | | | | |
| Compensation of officers, ect | | | | | | |
| Other salaries and wages | | | | | | |
| Repairs and maintenance | | | | | | |
| Bad debts | | | | | | |
| Interest | | | | | | |
| Taxes and licenses | | | | | | |
| Charitable contributions | | | | | | |
| Depreciation and Depletion | | | | | | |
| Deferred compensation plans | | | | | | |
| Employee benefit programs | | | | | | |

# Tax Return History

2013

Name: THE PETERMAN FOUNDATION, INC.

Employer Identification Number: 27-1332412

| | 2009 | 2010 | 2011 | 2012 | 2013 | 2014 |
|---|---|---|---|---|---|---|
| Other deductions | | | | | | |
| Net operating loss deduction | | | | | | |
| Specific deduction | | | | 1,000 | 1,000 | |
| **Income after expense and deductions** | | | | -1,000 | -1,000 | |
| Income tax (corporate or trust) | | | | | | |
| Other taxes | | | | | | |
| **Total taxes** | | | | | | |
| General business credit | | | | | | |
| Other credits | | | | | | |
| **Net tax after credits** | | | | | | |
| Estimated tax payments | | | | | | |
| Other payments | | | | | | |
| **Balance due/Overpayment** | | | | | | |

* Income shown net of expenses

# Federal Statements

## Direct Public Support

| Contributor | Cash Contribution | Noncash Contribution |
|---|---|---|
| MARGARET M. PETERMAN ESTATE | 2,000,000 | |
| MARGARET M. PETERMAN ESTATE | 47,291 | |
| MARGARET M. PETERMAN ESTATE | 933,243 | |
| MARGARET M. PETERMAN ESTATE | 777,155 | |
| MARGARET M. PETERMAN ESTATE | 121,972 | |
| TOTAL | 3,879,661 | 0 |

## Taxable Interest on Investments

| Description | Amount | Unrelated Business Code | Exclusion Code | Postal Code | US Obs ($ or %) |
|---|---|---|---|---|---|
| HUNTINGTON NATIONAL BANK | $ 480 | | 14 | | |
| TOTAL | $ 480 | | | | |

## Taxable Dividends from Securities

| Description | Amount | Unrelated Business Code | Exclusion Code | Postal Code | US Obs ($ or %) |
|---|---|---|---|---|---|
| 60-0041-01-6 | $ 12,488 | | 14 | | |
| 6091000094 | 22,757 | | 14 | | |
| 6091000469 | 31,098 | | 14 | | |
| TOTAL | $ 66,343 | | | | |

## Attachment to Form 990-PF

**The Peterman Foundation, Inc.** **EIN: 27-1332412**

## Part IV:
## Capital Gains and Losses for Tax on Investment Income

HUNTINGTON NATIONAL BANK
STATEMENT OF CAPITAL GAINS AND LOSSES
PETERMAN FND '12



RUN 02/06/2014
06 39:34 PM

TRUST YEAR ENDING 12/31/2013

TAX PREPARER: 6642
TRUST ADMINISTRATOR: 605
INVESTMENT OFFICER: 611

LEGEND: F - FEDERAL S - STATE I - INHERITED
E - EXEMPT FROM STATE U - ACQ COST UNKNOWN

| PROPERTY DESCRIPTION | SHARES | DATE | SALES PRICE | COST BASIS | GAIN/LOSS | TERM | NC | 8949 |
|---|---|---|---|---|---|---|---|---|
| 8741.1270 VANGUARD INTERM-TERM TAX-EX FD #42 - 922907209 - MINOR = 3501 | | | | | | | | |
| SOLD | | 02/04/2013 | 125872.22 | | | | | |
| ACQ | 913 5060 | 09/20/2011 | 13154.49 | 12661.19 | 493.30 | LT | Y | F |
| | 56.4680 | 10/01/2011 | 813.14 | 781.52 | 31.62 | LT | Y | F |
| | 3646.9730 | 10/28/2011 | 52516.41 | 50000 00 | 2516 41 | LT | Y | F |
| | 69.5210 | 11/01/2011 | 1001.10 | 955.91 | 45.19 | LT | Y | F |
| | 76.9530 | 12/01/2011 | 1108.12 | 1061.95 | 46.17 | LT | Y | F |
| | 77.6510 | 01/01/2012 | 1118.17 | 1089.45 | 28.72 | LT | | F |
| | 74.3870 | 02/01/2012 | 1071.17 | 1063.73 | 7.44 | LT | | F |
| | 60.3470 | 03/01/2012 | 869.00 | 860.55 | 8.45 | ST | | C |
| | 48.2830 | 04/01/2012 | 695.28 | 680.31 | 14.97 | ST | | C |
| | 34.6970 | 05/01/2012 | 499.64 | 493.04 | 6.60 | ST | | C |
| | 22.6590 | 06/01/2012 | 326.29 | 323.35 | 2.94 | ST | | C |
| | 21.8100 | 07/01/2012 | 314.06 | 309.92 | 4.14 | ST | | C |
| | 1400.5600 | 07/11/2012 | 20168.06 | 20000.00 | 168.06 | ST | | C |
| | 24.3550 | 08/01/2012 | 350.71 | 349.98 | 0.73 | ST | | C |
| | 25.4780 | 09/01/2012 | 366.88 | 365.87 | 1.01 | ST | | C |
| | 2090.5920 | 09/21/2012 | 30104.53 | 30000.00 | 104.53 | ST | | C |
| | 24.5800 | 10/01/2012 | 353.95 | 354.44 | -0 49 | ST | | C |
| | 21.8650 | 11/01/2012 | 314.86 | 315.08 | -0.22 | ST | | C |
| | 20.9540 | 12/01/2012 | 301.74 | 305.72 | -3.98 | ST | | C |
| | 7.8120 | 12/31/2012 | 112.49 | 112.34 | 0.15 | ST | | C |
| | 21.6760 | 02/01/2013 | 312.13 | 312.14 | -0.01 | ST | | C |
| **CHANGED** 02/04/14 DAP | | | | | | | | |
| 50000.0000 MARSHALL CNTY W VA BRD ED PUB SCH GENERAL OBLIGATION UNLTD 4.5% 05/01/2013 - 572274BE7 - MINOR = 40 | | | | | | | | |
| SOLD | | 05/01/2013 | 50000.00 | | | | | |
| ACQ | 50000.0000 | 06/15/2007 | 50000.00 | 50000.00 | 0.00 | LT | Y | F |
| 50000.0000 WEST VIRGINIA ST WTR DEV AUTH LNPROG IV-SER A 3 625% 11/01/2013 - 956695TW0 - MINOR = 40 | | | | | | | | |
| SOLD | | 11/01/2013 | 50000.00 | | | | | |
| ACQ | 50000.0000 | 04/27/2005 | 50000.00 | 50000.00 | 0.00 | LT | Y | F |
| 4209.6080 BAIRD INTERMEDIATE MUNICIPAL BOND FUND - - 057071607 - MINOR = 3501 | | | | | | | | |
| SOLD | | 11/06/2013 | 49084.03 | | | | | |
| ACQ | 4152.8240 | 05/03/2013 | 48421.93 | 50000.00 | -1578.07 | ST | | C |
| | 8.8170 | 05/29/2013 | 102.81 | 104.92 | -2.11 | ST | | C |
| | 9.7000 | 06/26/2013 | 113.10 | 111.26 | 1.84 | ST | | C |
| | 9.3790 | 07/26/2013 | 109.36 | 108.14 | 1.22 | ST | | C |
| | 9.5110 | 08/27/2013 | 110.90 | 108.81 | 2.09 | ST | | C |
| | 10.1100 | 09/26/2013 | 117.88 | 117.28 | 0.60 | ST | | C |
| | 9.2670 | 10/28/2013 | 108.05 | 107.87 | 0.18 | ST | | C |
| **CHANGED** 12/13/13 JTK | | | | | | | | |
| | | TOTALS | 274956.25 | 273054.77 | | | | |

($1,267.37)

S-T 102,592.22
L-T 296,654.82 288,715.72

SUMMARY OF CAPITAL GAINS/LOSSES

| FEDERAL | SHORT TERM | LONG TERM 28% | LONG TERM | ST WASH SALE | LT WASH SALE | 1250 GAIN |
|---|---|---|---|---|---|---|
| NONCOVERED FROM ABOVE | 0.00 | 0.00 | 3132.69 | 0.00 | 0.00 | 0.00* |
| COVERED FROM ABOVE | -1267.37 | 0.00 | 36.16 | 0.00 | 0.00 | |
| COMMON TRUST FUND | 0.00 | 0.00 | 0.00 | | | 0 00 |
| CAPITAL GAIN DIV/DIST | 674.33 | 89.69 | 4770.25 | | | 0.00 |
| | -593.04 | 89.69 | 7939.10 | 0.00 | 0.00 | 0.00 |

| STATE | SHORT TERM | LONG TERM 28% | LONG TERM | ST WASH SALE | LT WASH SALE | 1250 GAIN |
|---|---|---|---|---|---|---|
| NONCOVERED FROM ABOVE | 0.00 | 0.00 | 3132.69 | 0.00 | 0 00 | 0.00* |
| COVERED FROM ABOVE | -1267.37 | 0.00 | 36.16 | 0.00 | 0.00 | |
| COMMON TRUST FUND | 0.00 | 0.00 | 0.00 | | | 0.00 |
| CAPITAL GAIN DIV/DIST | 674.33 | 89.69 | 4770.25 | | | 0.00 |
| | -593.04 | 89.69 | 7939.10 | 0.00 | 0.00 | 0.00 |

* - 1250 GAIN DETAILED ON TRANS PAGES, NOT ABOVE

CAPITAL LOSS CARRYOVER

| | | |
|---|---|---|
| FEDERAL | 0.00 | 0.00 |
| WEST VIRGINIA | N/A | N/A |

TRUST YEAR ENDING 12/31/2013

TAX PREPARER: 488
TRUST ADMINISTRATOR: 605
INVESTMENT OFFICER: 611

LEGEND: F - FEDERAL S - STATE I - INHERITED
E - EXEMPT FROM STATE U - ACQ COST UNKNOWN

| PROPERTY DESCRIPTION | SHARES | DATE | SALES PRICE | COST BASIS | GAIN/LOSS | TERM | NC | 8949 |
|---|---|---|---|---|---|---|---|---|
| 3917.9260 VANGUARD MUNI BD FD - 922907209 - MINOR = 3501 | | | | | | | | |
| SOLD | | 04/15/2013 | 56457.28 | | | | | |
| ACQ | 3783.8440 | 10/28/2011 | 54525.19 | 51876.50 | 2648.69 | LT | Y | F |
| | 18.2660 | 04/01/2012 | 263.21 | 257.37 | 5.84 | LT | | F |
| | 9.9460 | 05/01/2012 | 143.32 | 141.33 | 1.99 | ST | | C |
| | 10.1190 | 06/01/2012 | 145.81 | 144.40 | 1.41 | ST | | C |
| | 9.7400 | 07/01/2012 | 140.35 | 138.41 | 1.94 | ST | | C |
| | 9.8410 | 08/01/2012 | 141.81 | 141.41 | 0.40 | ST | | C |
| | 9.7830 | 09/01/2012 | 140.97 | 140.49 | 0.48 | ST | | C |
| | 9.4150 | 10/01/2012 | 135.67 | 135.77 | -0.10 | ST | | C |
| | 9.7380 | 11/01/2012 | 140.32 | 140.33 | -0.01 | ST | | C |
| | 9.3320 | 12/01/2012 | 134.47 | 136.16 | -1.69 | ST | | C |
| | 9.7510 | 12/31/2012 | 140.51 | 140.22 | 0.29 | ST | | C |
| | 9.6700 | 02/01/2013 | 139.34 | 139.25 | 0.09 | ST | | C |
| | 8.7250 | 03/01/2013 | 125.73 | 125.81 | -0.08 | ST | | C |
| | 9.7560 | 04/01/2013 | 140.58 | 139.80 | 0.78 | ST | | C |
| **CHANGED** 02/04/14 DAP | | | | | | | | |
| 50000.0000 MARSHALL CNTY W VA BRD ED PUB SCH GENERAL OBLIGATION UNLTD 4.5% 05/01/2013 - 572274BE7 - MINOR = 40 | | | | | | | | |
| SOLD | | 05/01/2013 | 50000.00 | | | | | |
| ACQ | 50000.0000 | 06/15/2007 | 50000.00 | 50000.00 | 0.00 | LT | Y | F |
| | | TOTALS | 106457.28 | 103797.25 | | | | |

L-T 1,04,788.40 102,133.87 2654.53
S-T 1,668 1663.38 5.50

SUMMARY OF CAPITAL GAINS/LOSSES

| FEDERAL | SHORT TERM | LONG TERM 28% | LONG TERM | ST WASH SALE | LT WASH SALE | 1250 GAIN |
|---|---|---|---|---|---|---|
| NONCOVERED FROM ABOVE | 0.00 | 0.00 | 2648.69 | 0.00 | 0.00 | 0.00* |
| COVERED FROM ABOVE | 5.50 | 0.00 | 5.84 | 0.00 | 0.00 | |
| COMMON TRUST FUND | 0.00 | 0.00 | 0.00 | | | 0.00 |
| CAPITAL GAIN DIV/DIST | 0.00 | 0.00 | 0.00 | | | 0.00 |
| | 5.50 | 0.00 | 2654.53 | 0.00 | 0.00 | 0.00 |

| STATE | SHORT TERM | LONG TERM 28% | LONG TERM | ST WASH SALE | LT WASH SALE | 1250 GAIN |
|---|---|---|---|---|---|---|
| NONCOVERED FROM ABOVE | 0.00 | 0.00 | 2648.69 | 0.00 | 0.00 | 0.00* |
| COVERED FROM ABOVE | 5.50 | 0.00 | 5.84 | 0.00 | 0.00 | |
| COMMON TRUST FUND | 0.00 | 0.00 | 0.00 | | | 0.00 |
| CAPITAL GAIN DIV/DIST | 0.00 | 0.00 | 0.00 | | | 0.00 |
| | 5.50 | 0.00 | 2654.53 | 0.00 | 0.00 | 0.00 |

* - 1250 GAIN DETAILED ON TRANS PAGES, NOT ABOVE

CAPITAL LOSS CARRYOVER

| | | |
|---|---|---|
| FEDERAL | 0.00 | 0.00 |
| WEST VIRGINIA | N/A | N/A |

## Statement of Transactions

| Date | Description | Income Cash | Principal Cash | Total Cost | Realized Gain / Loss |
|---|---|---|---|---|---|
| | ***Total Purchases*** | ***-5,839.10*** | ***-392,736.81*** | ***398,575.91*** | |
| | ***Sale Activity*** | | | | |
| | **Cash and Equivalents** | | | | |
| | **Fed Prime Obligations Is #10** | | | | |
| 12/31/13 | Sales (3) 12/01/13 to 12/31/13 | 1,533.65 | 295,612.33 | -297,145.98 | |
| | **Total Cash and Equivalents** | **1,533.65** | **295,612.33** | **-297,145.98** | |
| | **Fixed Income** | | | | |
| | **Vanguard Inter Term Inv Grade Admiral #571** | | | | |
| 12/16/13 | Sold 6002.349 Shs 12/13/13 @ 9.82 | | 58,943.07 | -58,943.06 | 0.01 |
| | **Vanguard Adm Srt Trm US Trsry #532** | | | | |
| 12/16/13 | Sold 3231.507 Shs 12/13/13 @ 10.71 | | 34,609.44 | -34,544.81 | 64.63 |
| | **Vanguard Short Term Invest Grade Admiral #539** | | | | |
| 12/23/13 | Long Term Capital Gains Dist At $ 019 Per Share | | 348.63 | | 348.63 |
| | **Vanguard Inter Term Inv Grade Admiral #571** | | | | |
| 12/27/13 | Long Term Capital Gains Dist At $ .110 Per Share | | 1,767 04 | | 1,767.04 |

## Statement of Transactions

| Date | Description | Income Cash | Principal Cash | Total Cost | Realized Gain / Loss |
|---|---|---|---|---|---|
| **Vanguard Adm Srt Trm US Trsry #532** | | | | | |
| 12/30/13 | Long Term Capital Gains Dist At $ 009 Per Share | | 41 37 | | 41 37 |
| 12/30/13 | Short Term Capital Gains Dist At $ .002 Per Share | | 9 19 | | 9 19 |
| **Vanguard Intm Term Treas Adm #535** | | | | | |
| 12/30/13 | Long Term Capital Gains Dist At $ 046 Per Share | | 522 88 | | 522 88 |
| **Neuberger Berman Income Fds HI Incm Instl #1820** | | | | | |
| 12/30/13 | Long Term Capital Gains Dist At $ .150 Per Share | | 383 45 | | 383 45 |
| 12/30/13 | Short Term Capital Gains Dist At $ 087 Per Share | | 222.40 | | 222.40 |
| **Fidelity Inter Muni Inc #36** | | | | | |
| 12/30/13 | Long Term Capital Gains Dist At $ .019 Per Share | | 128.23 | | 128.23 |
| **Merger Fund - Inst** | | | | | |
| 12/31/13 | Short Term Capital Gains Dist At $ .079 Per Share | | 148.78 | | 148.78 |
| **Total Fixed Income** | | | **97,124.48** | **-93,487.87** | **3,636.61** |
| ***Total Sales*** | | ***1,533.65*** | ***392,736.81*** | ***-390,633.85*** | ***3,636.61*** |

***Earnings ' ~tivity***

# Attachment to Form 990-PF

**The Peterman Foundation, Inc.** **EIN: 27-1332412**

## Part II:
## Investments – Corporate Stock

## Statement of Assets

| Shares | Description | Market Price | Total Cost | Market Value | % Of Category | Estimated Income | Current Yield | Unrealized Gain / Loss |
|---|---|---|---|---|---|---|---|---|
| 18,381.292 | Vanguard Short Term Invest Grade Admiral #539 | 10 700 | 196,506.71 | 196,679.82 | 19 43 | 4,086 | 2.1 | 173.11 |
| 4,601.130 | Vanguard Adm Srt Trm US Trsry #532 | 10.680 | 49,206.58 | 49,140.07 | 4.85 | 255 | 0 5 | -66.51 |
| **Total Funds Taxable** | | | **947,875.27** | **943,591.71** | **93.21** | **32,416** | **3.4** | **-4,283.56** |
| **Funds Tax Exempt** | | | | | | | | |
| 6,761.668 | Fidelity Inter Muni Inc #36 | 10.170 | 69,240.38 | 68,766 16 | 6 79 | 2,076 | 3.0 | -474.22 |
| **Total Funds Tax Exempt** | | | **69,240.38** | **68,766.16** | **6.79** | **2,076** | **3.0** | **-474.22** |
| **Total Fixed Income Funds** | | | **1,017,115.65** | **1,012,357.87** | **100.00** | **34,492** | **3.4** | **-4,757.78** |
| ***Total Fixed Income*** | | | **1,017,115.65** | **1,012,357.87** | **100.00** | **34,492** | **3.4** | **-4,757.78** |

### *Equities*

**Common Stock**

**Consumer Discretionary**

| Shares | Description | Market Price | Total Cost | Market Value | % Of Category | Estimated Income | Current Yield | Unrealized Gain / Loss |
|---|---|---|---|---|---|---|---|---|
| 726 000 | Ford Mtr Co Del Com Par $0.01 | 15 430 | 12,246 93 | 11,202 18 | 1 18 | 290 | 2 6 | -1,044 75 |
| 169 000 | Genuine Parts Co Com | 83 190 | 13,553 69 | 14,059 11 | 1 48 | 363 | 2.6 | 505 42 |
| 128 000 | Home Depot Inc Com | 82 340 | 9,834 44 | 10,539 52 | 1 11 | 199 | 1.9 | 705 08 |
| 283 000 | Kohls Corp Com | 56 750 | 15,025.14 | 16,060 25 | 1 69 | 396 | 2 5 | 1,035 11 |
| 165 000 | McDonalds Corp Com | 97 030 | 15,870 33 | 16,009.95 | 1 69 | 534 | 3 3 | 139 62 |
| **Total Consumer Discretionary** | | | **66,530.53** | **67,871.01** | **7.15** | **1,782** | **2.6** | **1,340.48** |

## Statement of Assets

| Shares | Description | Market Price | Total Cost | Market Value | % Of Category | Estimated Income | Current Yield | Unrealized Gain / Loss |
|---|---|---|---|---|---|---|---|---|
| **Consumer Staples** | | | | | | | | |
| 664.000 | Altria Group Inc Com | 38.390 | 23,619.13 | 25,490.96 | 2.68 | 1,274 | 5.0 | 1,871.83 |
| 350.000 | Coca Cola Co Com | 41.310 | 13,688.39 | 14,458.50 | 1.52 | 392 | 2.7 | 770.11 |
| 406.000 | General Mls Inc Com | 49.910 | 20,291.88 | 20,263.46 | 2.13 | 617 | 3.0 | -28.42 |
| 169.000 | Pepsico Inc Com | 82.940 | 13,879.30 | 14,016.86 | 1.48 | 383 | 2.7 | 137.56 |
| 257.000 | Philip Morris Intl Inc Com | 87.130 | 22,384.38 | 22,392.41 | 2.36 | 966 | 4.3 | 8.03 |
| 245.000 | Procter & Gamble Co Com | 81.410 | 19,397.05 | 19,945.45 | 2.10 | 589 | 3.0 | 548.40 |
| 221.000 | Wal Mart Stores Inc Com | 78.690 | 16,779.92 | 17,390.49 | 1.83 | 415 | 2.4 | 610.57 |
| 286.000 | Walgreen Co Com | 57.440 | 15,170.92 | 16,427.84 | 1.73 | 360 | 2.2 | 1,256.92 |
| **Total Consumer Staples** | | | **145,210.97** | **150,385.97** | **15.83** | **4,996** | **3.3** | **5,175.00** |
| **Energy** | | | | | | | | |
| 182.000 | Chevron Corp New Com | 124.910 | 22,150.50 | 22,733.62 | 2.39 | 728 | 3.2 | 583.12 |
| 356.000 | Conocophillips Com | 70.650 | 24,201.69 | 25,151.40 | 2.65 | 982 | 3.9 | 949.71 |
| 211.000 | Exxon Mobil Corp Com | 101 200 | 19,106.29 | 21,353.20 | 2.25 | 531 | 2.5 | 2,246.91 |
| 388.000 | Royal Dutch Shell PLC Spon ADR B | 75.110 | 26,843.48 | 29,142.68 | 3.07 | 1,396 | 4.8 | 2,299.20 |
| 686.000 | Spectra Energy Corp Com | 35.620 | 23,762.81 | 24,435 32 | 2.57 | 919 | 3.8 | 672.51 |

## Statement of Assets

| Shares | Description | Market Price | Total Cost | Market Value | % Of Category | Estimated Income | Current Yield | Unrealized Gain / Loss |
|---|---|---|---|---|---|---|---|---|
| **Total Energy** | | | **116,064.77** | **122,816.22** | **12.93** | **4,556** | **3.7** | **6,751.45** |
| **Financials** | | | | | | | | |
| 279.000 | AFLAC Inc Com | 66.800 | 17,296 03 | 18,637 20 | 1 96 | 412 | 2 2 | 1,341 17 |
| 904 000 | Fifth Third Bancorp Com | 21 030 | 17,028.06 | 19,011.12 | 2 00 | 433 | 2 3 | 1,983 06 |
| 406 000 | JP Morgan Chase & Co Com | 58.480 | 21,759 90 | 23,742 88 | 2.50 | 617 | 2 6 | 1,982.98 |
| 211.000 | Travelers Companies Inc Com | 90 540 | 17,657 02 | 19,103 94 | 2 01 | 422 | 2 2 | 1,446.92 |
| 526.000 | Wells Fargo & Co New Com | 45.400 | 21,629.62 | 23,880.40 | 2.51 | 631 | 2.6 | 2,250.78 |
| **Total Financials** | | | **95,370.63** | **104,375.54** | **10.99** | **2,515** | **2.4** | **9,004.91** |
| **Health Care** | | | | | | | | |
| 402.000 | Abbvie Inc | 52.810 | 18,393.64 | 21,229.62 | 2.24 | 643 | 3.0 | 2,835 98 |
| 398 000 | Bristol Myers Squibb Co Com | 53 150 | 18,070 03 | 21,153 70 | 2 23 | 573 | 2.7 | 3,083 67 |
| 201 000 | Johnson & Johnson Com | 91.590 | 18,141.52 | 18,409 59 | 1.94 | 530 | 2 9 | 268 07 |
| 409.000 | Lilly Eli & Co Com | 51.000 | 20,945 90 | 20,859.00 | 2.20 | 801 | 3 8 | -86.90 |
| 436 000 | Merck & Co Inc Com | 50 050 | 20,836.20 | 21,821.80 | 2.30 | 767 | 3 5 | 985 60 |
| 635.000 | Pfizer Inc Com | 30.630 | 18,674.36 | 19,450 05 | 2.05 | 660 | 3.4 | 775 69 |
| **Total Health Care** | | | **115,061.65** | **122,923.76** | **12.94** | **3,974** | **3.2** | **7,862.11** |

**Indust**

## Statement of Assets

| Shares | Description | Market Price | Total Cost | Market Value | % Of Category | Estimated Income | Current Yield | Unrealized Gain / Loss |
|---|---|---|---|---|---|---|---|---|
| 247.000 | Emerson Elec Co Com | 70.180 | 15,398.43 | 17,334.46 | 1.83 | 424 | 2.5 | 1,936.03 |
| 214.000 | General Dynamics Corp Com | 95.550 | 18,405.57 | 20,447.70 | 2.15 | 479 | 2.3 | 2,042.13 |
| 724.000 | General Electric Co Com | 28.030 | 17,782.42 | 20,293.72 | 2.14 | 637 | 3.1 | 2,511.30 |
| 170.000 | Honeywell Intl Inc Com | 91.370 | 14,180.65 | 15,532.90 | 1.64 | 306 | 2.0 | 1,352.25 |
| 116.000 | 3M Co Com | 140.250 | 13,755.85 | 16,269.00 | 1.71 | 396 | 2.4 | 2,513.15 |
| 163.000 | United Parcel Service Inc Cl B | 105.080 | 14,640.58 | 17,128.04 | 1.80 | 404 | 2.4 | 2,487.46 |
| 135.000 | United Technologies Corp Com | 113.800 | 14,182.58 | 15,363.00 | 1.62 | 318 | 2.1 | 1,180.42 |
| **Total Industrials** | | | **108,346.08** | **122,368.82** | **12.88** | **2,964** | **2.4** | **14,022.74** |
| **Information Technology** | | | | | | | | |
| 380.000 | Analog Devices Inc Com | 50.930 | 18,155.64 | 19,353.40 | 2.04 | 516 | 2.7 | 1,197.76 |
| 1,040.000 | Applied Matls Inc Com | 17.680 | 17,179.91 | 18,387.20 | 1.94 | 416 | 2.3 | 1,207.29 |
| 213.000 | Automatic Data Processing Com | 80.799 | 15,477.98 | 17,210.19 | 1.81 | 408 | 2.4 | 1,732.21 |
| 892.000 | Cisco Sys Inc Com | 22.430 | 19,770.35 | 20,007.56 | 2.11 | 606 | 3.0 | 237.21 |
| 897.000 | Intel Corp Com | 25.955 | 20,843.23 | 23,281.64 | 2.45 | 807 | 3.5 | 2,438.41 |
| 467.000 | Microsoft Corp Com | 37.410 | 15,233.40 | 17,470.47 | 1.84 | 523 | 3.0 | 2,237.07 |
| **Total Information Technology** | | | **106,660.51** | **115,710.46** | **12.18** | **3,276** | **2.8** | **9,049.95** |

## Statement of Assets

| Shares | Description | Market Price | Total Cost | Market Value | % Of Category | Estimated Income | Current Yield | Unrealized Gain / Loss |
|---|---|---|---|---|---|---|---|---|
| **Materials** | | | | | | | | |
| 313 000 | Du Pont E I De Nemours & Co Com | 64.970 | 18.218.42 | 20.335 61 | 2.14 | 563 | 2 8 | 2.117.19 |
| 547 000 | Freeport-McMoran Copper & Gold | 37.740 | 17.018.70 | 20.643 78 | 2.17 | 683 | 3.3 | 3.625 08 |
| **Total Materials** | | | **35,237.12** | **40,979.39** | **4.31** | **1,246** | **3.0** | **5,742.27** |
| **Telecommunications** | | | | | | | | |
| 405 000 | AT&T Inc Com | 35.160 | 14.007 20 | 14.239 80 | 1 50 | 745 | 5 2 | 232 60 |
| 285.000 | Verizon Communications Com | 49.140 | 13.910 54 | 14.004 90 | 1 47 | 604 | 4 3 | 94 36 |
| 366 000 | Vodafone Group PLC New Spons ADR New | 39.310 | 12.430 01 | 14.387 46 | 1 51 | 581 | 4 0 | 1.957.45 |
| **Total Telecommunications** | | | **40,347.75** | **42,632.16** | **4.49** | **1,930** | **4.5** | **2,284.41** |
| **Utilities** | | | | | | | | |
| 339 000 | American Elec Pwr Inc Com | 46 740 | 15.288 06 | 15.844 86 | 1 67 | 678 | 4 3 | 556 80 |
| 216 000 | Dominion Res Inc VA New Com | 64 690 | 13.091 77 | 13.973 04 | 1 47 | 486 | 3 5 | 881 27 |
| 255 000 | Duke Energy Corp New Com New | 69 010 | 17.536 02 | 17.597.55 | 1 85 | 795 | 4 5 | 61 53 |
| 144 000 | Nextera Energy Inc Com | 85 620 | 11.931 34 | 12.329 28 | 1 30 | 380 | 3 1 | 397 94 |
| **Total Utilities** | | | **57,847.19** | **59,744.73** | **6.29** | **2,339** | **3.9** | **1,897.54** |
| **Total Common Stock** | | | **886,677.20** | **949,808.06** | **100.00** | **29,578** | **3.1** | **63,130.86** |

DECEMBER 01, 2013 TO DECEMBER 31, 2013

ACCOUNT NAME: PETERMAN FOUND
ACCOUNT NUMBER: 6091000094

## PORTFOLIO DETAIL

| QUANTITY | DESCRIPTION | MARKET VALUE | YIELD TO MKT | COST BASIS |
|---|---|---|---|---|
| **CASH AND EQUIVALENTS** | | | | |
| 30,440.320 | 608993853<br>HUNTINGTON CONSERVATIVE DEPOSIT ACCOUNT | 30,440.32 | 0.05 | 30,440.32 |
| **TOTAL** | **CASH AND EQUIVALENTS** | 30,440 32 | 0.05 | 30,440.32 |
| **MUTUAL FUNDS-EQUITIES**<br>MISCELLANEOUS | | | | |
| 1,134.234 | 00080Y694<br>ASTON ANCHOR CAPITAL ENHANCED EQUITY FUND - CLASS I | 10,582.40 | 2.19 | 10,557 98 |
| 161.313 | 025083791<br>AMERICAN CENTURY HERITAGE FUND - INVESTORS CLASS | 4,110.26 | 0.51 | 4,506 98 |
| 411 369 | 04314H881<br>ARTISAN INTERNATIONAL VALUE FUND - INVESTOR CLASS | 15,126.04 | 2.51 | 15,014.57 |
| 200.417 | 29875E100<br>AMERICAN EUROPACIFIC GROWTH FUND - CLASS F2 | 9,816.42 | 1.17 | 9,613 79 |
| 625.531 | 316071604<br>FIDELITY ADVISOR NEW INSIGHTS FUND - CLASS I | 16,739.21 | 0.08 | 17,514 72 |
| 188.118 | 316345305<br>FIDELITY LOW PRICED STOCK FUND | 9,304.32 | 0.78 | 9,169.99 |
| 129.758 | 32008F200<br>FIRST EAGLE OVERSEAS FUND - CLASS I | 3,049.31 | 1.32 | 3,000 00 |
| 69.420 | 367829884<br>GATEWAY FUND - CLASS Y | 2,012.49 | 1.55 | 2,000.00 |
| 100.000 | 446698201<br>HUNTINGTON ECOLOGICAL STRATEGY ETF | 3,436.00 | 0.20 | 3,434.99 |
| 350.000 | 464285105<br>ISHARES GOLD TRUST | 4,088.00 | 0 00 | 4,267.38 |
| 300.000 | 464287309<br>ISHARES S&P 500 GROWTH ETF | 29,625.00 | 1.45 | 28,889 55 |
| 50.000 | 464287507<br>ISHARES CORE S&P MID-CAP ETF | 6,690.50 | 1.29 | 6,491.50 |
| 50.000 | 464287804<br>ISHARES CORE S&P SMALL-CAP ETF | 5,456.50 | 1.00 | 5,228.50 |
| 250.000 | 464287861<br>ISHARES EUROPE ETF | 11,862.50 | 2.33 | 11,247.25 |
| 734.644 | 552983694<br>MFS VALUE FUND - CLASS I | 24,507.72 | 1.67 | 23,613.03 |

DECEMBER 01, 2013 TO DECEMBER 31, 2013

ACCOUNT NAME: PETERMAN FOUND
ACCOUNT NUMBER: 6091000094

## PORTFOLIO DETAIL ( CONTINUED )

| QUANTITY | DESCRIPTION | MARKET VALUE | YIELD TO MKT | COST BASIS |
|---|---|---|---|---|
| MISCELLANEOUS | | | | |
| 747.944 | 56064B852 MAINSTAY MARKETFIELD FUND | 13,851.92 | 0.01 | 13,500.59 |
| 75.000 | 57060U605 MARKET VECTORS AGRIBUSINESS | 4,086.75 | 1.71 | 3,992.25 |
| 597.674 | 589509108 MERGER FUND | 9,568.76 | 1.94 | 9,727 82 |
| 252.999 | 683974505 OPPENHEIMER DEVELOPING MARKETS FUND - CLASS Y | 9,502.64 | 0.43 | 9,247 06 |
| 167 030 | 722005626 PIMCO ALL ASSET FUND - INSTITUTIONAL | 2,017.72 | 4.90 | 2,048.70 |
| 537.634 | 722005667 PIMCO COMMODITY REAL RETURN STRATEGY FUND - INSTITUTIONAL CLASS | 2,951.61 | 1.51 | 3,000 00 |
| 275.000 | 78464A763 SPDR S&P DIVIDEND FUND | 19,970 50 | 2.26 | 19,886.13 |
| 563.199 | 880210208 FRANKLIN TEMPLETON INSTITUTIONAL EMERGING MARKETS FUND | 4,116.98 | 1.76 | 5,168.89 |
| 50.000 | 922042742 VANGUARD TOTAL WORLD STOCK INDEX FUND | 2,970.00 | 2.06 | 2,865.50 |
| 59.900 | 922908702 VANGUARD SMALL-CAP INDEX FUND - INVESTOR SHARES | 3,156.13 | 1.17 | 3,036 18 |
| TOTAL | MISCELLANEOUS | 228,599.68 | 1.41 | 227,023.35 |
| **TOTAL** | **MUTUAL FUNDS-EQUITIES** | 228,599 68 | 1.41 | 227,023.35 |
| **MUTUAL FUNDS-FIXED TAXABLE** | | | | |
| 954 785 | 922031869 VANGUARD INFLATION PROTECTED SECURITIES FUND - INVESTOR SHARES | 12,393 11 | 1.66 | 12,601.33 |
| **TOTAL** | **MUTUAL FUNDS-FIXED TAXABLE** | 12,393 11 | 1 66 | 12,601.33 |
| X **FIXED INCOME NON-TAXABLE** | | | | |
| 50,000.000 | 084239FQ0 BERKELEY CNTY WV BRD ED REF-PUBLIC SCH UT GO 3% 05/01/2015 | 51,643 00 | 2.90 | 51,661.69 |
| 50,000.000 | 473664DG2 JEFFERSON CNTY WV BRD ED PUB SCH MBIA INSURED 4.1% 05/01/2019-2014 | 51,130.00 | 4.01 | 50,000.00 |

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DECEMBER 01, 2013 TO DECEMBER 31, 2013

ACCOUNT NAME: PETERMAN FND '12
ACCOUNT NUMBER: 6091000469

## PORTFOLIO DETAIL

| QUANTITY | DESCRIPTION | MARKET VALUE | YIELD TO MKT | COST BASIS |
|---|---|---|---|---|
| **CASH AND EQUIVALENTS** | | | | |
| 12,789.480 | 608993200<br>HUNTINGTON MONEY MARKET FUND II | 12,789.48 | 0.01 | 12,789.48 |
| 45,841.870 | 608993853<br>HUNTINGTON CONSERVATIVE DEPOSIT ACCOUNT | 45,841.87 | 0.05 | 45,841.87 |
| **TOTAL** | **CASH AND EQUIVALENTS** | 58,631.35 | 0 04 | 58,631 35 |
| **EQUITIES**<br>FINANCIALS | | | | |
| 125.000 | 025816109<br>AMERICAN EXPRESS | 11,341.25 | 1 01 | 10,431.24 |
| 175.000 | 580645109<br>MCGRAW-HILL FINANCIAL, INC W/1 RT/SH | 13,685.00 | 1 43 | 12,898.50 |
| 275.000 | 59156R108<br>METLIFE INC | 14,828.00 | 2.04 | 14,538.30 |
| 175.000 | 857477103<br>STATE STREET CORP | 12,843.25 | 1.42 | 12,496.48 |
| 275 000 | 902973304<br>U S BANCORP | 11,110.00 | 2.28 | 10,824.48 |
| 200.000 | 949746101<br>WELLS FARGO & CO | 9,080.00 | 2.64 | 8,867.98 |
| TOTAL | FINANCIALS | 72,887 50 | 1 77 | 70,056 98 |
| TELECOMMUNICATIONS | | | | |
| 100.000 | 05577E101<br>BT GROUP PLC SPON ADR | 6,313.00 | 2.40 | 6,148 99 |
| 150.000 | 92857W209<br>VODAFONE GROUP PLC | 5,896.50 | 4.04 | 5,569 50 |
| TOTAL | TELECOMMUNICATIONS | 12,209.50 | 3.19 | 11,718 49 |
| HEALTHCARE | | | | |
| 150 000 | 071813109<br>BAXTER INTERNATIONAL INC W/1 RT/SH | 10,432.50 | 2.82 | 10,292 99 |
| 100 000 | 14149Y108<br>CARDINAL HEALTH INC | 6,681.00 | 1.81 | 6,549 00 |
| 150.000 | 30219G108<br>EXPRESS SCRIPTS HOLDING CO | 10,536.00 | 0.00 | 9,871.13 |
| 150.000 | 375558103<br>GILEAD SCIENCES INC | 11,265.00 | 0 00 | 10,735.49 |
| 200.000 | 717081103<br>PFIZER INC | 6,126 00 | 3.40 | 6,059 98 |

DECEMBER 01, 2013 TO DECEMBER 31, 2013

ACCOUNT NAME: PETERMAN FND '12
ACCOUNT NUMBER: 6091000469

## PORTFOLIO DETAIL ( CONTINUED )

| QUANTITY | DESCRIPTION | MARKET VALUE | YIELD TO MKT | COST BASIS |
|---|---|---|---|---|
| HEALTHCARE | | | | |
| 100.000 | 883556102 THERMO FISHER SCIENTIFIC INC 1 RT PER SHARE EXP 9-25-15 | 11,135.00 | 0.54 | 10,165.99 |
| TOTAL | HEALTHCARE | 56,175 50 | 1 22 | 53,674 58 |
| CONSUMER STAPLES | | | | |
| 250.000 | 039483102 ARCHER-DANIELS-MIDLAND CO | 10,850 00 | 2.21 | 10,349.98 |
| 150.000 | 126650100 CVS CAREMARK CORP | 10,735.50 | 1 54 | 9,901.49 |
| 175.000 | 171340102 CHURCH & DWIGHT CO INC W/1 RT/SH | 11,599.00 | 1 69 | 11,457 23 |
| 200.000 | 966837106 WHOLE FOODS MARKET INC | 11,566.00 | 0 83 | 11,271.58 |
| TOTAL | CONSUMER STAPLES | 44,750 50 | 1 56 | 42,980 28 |
| CONSUMER DISCRETIONARY | | | | |
| 200.000 | 099724106 BORG-WARNER INC | 11,182.00 | 0 89 | 10,614 70 |
| 200.000 | 20030N101 COMCAST CORP CL A | 10,393.00 | 1.50 | 9,505 98 |
| 400.000 | 345370860 FORD MOTOR CO | 6,172.00 | 2.59 | 6,879.96 |
| 150.000 | 87612E106 TARGET CORP | 9,490 50 | 2.72 | 9,628 49 |
| TOTAL | CONSUMER DISCRETIONARY | 37,237.50 | 1 81 | 36,629 13 |
| TECHNOLOGY | | | | |
| 50.000 | 037833100 APPLE INC | 28,051.00 | 2.17 | 25,819.50 |
| 350.000 | 111320107 BROADCOM CORP CL A | 10,375 75 | 1.48 | 9,239.65 |
| 400.000 | 268648102 EMC CORP/MASS | 10,060.00 | 1.59 | 9,635.60 |
| 300.000 | 278642103 EBAY INC | 16,459.50 | 0 00 | 14,914.00 |
| 700.000 | 466313103 JABIL CIRCUIT INC | 12,208 00 | 1 83 | 13,702 60 |
| 150.000 | 747525103 QUALCOMM INC W 1 RT P/S EXP 9/25/2015 | 11,137 50 | 1.89 | 10,658.84 |
| TOTAL | TECHNOLOGY | 88,291.75 | 1 54 | 83,970 19 |

## PORTFOLIO DETAIL ( CONTINUED )

| QUANTITY | DESCRIPTION | MARKET VALUE | YIELD TO MKT | COST BASIS |
|---|---|---|---|---|
| INDUSTRIALS | | | | |
| 75.000 | 097023105<br>BOEING CO | 10,236.75 | 2.14 | 9,975.00 |
| 125.000 | 244199105<br>DEERE & CO W/1 RT/SH | 11,416.25 | 2.23 | 10,430.00 |
| 375.000 | 369604103<br>GENERAL ELECTRIC CO | 10,511.25 | 3.14 | 10,110.00 |
| 75.000 | 907818108<br>UNION PACIFIC CORP | 12,600.00 | 1.88 | 12,110.25 |
| TOTAL | INDUSTRIALS | 44,764 25 | 2.33 | 42,625.25 |
| ENERGY | | | | |
| 100.000 | 032511107<br>ANADARKO PETROLEUM CORP W/1 RT/SH | 7,932.00 | 0 91 | 9,192 99 |
| 250.000 | 406216101<br>HALLIBURTON CO | 12,687.50 | 1.18 | 13,216.48 |
| 100.000 | 806857108<br>SCHLUMBERGER LTD | 9,011.00 | 1.39 | 9,069.90 |
| 250.000 | 867224107<br>SUNCOR ENERGY INC | 8,762.50 | 2.15 | 9,079 98 |
| 225 000 | 91913Y100<br>VALERO ENERGY CORP | 11,340.00 | 1.79 | 9,557.78 |
| TOTAL | ENERGY | 49,733.00 | 1.48 | 50,117.13 |
| MATERIALS | | | | |
| 100.000 | 277432100<br>EASTMAN CHEMICAL CO | 8,070 00 | 1.73 | 7,667.99 |
| 300.000 | 35671D857<br>FREEPORT-MCMORAN C & G W/1 RT/SH | 11,322.00 | 3.31 | 10,850.97 |
| TOTAL | MATERIALS | 19,392.00 | 2.66 | 18,518.96 |
| UTILITIES | | | | |
| 100.000 | 25746U109<br>DOMINION RESOURCES INC /VA | 6,469.00 | 3.48 | 6,701.99 |
| 75.000 | 65339F101<br>NEXTERA ENERGY INC | 6,421.50 | 3 08 | 6,532.50 |
| TOTAL | UTILITIES | 12,890.50 | 3 28 | 13,234.49 |
| **TOTAL** | **EQUITIES** | 438,332.00 | 1.78 | 423,525.48 |
| **MUTUAL FUNDS-EQUITIES** | | | | |
| MISCELLANEOUS | | | | |
| 4,313.850 | 00080Y694<br>ASTON ANCHOR CAPITAL ENHANCED EQUITY FUND - CLASS I | 40,248 22 | 2.19 | 40,220 52 |

## PORTFOLIO DETAIL ( CONTINUED )

| QUANTITY | DESCRIPTION | MARKET VALUE | YIELD TO MKT | COST BASIS |
|---|---|---|---|---|
| MISCELLANEOUS | | | | |
| 575.000 | 00162Q866<br>JEFFERIES TR/J ALERIAN MLP ETF | 10,229.25 | 6.00 | 10,142.94 |
| 1,906.153 | 04314H881<br>ARTISAN INTERNATIONAL VALUE FUND - INVESTOR CLASS | 70,089.25 | 2.51 | 68,000 00 |
| 778.669 | 29875E100<br>AMERICAN EUROPACIFIC GROWTH FUND - CLASS F2 | 38,139.21 | 1.17 | 37,442.09 |
| 860.236 | 32008F200<br>FIRST EAGLE OVERSEAS FUND - CLASS I | 20,215.55 | 1.31 | 21,194 35 |
| 1,600 000 | 464285105<br>ISHARES GOLD TRUST | 18,688.00 | 0.00 | 19,328 12 |
| 150.000 | 464287168<br>ISHARES SELECT DIVIDEND ETF | 10,702.50 | 3.06 | 10,618.49 |
| 225.000 | 464287804<br>ISHARES CORE S&P SMALL-CAP ETF | 24,554.25 | 1 00 | 24,012 20 |
| 425.000 | 464287861<br>ISHARES EUROPE ETF | 20,166.25 | 2 33 | 19,525.23 |
| 150.000 | 464287887<br>ISHARES S&P SMALL-CAP 600 GROWTH ETF | 17,791.50 | 0.70 | 17,451.00 |
| 2,214 530 | 56064B852<br>MAINSTAY MARKETFIELD FUND | 41,013.10 | 0.01 | 40,002 34 |
| 150.000 | 57060U605<br>MARKET VECTORS AGRIBUSINESS | 8,173 50 | 1.71 | 8,053 95 |
| 2,512.186 | 589509108<br>MERGER FUND | 40,220.10 | 1 94 | 40,957 58 |
| 813 021 | 683974505<br>OPPENHEIMER DEVELOPING MARKETS FUND - CLASS Y | 30,537.07 | 0 43 | 30,184.48 |
| 831.765 | 722005626<br>PIMCO ALL ASSET FUND - INSTITUTIONAL | 10,047.72 | 4.90 | 10,242.53 |
| 1,821.386 | 722005667<br>PIMCO COMMODITY REAL RETURN STRATEGY FUND - INSTITUTIONAL CLASS | 9,999.41 | 1 51 | 10,163.33 |
| 1,150 000 | 78464A359<br>SPDR BARCLAYS CONVERTIBLE SECURITIES ETF | 53,739.50 | 3 66 | 53,422 89 |
| 2,089 684 | 880210208<br>FRANKLIN TEMPLETON INSTITUTIONAL EMERGING MARKETS FUND | 15,275.59 | 1.76 | 19,337 03 |

DECEMBER 01, 2013 TO DECEMBER 31, 2013

ACCOUNT NAME: PETERMAN FND '12
ACCOUNT NUMBER: 6091000469

## PORTFOLIO DETAIL ( CONTINUED )

| QUANTITY | DESCRIPTION | MARKET VALUE | YIELD TO MKT | COST BASIS |
|---|---|---|---|---|
| MISCELLANEOUS | | | | |
| 175.668 | 884116401<br>THIRD AVENUE REAL ESTATE VALUE FUND | 5,062.75 | 1.05 | 5,121.03 |
| TOTAL | MISCELLANEOUS | 484,892.72 | 1 88 | 485,420.10 |
| **TOTAL** | **MUTUAL FUNDS-EQUITIES** | 484,892.72 | 1 88 | 485,420.10 |
| **MUTUAL FUNDS-FIXED TAXABLE** | | | | |
| 5,991.946 | 277911491<br>EATON VANCE FLOATING-RATE FUND CLASS I | 55,065.98 | 3 91 | 55,006 07 |
| 321.563 | 315910836<br>FIDELITY NEW MARKETS INCOME FUND | 5,013.17 | 4.84 | 5,073.51 |
| 2,519 731 | 446990863<br>HUNTINGTON WORLD INCOME FUND III | 21,266.53 | 6.68 | 21,000.00 |
| 100.000 | 72201R783<br>PIMCO 0-5 YEAR HIGH YIELD CORPORATE BOND INDEX EXCHANGE-TRADED FUND | 10,636.00 | 4.35 | 10,642.00 |
| 773 567 | 880208400<br>FRANKLIN TEMPLETON GLOBAL BOND FUND - ADVISOR CLASS | 10,125.99 | 3.92 | 10,071.73 |
| 3,047.301 | 922031869<br>VANGUARD INFLATION PROTECTED SECURITIES FUND - INVESTOR SHARES | 39,553.97 | 1.66 | 40,323.40 |
| **TOTAL** | **MUTUAL FUNDS-FIXED TAXABLE** | 141,661.64 | 3.76 | 142,116.71 |
| **FIXED INCOME NON-TAXABLE** | | | | |
| 50,000 000 | 084239FR8<br>BERKELEY CNTY WV BRD ED REF-PUBLIC SCH UT GO 2% 05/01/2016 | 51,463.50 | 1.94 | 51,323.72 |
| 50,000.000 | 305459FC8<br>FAIRMONT WV WTRWKS REV REF-SER D EHN: AGM 2.5% 07/01/2021-2019 | 47,478.50 | 2.63 | 49,820.23 |
| 50,000.000 | 473664DG2<br>JEFFERSON CNTY WV BRD ED PUB SCH MBIA INSURED 4.1% 05/01/2019-2014 | 51,130.00 | 4.01 | 50,000.00 |
| 50,000.000 | 701352BQ8<br>PARKERSBURG WV WTRWKS & SEW SYS REV COMB SER-A 4% 08/01/2017-2015 | 51,162.00 | 3 91 | 50,271.67 |
| 50,000.000 | 746690CM6<br>PUTNAM CNTY WVA BRD ED PUB SCH 4% 05/01/2020 | 54,180.00 | 3.69 | 57,511 90 |

## Attachment to Form 990-PF

**The Peterman Foundation, Inc.** **EIN: 27-1332412**

## Part XV
## Supplementary Information

**The Peterman Foundation, Inc.**

SAMPLE

August 7, 2014

RE: *Donation & Grant Application/Proposal*

Dear Sir or Madam:

The Peterman Foundation, Inc. ("Foundation") was established to provide financial assistance to organizations in Monongalia and Marion Counties that provide free spaying and neutering services of cats and dogs to individuals who cannot otherwise afford the rates charged by veterinarians. The Foundation's goal is to reduce the number of animals which die of starvation, disease or injury as a result of over-breeding. To the extent that funding is available, it will also be provided to appropriate organizations in other West Virginia counties that adjoin Monongalia.

If your organization is interested in applying for funds for 2014 and complies with the goals outlined above, please complete the enclosed Donation & Grant Application/Proposal to provide an overview of your project and funding request. Please forward the application to my attention at the below-referenced address no later than February 1, 2014. Should you have any questions or concerns regarding this application, please do no hesitate to contact me at 336.283.9712.

Very truly yours,

Sheri O. Smith

Sheri O. Smith
Secretary/Treasurer

Enclosure

698480 00001

364 Patteson Drive #265, Morgantown, West Virginia 26505

**THE PETERMAN FOUNDATION, INC.**

**DONATION & GRANT APPLICATION/PROPOSAL**

1. **ORGANIZATION:**

Organization Name: ______________________________

Address: ______________________________

City: ____________, State: ____________ Zip Code: ____________

Telephone No.: ______________ Fax No.: ______________

E-mail Address: ______________ Web Site Address: ______________

Name & Title of Contact Person: ______________________________

2. **TAX STATUS**

Is the organization an IRC 501(c)(3) organization (Yes/No) _____ (Attach copy of IRS Determination Letter)

Is it a public charity? (Yes/No) _____

Please provide a copy of the most recently filed Form 990/990EZ.

Please provide a copy of the most recent audited financial statements. If not available, please explain why: ______________________________

3. **MISSION OF THE ORGANIZATION:** ______________________________

______________________________

______________________________

(Attach separate sheet if necessary)

4. **THE PROCEEDS OF THIS GRANT WILL HELP TO SUPPORT:**

______________________________

______________________________

______________________________

5. **AMOUNT OF FUNDS REQUESTED: $**____________________

6. **PURPOSE OF REQUEST:** ____________________________________

________________________________________________

________________________________________________

(Attach separate sheet if necessary)

7. **PLEASE PROVIDE A BRIEF SUMMARY THE COSTS ASSOCIATED WITH SPAYING AND NEUTERING DOGS AND CATS:**

________________________________________________

(Attach separate sheet if necessary)

8. **APPROXIMATE GEOGRAPHIC AREA, SIZE AND DESCRIPTION OF POPULATION SERVED:**

________________________________________________

________________________________________________

________________________________________________

9. **TOTAL BUDGET OF THE ORGANIZATION: $**________________________

Sources of operating funds (% of total operating income)

| | | | |
|---|---|---|---|
| Federal | _____% | Corporate Gifts | _____% |
| State | _____% | Individuals | _____% |
| City | _____% | Endowment Income | _____% |
| Fees | _____% | United Way | _____% |
| Foundations | _____% | Events | _____% |

Other _____% (explain) ______________________________

10. **HOW WILL THE FOUNDATION BE RECOGNIZED FOR THE REQUESTED FUNDING:** (Press Release, etc.) ______________________________

If granted an award, grantee agrees to submit status reporting as required by The Peterman Foundation, Inc. and acknowledges that The Peterman Foundation, Inc. may withhold or recover any funds that are misused

______________________________ ______________________
Signature of Individual Submitting Application Date

For Foundation Use Only

______________________________ ______________________
Approved by Date

Form **8868**
(Rev. January 2014)
Department of the Treasury
Internal Revenue Service

# Application for Extension of Time To File an Exempt Organization Return

▶ File a separate application for each return.
▶ Information about Form 8868 and its instructions is at *www.irs.gov/form8868*.

OMB No 1545-1709

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

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

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

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

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

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

**Enter filer's identifying number, see instructions**

| **Type or print** File by the due date for filing your return. See instructions | Name of exempt organization or other filer, see instructions. THE PETERMAN FOUNDATION, INC. | Employer identification number (EIN) or 27-1332412 |
|---|---|---|
| | Number, street, and room or suite no. If a P O. box, see instructions. 364 PATTESON DRIVE #265 | Social security number (SSN) |
| | City, town or post office, state, and ZIP code For a foreign address, see instructions. MORGANTOWN, WV 26505 | |

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

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

- The books are in the care of ▶ Thomas A. Vorbach, Esq.

Telephone No. ▶ 304-598-8112 FAX No. ▶

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

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

▶ [X] calendar year 20 13 or

▶ [ ] tax year beginning ____________, 20 ___, and ending ____________, 20 ___.

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

| | | | |
|---|---|---|---|
| **3a** If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions. | 3a | $ | 1,500.00 |
| **b** If this application is for Form 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit. | 3b | $ | 1,500.00 |
| **c Balance due.** Subtract line 3b from line 3a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions. | 3c | $ | 0.00 |

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

- If you are filing for an **Additional (Not Automatic) 3-Month Extension, complete only Part II** and check this box . . . . . . . . ▶ ☐

**Note.** Only complete Part II if you have already been granted an automatic 3-month extension on a previously filed Form 8868.

- If you are filing for an **Automatic 3-Month Extension, complete only Part I** (on page 1)

**Part II** **Additional (Not Automatic) 3-Month Extension of Time.** Only file the original (no copies needed).

**Enter filer's identifying number, see instructions**

| | | |
|---|---|---|
| **Type or print** | Name of exempt organization or other filer, see instructions.<br>THE PETERMAN FOUNDATION, INC. | Employer identification number (EIN) or<br>27-1332412 |
| File by the due date for filing your return See instructions | Number, street, and room or suite no. If a P.O. box, see instructions.<br>364 PATTESON DRIVE #265 | Social security number (SSN) |
| | City, town or post office, state, and ZIP code For a foreign address, see instructions.<br>MORGANTOWN, WV 26505 | |

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

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

**STOP! Do not complete Part II if you were not already granted an automatic 3-month extension on a previously filed Form 8868.**

- The books are in the care of ▶ ____________________

  Telephone No. ▶ ____________________ Fax No. ▶ ____________________

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

**4** I request an additional 3-month extension of time until ____________________ , 20 ____ .

**5** For calendar year ______ , or other tax year beginning ______________ , 20 ______ , and ending ______________ , 20 ____ .

**6** If the tax year entered in line 5 is for less than 12 months, check reason: ☐ Initial return ☐ Final return ☐ Change in accounting period

**7** State in detail why you need the extension ____________________

| | | | |
|---|---|---|---|
| **8a** | If this application is for Forms 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions. | **8a** | $ |
| **b** | If this application is for Forms 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit and any amount paid previously with Form 8868. | **8b** | $ |
| **c** | **Balance Due.** Subtract line 8b from line 8a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions. | **8c** | $ |

## Signature and Verification must be completed for Part II only.

Under penalties of perjury, I declare that I have examined this form, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete, and that I am authorized to prepare this form.

Signature ▶ Title ▶ Date ▶



JSA
3F8055 2 000