Form **990-PF** | **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

Department of the Treasury
Internal Revenue Service

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

Name of foundation: MICHAEL AND KIM WARD FOUNDATION
A Employer identification number: 27-6692318

Number and street (or P O box number if mail is not delivered to street address): C/O THE AYCO COMPANY, L.P. - NTG
P.O. BOX 15014
Room/suite:
B Telephone number (see instructions): (518) 640-5000

City or town, state or province, country, and ZIP or foreign postal code: ALBANY, NY 12212-5014

C If exemption application is pending, check here ▶ ☐
D 1 Foreign organizations, check here ▶ ☐
2 Foreign organizations meeting the 85% test, check here and attach computation ▶ ☐
E If private foundation status was terminated under section 507(b)(1)(A), check here ▶ ☐
F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ▶ ☐

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

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

I Fair market value of all assets at end of year (from Part II, col (c), line 16) ▶ $ 6,386,836.
J Accounting method: ☒ Cash ☐ Accrual ☐ Other (specify) ______ (Part I, column (d) must be on cash basis )

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

| | | (a) Revenue and expenses per books | (b) Net investment income | (c) Adjusted net income | (d) Disbursements for charitable purposes (cash basis only) |
|---|---|---|---|---|---|
| Revenue | 1 Contributions, gifts, grants, etc , received (attach schedule) | 1,155,434. | | | |
| | 2 Check ▶ ☐ if the foundation is not required to attach Sch B | | | | |
| | 3 Interest on savings and temporary cash investments | 97. | 97. | | ATCH 1 |
| | 4 Dividends and interest from securities | 101,711. | 101,695. | | ATCH 2 |
| | 5a Gross rents | | | | |
| | b Net rental income or (loss) | | | | |
| | 6a Net gain or (loss) from sale of assets not on line 10 | 433,646. | | | |
| | b Gross sales price for all assets on line 6a 3,302,925. | | | | |
| | 7 Capital gain net income (from Part IV, line 2) | | 433,646. | | |
| | 8 Net short-term capital gain | | | | |
| | 9 Income modifications | | | | |
| | 10a Gross sales less returns and allowances | | | | |
| | b Less Cost of goods sold | | | | |
| | c Gross profit or (loss) (attach schedule) | | | | |
| | 11 Other income (attach schedule) | | | | |
| | 12 **Total.** Add lines 1 through 11 | 1,690,888. | 535,438. | | |
| 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) | | | | |
| | b Accounting fees (attach schedule) ATCH 3 | 3,600. | | | |
| | c Other professional fees (attach schedule) | | | | |
| | 17 Interest | | | | |
| | 18 Taxes (attach schedule) (see instructions) ATCH 4 | 7. | 7. | | |
| | 19 Depreciation (attach schedule) and depletion | | | | |
| | 20 Occupancy | | | | |
| | 21 Travel, conferences, and meetings | | | | |
| | 22 Printing and publications | | | | |
| | 23 Other expenses (attach schedule) ATCH 5 | 30,373. | | | |
| | 24 **Total operating and administrative expenses.** Add lines 13 through 23 | 33,980. | 7. | | |
| | 25 Contributions, gifts, grants paid | 2,954,700. | | | 2,954,700. |
| | 26 **Total expenses and disbursements** Add lines 24 and 25 | 2,988,680. | 7. | 0 | 2,954,700. |
| | 27 Subtract line 26 from line 12 | | | | |
| | a **Excess of revenue over expenses and disbursements** | -1,297,792. | | | |
| | b **Net investment income** (if negative, enter -0-) | | 535,431. | | |
| | c **Adjusted net income** (if negative, enter -0-) | | | | |

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**Part II Balance Sheets** Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)

| | | | Beginning of year | End of year | |
|---|---|---|---|---|---|
| | | | (a) Book Value | (b) Book Value | (c) Fair Market Value |
| Assets | 1 | Cash - non-interest-bearing | | | |
| | 2 | Savings and temporary cash investments | 892,255. | 440,173. | 440,173. |
| | 3 | Accounts receivable ▶ | | | |
| | | Less allowance for doubtful accounts ▶ | | | |
| | 4 | Pledges receivable ▶ | | | |
| | | Less allowance for doubtful accounts ▶ | | | |
| | 5 | Grants receivable | | | |
| | 6 | Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions) | | | |
| | 7 | Other notes and loans receivable (attach schedule) ▶ | | | |
| | | Less allowance for doubtful accounts ▶ | | | |
| | 8 | Inventories for sale or use | | | |
| | 9 | Prepaid expenses and deferred charges | | | |
| | 10 a | Investments - U S and state government obligations (attach schedule) | | | |
| | b | Investments - corporate stock (attach schedule) ATCH 6 | 2,945,540. | 2,747,659. | 3,010,396. |
| | c | Investments - corporate bonds (attach schedule) | | | |
| | 11 | Investments - land, buildings, and equipment basis ▶ | | | |
| | | Less accumulated depreciation (attach schedule) ▶ | | | |
| | 12 | Investments - mortgage loans | | | |
| | 13 | Investments - other (attach schedule) ATCH 7 | 3,088,805. | 2,245,910. | 2,936,267. |
| | 14 | Land, buildings, and equipment basis ▶ | | | |
| | | Less accumulated depreciation (attach schedule) ▶ | | | |
| | 15 | Other assets (describe ▶ ) | | | |
| | 16 | Total assets (to be completed by all filers - see the instructions Also, see page 1, item I) | 6,926,600. | 5,433,742. | 6,386,836. |
| 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 ▶ ☐ and complete lines 24 through 26 and lines 30 and 31.** | | | |
| | 24 | Unrestricted | | | |
| | 25 | Temporarily restricted | | | |
| | 26 | Permanently restricted | | | |
| | | **Foundations that do not follow SFAS 117, ▶ ☒ check here and complete lines 27 through 31.** | | | |
| | 27 | Capital stock, trust principal, or current funds | 6,926,600. | 5,433,742. | |
| | 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) | 6,926,600. | 5,433,742. | |
| | 31 | **Total liabilities and net assets/fund balances** (see instructions) | 6,926,600. | 5,433,742. | |

**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 | 6,926,600. |
| 2 | Enter amount from Part I, line 27a | 2 | -1,297,792. |
| 3 | Other increases not included in line 2 (itemize) ▶ | 3 | |
| 4 | Add lines 1, 2, and 3 | 4 | 5,628,808. |
| 5 | Decreases not included in line 2 (itemize) ▶ ATCH 8 | 5 | 195,066. |
| 6 | Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30 | 6 | 5,433,742. |

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

| | (a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co ) | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo , day, yr ) | (d) Date sold (mo , day, yr ) |
|---|---|---|---|---|
| 1a | SEE PART IV SCHEDULE | | | |
| b | | | | |
| c | | | | |
| d | | | | |
| e | | | | |

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

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

| | (i) F M V as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of col (i) over col (j), if any | (l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h)) |
|---|---|---|---|---|
| a | | | | |
| b | | | | |
| c | | | | |
| d | | | | |
| e | | | | |

| | | | |
|---|---|---|---|
| 2 Capital gain net income or (net capital loss) | { If gain, also enter in Part I, line 7<br>If (loss), enter -0- in Part I, line 7 } | 2 | 433,646. |
| 3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6)<br>If gain, also enter in Part I, line 8, column (c) (see instructions) If (loss), enter -0- in Part I, line 8 | | 3 | 0 |

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

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

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

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

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

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

| (a) Base period years Calendar year (or tax year beginning in) | (b) Adjusted qualifying distributions | (c) Net value of noncharitable-use assets | (d) Distribution ratio (col (b) divided by col (c)) |
|---|---|---|---|
| 2012 | 3,583,576. | 7,058,543. | 0.507693 |
| 2011 | 1,527,054. | 4,980,210. | 0.306624 |
| 2010 | 861,641. | 3,840,786. | 0.224340 |
| 2009 | | | |
| 2008 | | | |

| | | | |
|---|---|---|---|
| 2 | Total of line 1, column (d) | 2 | 1.038657 |
| 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 | 0.346219 |
| 4 | Enter the net value of noncharitable-use assets for 2013 from Part X, line 5 | 4 | 5,618,377. |
| 5 | Multiply line 4 by line 3 | 5 | 1,945,189. |
| 6 | Enter 1% of net investment income (1% of Part I, line 27b) | 6 | 5,354. |
| 7 | Add lines 5 and 6 | 7 | 1,950,543. |
| 8 | Enter qualifying distributions from Part XII, line 4 | 8 | 2,954,700. |

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 ▶ [X] and enter 1% of Part I, line 27b | 1 | 5,354. |
| c | All other domestic foundations enter 2% of line 27b Exempt foreign organizations enter 4% of Part I, line 12, col (b) | | |
| 2 | Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-) | 2 | |
| 3 | Add lines 1 and 2 | 3 | 5,354. |
| 4 | Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-) | 4 | 0 |
| 5 | **Tax based on investment income.** Subtract line 4 from line 3 If zero or less, enter -0- | 5 | 5,354. |
| 6 | Credits/Payments | | |
| a | 2013 estimated tax payments and 2012 overpayment credited to 2013 — 6a: 10,801. | | |
| b | Exempt foreign organizations - tax withheld at source — 6b | | |
| c | Tax paid with application for extension of time to file (Form 8868) — 6c | | |
| d | Backup withholding erroneously withheld — 6d | | |
| 7 | Total credits and payments Add lines 6a through 6d | 7 | 10,801. |
| 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 | 5,447. |
| 11 | Enter the amount of line 10 to be **Credited to 2014 estimated tax** ▶ 5,447. **Refunded** ▶ | 11 | |

## Part VII-A Statements Regarding Activities

| | | | Yes | No |
|---|---|---|---|---|
| 1a | During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign? | 1a | | X |
| b | Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see Instructions for the definition)? | 1b | | X |
| | *If the answer is "Yes" to **1a** or **1b**, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities* | | | |
| c | Did the foundation file **Form 1120-POL** for this year? | 1c | | X |
| d | Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year (1) On the foundation ▶ $ ______ (2) On foundation managers ▶ $ ______ | | | |
| e | Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ▶ $ ______ | | | |
| 2 | Has the foundation engaged in any activities that have not previously been reported to the IRS? *If "Yes," attach a detailed description of the activities* | 2 | | X |
| 3 | Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? *If "Yes," attach a conformed copy of the changes* | 3 | | X |
| 4a | Did the foundation have unrelated business gross income of $1,000 or more during the year? | 4a | | X |
| b | If "Yes," has it filed a tax return on **Form 990-T** for this year? | 4b | N/A | |
| 5 | Was there a liquidation, termination, dissolution, or substantial contraction during the year? *If "Yes," attach the statement required by General Instruction T* | 5 | | X |
| 6 | Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument? | 6 | X | |
| 7 | Did the foundation have at least $5,000 in assets at any time during the year? *If "Yes," complete Part II, col (c), and Part XV* | 7 | X | |
| 8a | Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ FLORIDA | | | |
| b | If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by *General Instruction G? If "No," attach explanation* | 8b | X | |
| 9 | Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2013 or the taxable year beginning in 2013 (see instructions for Part XIV)? *If "Yes," complete Part XIV* | 9 | | X |
| 10 | Did any persons become substantial contributors during the tax year? *If "Yes," attach a schedule listing their names and addresses* | 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 ▶ AYCO COMPANY, L.P. - NTG Telephone no ▶ 518-640-5000

Located at ▶ 25 BRITISH AMERICAN BLVD, LATHAM, NY ZIP+4 ▶ 12110

15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of **Form 1041** - Check here ▶ ☐

and enter the amount of tax-exempt interest received or accrued during the year ▶ 15

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

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

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

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

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

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

(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? ☐ Yes ☒ No

(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive? ☐ Yes ☒ No

(3) Provide a grant to an individual for travel, study, or other similar purposes? ☐ Yes ☒ No

(4) Provide a grant to an organization other than a charitable, etc, organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? (see instructions) ☐ Yes ☒ No

(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? ☐ Yes ☒ No

b If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53 4945 or in a current notice regarding disaster assistance (see instructions)? **5b** N/A

Organizations relying on a current notice regarding disaster assistance check here ▶ ☐

c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? 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** No: 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? **7b** N/A

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

**1 List all officers, directors, trustees, foundation managers and their compensation (see instructions).**

| (a) Name and address | (b) Title, and average hours per week devoted to position | (c) Compensation (If not paid, enter -0-) | (d) Contributions to employee benefit plans and deferred compensation | (e) Expense account, other allowances |
|---|---|---|---|---|
| ATCH 9 | | 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 |
|---|---|---|---|---|
| N/A | | 0 | 0 | 0 |
| | | | | |
| | | | | |
| | | | | |
| | | | | |

**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 |
|---|---|---|
| N/A | NONE | 0 |
| | | |
| | | |
| | | |
| | | |
| **Total** number of others receiving over $50,000 for professional services ▶ | | 0 |

**Part IX-A** **Summary of Direct Charitable Activities**

| List the foundation's four largest direct charitable activities during the tax year Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc | Expenses |
|---|---|
| 1 PLEASE NOTE, THE FOUNDATION IS NOT INVOLVED IN ANY DIRECT CHARITABLE ACTIVITIES. ITS PRIMARY PURPOSE IT TO SUPPORT, BY CONTRIBUTIONS, OTHER CHARITABLE ORGANIZATIONS EXEMPT | NONE |
| 2 UNDER INTERNAL REVENUE CODE SECTION 501(C)(3). | |
| 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 | NONE |
| 2 | |
| All other program-related investments See instructions | |
| 3 N/A | NONE |
| **Total.** Add lines 1 through 3 ▶ | |

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

| | | | |
|---|---|---|---|
| 1 | Fair market value of assets not used (or held for use) directly in carrying out charitable, etc, purposes: | | |
| a | Average monthly fair market value of securities | 1a | 2,972,683. |
| b | Average of monthly cash balances | 1b | 392,461. |
| c | Fair market value of all other assets (see instructions) | 1c | 2,338,792. |
| d | **Total** (add lines 1a, b, and c) | 1d | 5,703,936. |
| e | Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) — 1e | | |
| 2 | Acquisition indebtedness applicable to line 1 assets | 2 | |
| 3 | Subtract line 2 from line 1d | 3 | 5,703,936. |
| 4 | Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions) | 4 | 85,559. |
| 5 | **Net value of noncharitable-use assets.** Subtract line 4 from line 3 Enter here and on Part V, line 4 | 5 | 5,618,377. |
| 6 | **Minimum investment return.** Enter 5% of line 5 | 6 | 280,919. |

## 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 | 280,919. |
| 2a | Tax on investment income for 2013 from Part VI, line 5 | 2a | 5,354. | | |
| b | Income tax for 2013 (This does not include the tax from Part VI ) | 2b | | | |
| c | Add lines 2a and 2b | | | 2c | 5,354. |
| 3 | Distributable amount before adjustments Subtract line 2c from line 1 | | | 3 | 275,565. |
| 4 | Recoveries of amounts treated as qualifying distributions | | | 4 | |
| 5 | Add lines 3 and 4 | | | 5 | 275,565. |
| 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 | 275,565. |

## 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 | 2,954,700. |
| 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 | 2,954,700. |
| 5 | Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income Enter 1% of Part I, line 27b (see instructions) | 5 | 5,354. |
| 6 | **Adjusted qualifying distributions.** Subtract line 5 from line 4 | 6 | 2,949,346. |

**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 | | | | | 275,565. |
| 2 Undistributed income, if any, as of the end of 2013 | | | | | |
| a Enter amount for 2012 only | | | | | |
| b Total for prior years 20 11 ,20 10 ,20 09 | | | | | |
| 3 Excess distributions carryover, if any, to 2013 | | | | | |
| a From 2008 | | | | | |
| b From 2009 | | | | | |
| c From 2010 | 806,203. | | | | |
| d From 2011 | 1,319,005. | | | | |
| e From 2012 | 3,256,313. | | | | |
| f **Total** of lines 3a through e | | 5,381,521. | | | |
| 4 Qualifying distributions for 2013 from Part XII, line 4 ▶ $ 2,954,700. | | | | | |
| a Applied to 2012, but not more than line 2a | | | | | |
| b Applied to undistributed income of prior years (Election required - see instructions) | | | | | |
| c Treated as distributions out of corpus (Election required - see instructions) | | | | | |
| d Applied to 2013 distributable amount | | | | | 275,565. |
| e Remaining amount distributed out of corpus | | 2,679,135. | | | |
| 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 | | 8,060,656. | | | |
| 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 | | | | | NONE |
| 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 | | 8,060,656. | | | |
| 10 Analysis of line 9 | | | | | |
| a Excess from 2009 | | | | | |
| b Excess from 2010 | 806,203. | | | | |
| c Excess from 2011 | 1,319,005. | | | | |
| d Excess from 2012 | 3,256,313. | | | | |
| e Excess from 2013 | 2,679,135. | | | | |

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

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

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

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

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

**1 Information Regarding Foundation Managers:**

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

MICHAEL J. WARD

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

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

c Any submission deadlines

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

**Part XV Supplementary Information** (continued)

**3 Grants and Contributions Paid During the Year or Approved for Future Payment**

| Recipient<br>Name and address (home or business) | If recipient is an individual, show any relationship to any foundation manager or substantial contributor | Foundation status of recipient | Purpose of grant or contribution | Amount |
|---|---|---|---|---|
| *a Paid during the year* | | | | |
| ATCH 10 | | | | |
| **Total** . . . . . . . . . . ▶ **3a** | | | | 2,954,700. |
| *b Approved for future payment* | | | | |
| **Total** . . . . . . . . . . ▶ **3b** | | | | |

**Part XVI-A Analysis of Income-Producing Activities**

| Enter gross amounts unless otherwise indicated | Unrelated business income | | Excluded by section 512, 513, or 514 | | (e) Related or exempt function income (See instructions.) |
|---|---|---|---|---|---|
| | (a) Business code | (b) Amount | (c) Exclusion code | (d) Amount | |
| 1 Program service revenue | | | | | |
| a | | | | | |
| b | | | | | |
| c | | | | | |
| d | | | | | |
| e | | | | | |
| f | | | | | |
| g Fees and contracts from government agencies | | | | | |
| 2 Membership dues and assessments | | | | | |
| 3 Interest on savings and temporary cash investments | | | 14 | 97. | |
| 4 Dividends and interest from securities | | | 14 | 101,711. | |
| 5 Net rental income or (loss) from real estate | | | | | |
| a Debt-financed property | | | | | |
| b Not debt-financed property | | | | | |
| 6 Net rental income or (loss) from personal property | | | | | |
| 7 Other investment income | | | | | |
| 8 Gain or (loss) from sales of assets other than inventory | | | 18 | 433,646. | |
| 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) | | | | 535,454. | |

13 Total. Add line 12, columns (b), (d), and (e) . . . 13 535,454.

(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 | NOT APPLICABLE |

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

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

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

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

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

b If "Yes," complete the following schedule

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

**Sign Here**

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

▶ Michael Ward | 5/9/14 | ▶ TRUSTEE

Signature of officer or trustee | Date | Title

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

**Paid Preparer Use Only**

| Print/Type preparer's name | Preparer's signature | Date | Check ☐ if self-employed | PTIN |
|---|---|---|---|---|
| CHRISTINE W. DIIONNA | Christine W. D | 5/8/2014 | | P00999533 |

Firm's name ▶ THE AYCO COMPANY, L.P. | Firm's EIN ▶ 33-1187432

Firm's address ▶ PO BOX 15014 ALBANY, NY 12212-5014 | Phone no 518-640-5000

| Schedule B (Form 990, 990-EZ, or 990-PF) Department of the Treasury Internal Revenue Service | **Schedule of Contributors** ▶ Attach to Form 990, Form 990-EZ, or Form 990-PF. ▶ Information about Schedule B (Form 990, 990-EZ, or 990-PF) and its instructions is at *www.irs gov/form990.* | OMB No 1545-0047 **2013** |
|---|---|---|

| Name of the organization | Employer identification number |
|---|---|
| MICHAEL AND KIM WARD FOUNDATION | 27-6692318 |

**Organization type** (check one)·

**Filers of:** **Section:**

Form 990 or 990-EZ
- ☐ 501(c)( ) (enter number) organization
- ☐ 4947(a)(1) nonexempt charitable trust **not** treated as a private foundation
- ☐ 527 political organization

Form 990-PF
- ☒ 501(c)(3) exempt private foundation
- ☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation
- ☐ 501(c)(3) taxable private foundation

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

**General Rule**

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

**Special Rules**

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

☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than $1,000 for use *exclusively* for religious, charitable, scientific, literary, or educational purposes, or the prevention of cruelty to children or animals Complete Parts I, II, and III.

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

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

Name of organization MICHAEL AND KIM WARD FOUNDATION

Employer identification number 27-6692318

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

| (a) No. | (b) Name, address, and ZIP + 4 | (c) Total contributions | (d) Type of contribution |
|---|---|---|---|
| 1 | MICHAEL J. WARD<br>C/O THE AYCO COMPANY,LP-NTG PO BOX 15014<br>ALBANY, NY 12212-5014 | $ 1,155,434. | Person [X]<br>Payroll [ ]<br>Noncash [X]<br>(Complete Part II for noncash contributions ) |
| | | $ | Person [ ]<br>Payroll [ ]<br>Noncash [ ]<br>(Complete Part II for noncash contributions ) |
| | | $ | Person [ ]<br>Payroll [ ]<br>Noncash [ ]<br>(Complete Part II for noncash contributions ) |
| | | $ | Person [ ]<br>Payroll [ ]<br>Noncash [ ]<br>(Complete Part II for noncash contributions ) |
| | | $ | Person [ ]<br>Payroll [ ]<br>Noncash [ ]<br>(Complete Part II for noncash contributions ) |
| | | $ | Person [ ]<br>Payroll [ ]<br>Noncash [ ]<br>(Complete Part II for noncash contributions ) |

Name of organization MICHAEL AND KIM WARD FOUNDATION

Employer identification number 27-6692318

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

| (a) No. from Part I | (b) Description of noncash property given | (c) FMV (or estimate) (see instructions) | (d) Date received |
|---|---|---|---|
| 1 | SEE ATTACHED LIST | $ 1,155,434. | VAR |
| (a) No. from Part I | (b) Description of noncash property given | (c) FMV (or estimate) (see instructions) | (d) Date received |
| | | $ | |
| (a) No. from Part I | (b) Description of noncash property given | (c) FMV (or estimate) (see instructions) | (d) Date received |
| | | $ | |
| (a) No. from Part I | (b) Description of noncash property given | (c) FMV (or estimate) (see instructions) | (d) Date received |
| | | $ | |
| (a) No. from Part I | (b) Description of noncash property given | (c) FMV (or estimate) (see instructions) | (d) Date received |
| | | $ | |
| (a) No. from Part I | (b) Description of noncash property given | (c) FMV (or estimate) (see instructions) | (d) Date received |
| | | $ | |

**THE MICHAEL AND KIM WARD FOUNDATION**
**SCHEDULE B ATTACHMENT**
**YEAR ENDING 12/31/2013**
**EIN: 27-6692318**

| Stock Received | Date | Shares | Avg Price | FMV |
|---|---|---|---|---|
| | | | | |
| AETNA INC CMN | 10/29/2013 | 40 | 61 010 | 2,440 40 |
| AMERICAN INTL GROUP, INC CMN | 10/29/2013 | 60 | 51 855 | 3,111 30 |
| BANK OF AMERICA CORP CMN | 10/29/2013 | 540 | 14 175 | 7,654 50 |
| BLACKROCK, INC CMN | 10/29/2013 | 40 | 308 640 | 12,345 60 |
| BOEING COMPANY CMN | 10/29/2013 | 40 | 129 320 | 5,172 80 |
| BRISTOL-MYERS SQUIBB COMPANY CMN | 10/29/2013 | 85 | 52 790 | 4,487 15 |
| CBS CORPORATION CMN CLASS B | 10/29/2013 | 40 | 59 640 | 2,385 60 |
| CSX CORPORATION | 8/8/2013 | 40,000 | 25 750 | 1,030,000 00 |
| DOVER CORPORATION CMN | 10/29/2013 | 20 | 91 615 | 1,832 30 |
| FORD MOTOR COMPANY | 10/29/2013 | 220 | 17 515 | 3,853 30 |
| GENTEX CORP CMN | 10/29/2013 | 20 | 29 990 | 599 80 |
| GILEAD SCIENCES | 10/29/2013 | 80 | 68 895 | 5,511 60 |
| H & R BLOCK INC | 10/29/2013 | 20 | 28 765 | 575 30 |
| HALLIBURTON COMPANY | 10/29/2013 | 80 | 52 690 | 4,215 20 |
| KROGER COMPANY CMN | 10/29/2013 | 20 | 43 260 | 865 20 |
| LOWES COMPANIES INC | 10/29/2013 | 100 | 50 450 | 5,045 00 |
| MOLEX INC CLASS-A CMN CLASS A | 10/29/2013 | 80 | 38 470 | 3,077 60 |
| NIKE CLASS-B CMN CLASS B | 10/29/2013 | 40 | 75 860 | 3,034 40 |
| NYSE EURONEXT | 10/29/2013 | 80 | 44 145 | 3,531 60 |
| OLD REPUBLIC INTL CORP CMN | 10/29/2013 | 880 | 16 875 | 14,850 00 |
| ROCKWELL AUTOMATION INC | 10/29/2013 | 40 | 110 460 | 4,418 40 |
| RYDER SYSTEM INC CMN | 10/29/2013 | 20 | 66 195 | 1,323 90 |
| SEAGATE TECHNOLOGY PLC | 10/29/2013 | 80 | 48 945 | 3,915 60 |
| STANCORP FINANCIAL CORP, INC | 10/29/2013 | 160 | 59 185 | 9,469 60 |
| STARBUCKS CORP CMN | 10/29/2013 | 40 | 79 335 | 3,173 40 |
| TIME WARNER INC CMN | 10/29/2013 | 60 | 70 175 | 4,210 50 |
| TWENTY-FIRST CENTURY FOX, INC | 10/29/2013 | 20 | 34 760 | 695 20 |
| VIACOM INC CMN CLASS B | 10/29/2013 | 20 | 84 575 | 1,691 50 |
| WADDELL & REED FIN , INC CLASS A | 10/29/2013 | 100 | 60 830 | 6,083 00 |
| WESTERN DIGITAL CORPORATION | 10/29/2013 | 40 | 72 885 | 2,915 40 |
| WHIRLPOOL CORP | 10/29/2013 | 20 | 147 420 | 2,948 40 |
| | | | **Totals:** | **1,155,433.55** |

ATTACHMENT 1

## FORM 990PF, PART I - INTEREST ON TEMPORARY CASH INVESTMENTS

| DESCRIPTION | | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME |
|---|---|---|---|
| GOLMAND SACHS #7390 | | 93. | 93. |
| GOLDMAN SACHS #7389 | | 4. | 4. |
| | TOTAL | 97. | 97. |

ATTACHMENT 2

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

| DESCRIPTION | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME |
|---|---|---|
| GOLDMAN SACHS #7389 - TAX EXEMPT DIV | 11. | 0. |
| GOLDMAN SACHS #7389 - DIVIDENDS | 2,256. | 2,256. |
| GOLDMAN SACHS #8313 - TAX EXEMPT DIV | 2. | 0. |
| GOLDMAN SACHS #8313 - DIVIDENDS | 19,976. | 19,976. |
| GOLDMAN SACHS #5666 - TAX EXEMPT DIV | 3. | 0. |
| GOLDMAN SACHS #5666 - DIVIDENDS | 1. | 1. |
| GOLDMAN SACHS #5666 - INTEREST | 79,462. | 79,462. |
| TOTAL | 101,711. | 101,695. |

ATTACHMENT 3

FORM 990PF, PART I - ACCOUNTING FEES

| DESCRIPTION | | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME | ADJUSTED NET INCOME | CHARITABLE PURPOSES |
|---|---|---|---|---|---|
| ACCOUNTING FEE | | 3,600. | | | |
| | TOTALS | 3,600. | | | |

ATTACHMENT 4

## FORM 990PF, PART I - TAXES

| DESCRIPTION | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME |
|---|---|---|
| FOREIGN TAX PAID | 7. | 7. |
| TOTALS | 7. | 7. |

FORM 990PF, PART I - OTHER EXPENSES

| DESCRIPTION | REVENUE AND EXPENSES PER BOOKS |
|---|---|
| WEB SITE EXPENSE | 720. |
| ACCOUNT FEES | 29,653. |
| TOTALS | 30,373. |

ATTACHMENT 6

FORM 990PF, PART II - CORPORATE STOCK

| DESCRIPTION | | BEGINNING BOOK VALUE | ENDING BOOK VALUE | ENDING FMV |
|---|---|---|---|---|
| GOLDMAN SACHS #8313 | | 983,917. | 1,015,048. | 1,342,857. |
| GOLDMAN SACHS #5666 | | 1,961,623. | 1,732,611. | 1,667,539. |
| | TOTALS | 2,945,540. | 2,747,659. | 3,010,396. |

ATTACHMENT 7

FORM 990PF, PART II - OTHER INVESTMENTS

| DESCRIPTION | BEGINNING BOOK VALUE | ENDING BOOK VALUE | ENDING FMV |
|---|---|---|---|
| GS CORP. CREDIT INVEST FUND | 1,607,812. | 1,109,150. | 1,330,313. |
| VONTOBEL: NON-U.S. EQUITY L.P. | 1,000,000. | 800,000. | 1,129,336. |
| US HOUSING RECOVERY FUND OFFS. | 480,993. | 336,760. | 476,618. |
| TOTALS | 3,088,805. | 2,245,910. | 2,936,267. |

ATTACHMENT 8

FORM 990PF, PART III - OTHER DECREASES IN NET WORTH OR FUND BALANCES

| DESCRIPTION | | AMOUNT |
|---|---|---|
| APPRECIATION OVER DONOR'S COST BASIS OF STOCK RECEIVED BY FOUNDATION | | 195,066. |
| | TOTAL | 195,066. |

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

ATTACHMENT 9

| NAME AND ADDRESS | TITLE AND AVERAGE HOURS PER WEEK DEVOTED TO POSITION | COMPENSATION | CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS | EXPENSE ACCT AND OTHER ALLOWANCES |
|---|---|---|---|---|
| MICHAEL J. WARD<br>C/O THE AYCO COMPANY, L.P. - NTG<br>P.O. BOX 15014<br>ALBANY, NY 12212-5014 | TRUSTEE | 0 | 0 | 0 |
| KIM ANSPACH WARD<br>C/O THE AYCO COMPANY, L.P. - NTG<br>P.O. BOX 15014<br>ALBANY, NY 12212-5014 | TRUSTEE | 0 | 0 | 0 |
| | GRAND TOTALS | 0 | 0 | 0 |

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

ATTACHMENT 10

| RECIPIENT NAME AND ADDRESS | RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT | PURPOSE OF GRANT OR CONTRIBUTION | AMOUNT |
|---|---|---|---|
| SEE ATTACHED LIST | NONE<br>501(C)(3) | FOR GENERAL CHARITABLE PURPOSES | 2,954,700 |
| | | TOTAL CONTRIBUTIONS PAID | 2,954,700 |

**THE MICHAEL AND KIM WARD FOUNDATION**
**CHARITABLE CONTRIBUTIONLIST**
**FYE: 12/31/13**

| Date | Check Number | Description | Check Amount |
|---|---|---|---|
| 01/16/13 | 236 | University of North Florida Foundation, Jacksonville, FL. | 80,000.00 |
| 01/17/13 | 233 | Jacksonville Public Education Fund, Jacksonville, FL | 100,000.00 |
| 01/22/13 | 234 | Kipp School, Jacksonville, FL | 10,000.00 |
| 01/25/13 | 235 | University of North Florida Foundation, Jacksonville, FL | 70,000.00 |
| 02/07/13 | 234 | Kipp School, Jacksonville, FL | 90,000 00 |
| 02/22/13 | 238 | Foundation for Personal Empowerment Center, Jacksonville, FL | 20,000.00 |
| 02/26/13 | 241 | The Guardian Catholic School, Jacksonville, FL | 200,000 00 |
| 03/01/13 | 243 | Pace Center For Girls, Jacksonville, FL | 150,000.00 |
| 03/04/13 | 240 | Jacksonville Public Education Fund, Jacksonville, FL | 100,000.00 |
| 03/08/13 | 244 | Waverly Academy, Jacksonville, FL | 75,000 00 |
| 03/14/13 | 232 | City Year, Inc, Orlando, FL | 250,000.00 |
| 03/15/13 | 239 | St Joseph's School, San Antonio, TX | 19,500.00 |
| 03/15/13 | 242 | St Joseph's School, San Antonio, TX | 50,000.00 |
| 04/17/13 | 245 | Teach for America, Jacksonville, FL | 65,200.00 |
| 05/17/13 | 246 | One Love Foundation, Baltimore, MD | 250,000.00 |
| 06/11/13 | 247 | University of North Florida Foundation, Jacksonville, FL. | 110,000 00 |
| 08/01/13 | 249 | The DePaul School, Jacksonville, FL | 30,000 00 |
| 08/07/13 | 250 | Hubbard House, Jacksonville, FL | 150,000 00 |
| 08/08/13 | 248 | Jacksonville Public Education Fund, Jacksonville, FL | 75,000.00 |
| 09/10/13 | 251 | The Greenwood School, Jacksonville, FL | 50,000.00 |
| 09/13/13 | 252 | Jacksonville Humane Society, Jacksonville, FL | 100,000 00 |
| 09/20/13 | 253 | City Year, Inc, Orlando, FL | 100,000 00 |
| 09/20/13 | 254 | City Year, Inc, Orlando, FL | 225,000 00 |
| 09/27/13 | 255 | One Love Foundation, Baltimore, MD | 500,000 00 |
| 10/21/13 | 256 | World Arts Education, Jacksonville, FL | 25,000 00 |
| 10/25/13 | 257 | Cathedral Arts Project, Jacksonville, FL | 25,000 00 |
| 11/05/13 | 258 | Palm Harbor Academy, Inc., Palm Coast, FL | 25,000 00 |
| 12/23/13 | 260 | City Rescue Mission, Oklahoma City, OK | 2,500 00 |
| 12/24/2013 | 264 | Baptist Health Foundation, San Antonio, TX | 2,500 00 |
| 12/24/2013 | 261 | Hospice House Satilla-Waycross, Waycross, GA | 2,500 00 |
| 12/30/2013 | 263 | McKenzie Noelle Wolfson Foundation, Jacksonville, FL | 2,500.00 |
| | | | 2,954,700.00 |

***All contributions were made to the general purpose fund of Public charitable organizations that were classified under Section 501(c)(3) of the Internal Revenue Code.***

4/25/2014

**SCHEDULE D (Form 1041)**

Department of the Treasury
Internal Revenue Service

# Capital Gains and Losses

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

OMB No 1545-0092

**2013**

Name of estate or trust: MICHAEL AND KIM WARD FOUNDATION

Employer identification number: 27-6692318

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

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

| See instructions for how to figure the amounts to enter on the lines below. This form may be easier to complete if you round off cents to whole dollars | (d) Proceeds (sales price) | (e) Cost (or other basis) | (g) Adjustments to gain or loss from Form(s) 8949, Part I, line 2, column (g) | (h) Gain or (loss) Subtract column (e) from column (d) and combine the result with column (g) |
|---|---|---|---|---|
| **1a** Totals for all short-term transactions reported on Form 1099-B for which basis was reported to the IRS and for which you have no adjustments (see instructions) However, if you choose to report all these transactions on Form 8949, leave this line blank and go to line 1b | | | | |
| **1b** Totals for all transactions reported on Form(s) 8949 with **Box A** checked | 548,122. | 555,910. | | -7,788. |
| **2** Totals for all transactions reported on Form(s) 8949 with **Box B** checked | 175,992. | 173,382. | | 2,610. |
| **3** Totals for all transactions reported on Form(s) 8949 with **Box C** checked | 177,995. | 144,233. | | 33,762. |

| | | |
|---|---|---|
| **4** Short-term capital gain or (loss) from Forms 4684, 6252, 6781, and 8824 | 4 | |
| **5** Net short-term gain or (loss) from partnerships, S corporations, and other estates or trusts | 5 | |
| **6** Short-term capital loss carryover. Enter the amount, if any, from line 9 of the 2012 Capital Loss Carryover Worksheet | 6 | ( ) |
| **7** **Net short-term capital gain or (loss).** Combine lines 1a through 6 in column (h) Enter here and on line 17, column (3) on the back ▶ | 7 | 28,584. |

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

| See instructions for how to figure the amounts to enter on the lines below. This form may be easier to complete if you round off cents to whole dollars | (d) Proceeds (sales price) | (e) Cost (or other basis) | (g) Adjustments to gain or loss from Form(s) 8949, Part II, line 2, column (g) | (h) Gain or (loss) Subtract column (e) from column (d) and combine the result with column (g) |
|---|---|---|---|---|
| **8a** Totals for all long-term transactions reported on Form 1099-B for which basis was reported to the IRS and for which you have no adjustments (see instructions) However, if you choose to report all these transactions on Form 8949, leave this line blank and go to line 8b | | | | |
| **8b** Totals for all transactions reported on Form(s) 8949 with **Box D** checked | 1,618,458. | 1,315,563. | -1,358. | 301,537. |
| **9** Totals for all transactions reported on Form(s) 8949 with **Box E** checked | 190,095. | 180,146. | | 9,949. |
| **10** Totals for all transactions reported on Form(s) 8949 with **Box F** checked | 592,257. | 498,687. | | 93,570. |

| | | |
|---|---|---|
| **11** Long-term capital gain or (loss) from Forms 2439, 4684, 6252, 6781, and 8824 | 11 | |
| **12** Net long-term gain or (loss) from partnerships, S corporations, and other estates or trusts | 12 | |
| **13** Capital gain distributions | 13 | 6. |
| **14** Gain from Form 4797, Part I | 14 | |
| **15** Long-term capital loss carryover Enter the amount, if any, from line 14 of the 2012 Capital Loss Carryover Worksheet | 15 | ( ) |
| **16** **Net long-term capital gain or (loss).** Combine lines 8a through 15 in column (h) Enter here and on line 18a, column (3) on the back ▶ | 16 | 405,062. |

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



JSA
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| **Part III** **Summary of Parts I and II** **Caution:** *Read the instructions* ***before*** *completing this part.* | | (1) Beneficiaries' (see instr ) | (2) Estate's or trust's | (3) Total |
|---|---|---|---|---|
| 17 **Net short-term gain or (loss)** | 17 | | | 28,584. |
| 18 **Net long-term gain or (loss):** | | | | |
| a Total for year | 18a | | | 405,062. |
| b Unrecaptured section 1250 gain (see line 18 of the wrksht ) | 18b | | | |
| c 28% rate gain | 18c | | | |
| 19 **Total net gain or (loss).** Combine lines 17 and 18a ▶ | 19 | | | 433,646. |

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

## Part IV Capital Loss Limitation

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

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

## Part V Tax Computation Using Maximum Capital Gains Rates

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

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

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

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

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

Form **8949**

Department of the Treasury Internal Revenue Service

# Sales and Other Dispositions of Capital Assets

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

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

OMB No 1545-0074

2013

Attachment Sequence No **12A**

| Name(s) shown on return | Social security number or taxpayer identification number |
|---|---|
| MICHAEL AND KIM WARD FOUNDATION | 27-6692318 |

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

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

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

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

[X] **(A)** Short-term transactions reported on Form(s) 1099-B showing basis was reported to the IRS (see **Note** above)

[ ] **(B)** Short-term transactions reported on Form(s) 1099-B showing basis was **not** reported to the IRS

[ ] **(C)** Short-term transactions not reported to you on Form 1099-B

| 1 (a) Description of property (Example 100 sh XYZ Co ) | (b) Date acquired (Mo , day, yr ) | (c) Date sold or disposed (Mo , day, yr ) | (d) Proceeds (sales price) (see instructions) | (e) Cost or other basis See the **Note** below and see *Column (e)* in the separate instructions | Adjustment, if any, to gain or loss If you enter an amount in column (g), enter a code in column (f) See the separate instructions (f) Code(s) from instructions | (g) Amount of adjustment | (h) Gain or (loss). Subtract column (e) from column (d) and combine the result with column (g) |
|---|---|---|---|---|---|---|---|
| GOLDMAN SACHS #7389 | VAR | VAR | 499,438. | 500,925. | | | -1,487. |
| GOLDMAN SACHS #8313 | VAR | VAR | 48,684. | 54,985. | | | -6,301. |
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| **2 Totals.** Add the amounts in columns (d), (e), (g), and (h) (subtract negative amounts) Enter each total here and include on your Schedule D, **line 1b** (if **Box A** above is checked), **line 2** (if **Box B** above is checked), or **line 3** (if **Box C** above is checked) ▶ | | | 548,122. | 555,910. | | | -7,788. |

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

Form **8949**

Department of the Treasury
Internal Revenue Service

# Sales and Other Dispositions of Capital Assets

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

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

OMB No 1545-0074

2013

Attachment Sequence No **12A**

| Name(s) shown on return | Social security number or taxpayer identification number |
|---|---|
| MICHAEL AND KIM WARD FOUNDATION | 27-6692318 |

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

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

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

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

[ ] **(A)** Short-term transactions reported on Form(s) 1099-B showing basis was reported to the IRS (see **Note** above)

[X] **(B)** Short-term transactions reported on Form(s) 1099-B showing basis was **not** reported to the IRS

[ ] **(C)** Short-term transactions not reported to you on Form 1099-B

| 1 (a) Description of property (Example 100 sh. XYZ Co.) | (b) Date acquired (Mo., day, yr.) | (c) Date sold or disposed (Mo., day, yr.) | (d) Proceeds (sales price) (see instructions) | (e) Cost or other basis. See the **Note** below and see *Column (e)* in the separate instructions | Adjustment, if any, to gain or loss. If you enter an amount in column (g), enter a code in column (f). See the separate instructions. (f) Code(s) from instructions | (g) Amount of adjustment | (h) Gain or (loss). Subtract column (e) from column (d) and combine the result with column (g) |
|---|---|---|---|---|---|---|---|
| GOLDMAN SACHS #5666 | VAR | 01/15/2013 | 175,992. | 173,382. | | | 2,610. |
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| **2 Totals.** Add the amounts in columns (d), (e), (g), and (h) (subtract negative amounts). Enter each total here and include on your Schedule D, **line 1b** (if **Box A** above is checked), **line 2** (if **Box B** above is checked), or **line 3** (if **Box C** above is checked) ▶ | | | 175,992. | 173,382. | | | 2,610. |

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

Form **8949**

Department of the Treasury
Internal Revenue Service

# Sales and Other Dispositions of Capital Assets

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

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

OMB No 1545-0074

2013

Attachment Sequence No 12A

| Name(s) shown on return | Social security number or taxpayer identification number |
|---|---|
| MICHAEL AND KIM WARD FOUNDATION | 27-6692318 |

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

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

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

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

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

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

☒ **(C)** Short-term transactions not reported to you on Form 1099-B

| 1 (a) Description of property (Example 100 sh XYZ Co) | (b) Date acquired (Mo, day, yr) | (c) Date sold or disposed (Mo, day, yr) | (d) Proceeds (sales price) (see instructions) | (e) Cost or other basis See the Note below and see *Column (e)* in the separate instructions | Adjustment, if any, to gain or loss. If you enter an amount in column (g), enter a code in column (f) See the separate instructions. (f) Code(s) from instructions | (g) Amount of adjustment | (h) Gain or (loss) Subtract column (e) from column (d) and combine the result with column (g) |
|---|---|---|---|---|---|---|---|
| US HOUSING RECOVERY FUND OFFSHORE, LTD. | 05/01/2012 | VAR | 177,995. | 144,233. | | | 33,762. |
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| **2 Totals.** Add the amounts in columns (d), (e), (g), and (h) (subtract negative amounts) Enter each total here and include on your Schedule D, **line 1b** (if **Box A** above is checked), **line 2** (if **Box B** above is checked), or **line 3** (if **Box C** above is checked)▶ | | | 177,995. | 144,233. | | | 33,762. |

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

| Name(s) shown on return (Name and SSN or taxpayer identification no not required if shown on other side) | Social security number or taxpayer identification number |
|---|---|
| MICHAEL AND KIM WARD FOUNDATION | 27-6692318 |

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

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

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

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

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

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

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

| 1 (a) Description of property (Example 100 sh XYZ Co ) | (b) Date acquired (Mo , day, yr ) | (c) Date sold or disposed (Mo , day, yr ) | (d) Proceeds (sales price) (see instructions) | (e) Cost or other basis See the **Note** below and see *Column (e)* in the separate instructions | Adjustment, if any, to gain or loss. If you enter an amount in column (g), enter a code in column (f) See the separate instructions. (f) Code(s) from instructions | (g) Amount of adjustment | (h) Gain or (loss). Subtract column (e) from column (d) and combine the result with column (g) |
|---|---|---|---|---|---|---|---|
| GOLDMAN SACHS #7389 | VAR | VAR | 1,152,069. | 959,009. | | -1,358. | 191,702. |
| GOLDMAN SACHS #8313 | VAR | VAR | 466,389. | 356,554. | | | 109,835. |
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| **2 Totals.** Add the amounts in columns (d), (e), (g), and (h) (subtract negative amounts). Enter each total here and include on your Schedule D, **line 8b** (if **Box D** above is checked), **line 9** (if **Box E** above is checked), or **line 10** (if **Box F** above is checked) ▶ | | | 1,618,458. | 1315563. | | -1,358. | 301,537. |

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

| Name(s) shown on return (Name and SSN or taxpayer identification no not required if shown on other side) | Social security number or taxpayer identification number |
|---|---|
| MICHAEL AND KIM WARD FOUNDATION | 27-6692318 |

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

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

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

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

- [ ] **(D)** Long-term transactions reported on Form(s) 1099-B showing basis was reported to the IRS (see **Note** above)
- [X] **(E)** Long-term transactions reported on Form(s) 1099-B showing basis was **not** reported to the IRS
- [ ] **(F)** Long-term transactions not reported to you on Form 1099-B

| 1 (a) Description of property (Example 100 sh XYZ Co ) | (b) Date acquired (Mo , day, yr ) | (c) Date sold or disposed (Mo , day, yr ) | (d) Proceeds (sales price) (see instructions) | (e) Cost or other basis See the **Note** below and see *Column (e)* in the separate instructions | Adjustment, if any, to gain or loss. If you enter an amount in column (g), enter a code in column (f) See the separate instructions. (f) Code(s) from instructions | (g) Amount of adjustment | (h) Gain or (loss). Subtract column (e) from column (d) and combine the result with column (g) |
|---|---|---|---|---|---|---|---|
| GOLDMAN SACHS #8313 | VAR | VAR | 85,580. | 74,615. | | | 10,965. |
| GOLDMAN SACHS #5666 | VAR | 08/06/2013 | 104,515. | 105,531. | | | -1,016. |
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| **2 Totals.** Add the amounts in columns (d), (e), (g), and (h) (subtract negative amounts) Enter each total here and include on your Schedule D, **line 8b** (if **Box D** above is checked), **line 9** (if **Box E** above is checked), or **line 10** (if **Box F** above is checked) ▶ | | | 190,095. | 180,146. | | | 9,949. |

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

| Name(s) shown on return (Name and SSN or taxpayer identification no not required if shown on other side) | Social security number or taxpayer identification number |
|---|---|
| MICHAEL AND KIM WARD FOUNDATION | 27-6692318 |

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

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

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

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

- [ ] **(D)** Long-term transactions reported on Form(s) 1099-B showing basis was reported to the IRS (see **Note** above)
- [ ] **(E)** Long-term transactions reported on Form(s) 1099-B showing basis was **not** reported to the IRS
- [X] **(F)** Long-term transactions not reported to you on Form 1099-B

| 1 (a) Description of property (Example 100 sh XYZ Co) | (b) Date acquired (Mo, day, yr) | (c) Date sold or disposed (Mo, day, yr) | (d) Proceeds (sales price) (see instructions) | (e) Cost or other basis See the Note below and see *Column (e)* in the separate instructions | Adjustment, if any, to gain or loss If you enter an amount in column (g), enter a code in column (f) See the separate instructions. (f) Code(s) from instructions | (g) Amount of adjustment | (h) Gain or (loss). Subtract column (e) from column (d) and combine the result with column (g) |
|---|---|---|---|---|---|---|---|
| GS CORPORATE CREDIT INVESTMENT FUND | VAR | VAR | 592,257. | 498,662. | | | 93,595. |
| GOLDMAN SACHS #8313 | VAR | VAR | | 25. | | | -25. |
| | | | | | | | |
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| | | | | | | | |
| **2 Totals.** Add the amounts in columns (d), (e), (g), and (h) (subtract negative amounts) Enter each total here and include on your Schedule D, **line 8b** (if **Box D** above is checked), **line 9** (if **Box E** above is checked), or **line 10** (if **Box F** above is checked) ▶ | | | 592,257. | 498,687. | | | 93,570. |

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



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| Tax Year | Account No | Legal Name |
|---|---|---|
| 2013 | 7389 | MICHAEL AND KIM WARD |

EIN: 27-6692318

# REALIZED GAINS AND LOSSES

*Supplemental Information - Consult your Form 1099 for tax reporting purposes*

## REALIZED GAIN AND LOSS SUMMARY

| SHORT-TERM GAINS (LOSSES) | | LONG-TERM GAINS (LOSSES) | | ORDINARY GAINS (LOSSES) | |
|---|---|---|---|---|---|
| Net Covered Short-Term Gains (Losses) | (1,486 62) | Net Covered Long-Term Gains (Losses) | 193,060 69 | Net Ordinary Gains (Losses) | 0 00 |
| Net NonCovered Short-Term Gains (Losses) | 0 00 | Net NonCovered Long-Term Gains (Losses) | 0 00 | | |
| Net 1099B Non Reportable Short-Term Gains (Losses) | 0 00 | Net 1099B Non Reportable Long-Term Gains (Losses) | 0 00 | | |
| Net Miscellaneous Short-Term Gains (Losses) | 0 00 | Net Miscellaneous Long-Term Gains (Losses) | 0 00 | Net Miscellaneous Ordinary Gains (Losses) | 0 00 |
| Net Regulated Futures Contract Short-Term Gains (Losses) | 0 00 | Net Regulated Futures Contract Long-Term Gains (Losses) | 0 00 | | |
| **Total Short-Term Gains (Losses)** | **(1,486 62)** | **Total Long-Term Gains (Losses)** | **193,060 69** | **Total Ordinary Gains (Losses)** | **0 00** |

## SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Short-Term Gains (Losses)** | | | | | | | |
| GS HIGH YIELD FLOATING RATE FUND INSTITUTIONAL SHARES (38145C455) | 08/30/2013 | 09/25/2013 | 91 93 | 924 79 | 0 00 | 924 79 | 0 00 |
| GS HIGH YIELD FLOATING RATE FUND INSTITUTIONAL SHARES (38145C455) | 08/09/2013 | 09/25/2013 | 49,554 01 | 498,513 38 | 0 00 | 500,000 00 | (1,486 62) |
| **Net Covered Short-Term Gains (Losses)** | | | | **499,438.17** | **0.00** | **500,924.79** | **(1,486.62)** |

## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Long-Term Gains (Losses)** | | | | | | | |
| CSX CORPORATION CMN (126408103) | 05/04/2012 | 08/08/2013 | 40,000 00 [9] | 1,026,634 10 | 0 00 | 886,000 00 | 140,634 10 |
| AETNA INC CMN (00817Y108) | 10/01/2012 | 11/13/2013 | 40 00 [9] | 2,529 55 | 0 00 | 1,593 06 | 936 49 |
| AMERICAN INTL GROUP, INC CMN (026874784) | 10/01/2012 | 11/13/2013 | 60 00 [9] | 2,878 74 | 0 00 | 1,993 14 | 885 60 |
| BANK OF AMERICA CORP CMN (060505104) | 10/01/2012 | 11/13/2013 | 540 00 [9] | 7,824 46 | 0 00 | 4,833 70 | 2,990 76 |
| BLACKROCK, INC CMN (09247X101) | 10/01/2012 | 11/13/2013 | 40 00 [9] | 11,818 19 | 0 00 | 7,174 86 | 4,643 33 |
| BOEING COMPANY CMN (097023105) | 10/01/2012 | 11/13/2013 | 40 00 [9] | 5,279 90 | 0 00 | 2,795 26 | 2,484 64 |

[4] Basis may have been increased by accruals of market discount and/or original issue discount or decreased by premium amortization This increase or decrease of basis assumes the investor has elected to include market discount in income currently and/or amortize premium currently You should consult with your own tax advisor to determine your correct basis

[5] Sale Proceeds may have been adjusted by an option premium due to an option assignment

[9] This position is a gifted security

## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Long-Term Gains (Losses)** | | | | | | | |
| BRISTOL-MYERS SQUIBB COMPANY CMN (110122108) | 10/01/2012 | 11/13/2013 | 85 00 [9] | 4,391 87 | 0 00 | 2,880 39 | 1,511 48 |
| CBS CORPORATION CMN CLASS B (124857202) | 10/01/2012 | 11/13/2013 | 40 00 [9] | 2,360 35 | 0 00 | 1,421 16 | 939 19 |
| DOVER CORPORATION CMN (260003108) | 10/01/2012 | 11/13/2013 | 20 00 [9] | 1,841 96 | 0 00 | 1,188 03 | 653 93 |
| FORD MOTOR COMPANY CMN (345370860) | 10/01/2012 | 11/13/2013 | 220 00 [9] | 3,707 04 | 0 00 | 2,183 37 | 1,523 67 |
| GENTEX CORP CMN (371901109) | 10/01/2012 | 11/13/2013 | 20 00 [9] | 576 38 | 0 00 | 346 63 | 229 75 |
| GILEAD SCIENCES CMN (375558103) | 10/01/2012 | 11/13/2013 | 80 00 [9] | 5,411 10 | 0 00 | 2,695 49 | 2,715 61 |
| H & R BLOCK INC CMN (093671105) | 10/01/2012 | 11/13/2013 | 20 00 [9] | 550 19 | 0 00 | 353 13 | 197 06 |
| HALLIBURTON COMPANY CMN (406216101) | 10/01/2012 | 11/13/2013 | 80 00 [9] | 4,381 52 | 0 00 | 2,694 98 | 1,686 54 |
| KROGER COMPANY CMN (501044101) | 10/01/2012 | 11/13/2013 | 20 00 [9] | 831 18 | 0 00 | 475 03 | 356 15 |
| LOWES COMPANIES INC CMN (548661107) | 10/01/2012 | 11/13/2013 | 100 00 [9] | 5,067 91 | 0 00 | 3,030 00 | 2,037 91 |
| MOLEX INC CLASS-A CMN CLASS A (608554200) | 10/01/2012 | 11/13/2013 | 80 00 [9] | 3,078 34 | 0 00 | 1,709 98 | 1,368 36 |
| NIKE CLASS-B CMN CLASS B (654106103) | 10/01/2012 | 11/13/2013 | 40 00 [9] | 3,090 74 | 0 00 | 1,905 63 | 1,185 11 |
| OLD REPUBLIC INTL CORP CMN (680223104) | 10/01/2012 | 11/13/2013 | 880 00 [9] | 14,933 33 | 0 00 | 8,167 19 | 6,766 14 |
| ROCKWELL AUTOMATION INC CMN (773903109) | 10/01/2012 | 11/13/2013 | 40 00 [9] | 4,505 92 | 0 00 | 2,773 66 | 1,732 26 |
| RYDER SYSTEM INC CMN (783549108) | 10/01/2012 | 11/13/2013 | 20 00 [9] | 1,309 57 | 0 00 | 784 36 | 525 21 |
| SEAGATE TECHNOLOGY PLC CMN (G7945M107) | 10/01/2012 | 11/13/2013 | 80 00 [9] | 3,843 93 | 0 00 | 2,405 55 | 1,438 38 |
| STANCORP FINANCIAL CORP, INC CMN (852891100) | 10/01/2012 | 11/13/2013 | 160 00 [9] | 10,011 02 | 0 00 | 5,039 47 | 4,971 55 |
| STARBUCKS CORP CMN (855244109) | 10/01/2012 | 11/13/2013 | 40 00 [9] | 3,221 94 | 0 00 | 2,006 06 | 1,215 88 |
| TIME WARNER INC CMN (887317303) | 10/01/2012 | 11/13/2013 | 60 00 [9] | 3,993 53 | 0 00 | 2,727 89 | 1,265 64 |
| TWENTY-FIRST CENTURY FOX, INC CMN CLASS A (90130A101) | 10/01/2012 | 11/13/2013 | 20 00 [9] | 662 18 | 0 00 | 434 59 | 227 59 |
| VIACOM INC CMN CLASS B (92553P201) | 10/01/2012 | 11/13/2013 | 20 00 [9] | 1,631 57 | 0 00 | 1,070 03 | 561 54 |
| WADDELL & REED FIN , INC CLASS A COMMON (930059100) | 10/01/2012 | 11/13/2013 | 100 00 [9] | 6,433 88 | 0 00 | 3,249 59 | 3,184 29 |
| WESTERN DIGITAL CORPORATION CMN (958102105) | 10/01/2012 | 11/13/2013 | 40 00 [9] | 2,871 94 | 0 00 | 1,525 16 | 1,346 78 |
| WHIRLPOOL CORP CMN (963320106) | 10/01/2012 | 11/13/2013 | 20 00 [9] | 2,857 35 | 0 00 | 1,651 03 | 1,206 32 |

[4] Basis may have been increased by accruals of market discount and/or original issue discount or decreased by premium amortization This increase or decrease of basis assumes the investor has elected to include market discount in income currently and/or amortize premium currently You should consult with your own tax advisor to determine your correct basis

[5] Sale Proceeds may have been adjusted by an option premium due to an option assignment

[9] This position is a gifted security

| Tax Year | Account No | Legal Name |
|---|---|---|
| 2013 | 7389 | MICHAEL AND KIM WARD |

EIN: 27-6692318

# REALIZED GAINS AND LOSSES (Continued)

*Supplemental Information - Consult your Form 1099 for tax reporting purposes*

## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Long-Term Gains (Losses)** | | | | | | | |
| NYSE EURONEXT CMN (629491101) | 10/01/2012 | 11/15/2013 | 80 00 [9] | 901 60 | 0 00 | 0 00 | 901 60 |
| INTRCONTINENTALEXCHANGE GP INC CMN (45866F104) | 10/01/2012 | 11/18/2013 | 13 00 [9] | 2,637 91 | 0 00 | 1,900 08 | 737 83 |
| **Net Covered Long-Term Gains (Losses)** | | | | **1,152,069.19** | **0.00** | **959,008.50** | **193,060.69** |

[4] Basis may have been increased by accruals of market discount and/or original issue discount or decreased by premium amortization This increase or decrease of basis assumes the investor has elected to include market discount in income currently and/or amortize premium currently You should consult with your own tax advisor to determine your correct basis

[5] Sale Proceeds may have been adjusted by an option premium due to an option assignment

[9] This position is a gifted security

## REALIZED GAIN AND LOSS SUMMARY

| SHORT-TERM GAINS (LOSSES) | | LONG-TERM GAINS (LOSSES) | | ORDINARY GAINS (LOSSES) | |
|---|---|---|---|---|---|
| Net Covered Short-Term Gains (Losses) | (6,301 21) | Net Covered Long-Term Gains (Losses) | 109,835 03 | Net Ordinary Gains (Losses) | 0 00 |
| Net NonCovered Short-Term Gains (Losses) | 0 00 | Net NonCovered Long-Term Gains (Losses) | 10,964 62 | | |
| Net 1099B Non Reportable Short-Term Gains (Losses) | 0 00 | Net 1099B Non Reportable Long-Term Gains (Losses) | 0 00 | | |
| Net Miscellaneous Short-Term Gains (Losses) | 0 00 | Net Miscellaneous Long-Term Gains (Losses) | 0 00 | Net Miscellaneous Ordinary Gains (Losses) | 0 00 |
| Net Regulated Futures Contract Short-Term Gains (Losses) | 0 00 | Net Regulated Futures Contract Long-Term Gains (Losses) | 0 00 | | |
| **Total Short-Term Gains (Losses)** | **(6,301 21)** | **Total Long-Term Gains (Losses)** | **120,799 65** | **Total Ordinary Gains (Losses)** | **0 00** |

## SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Short-Term Gains (Losses)** | | | | | | | |
| VERIFONE SYSTEMS INC CMN (92342Y109) | 01/11/2013 | 02/21/2013 | 25 00 | 463 47 | 0 00 | 1,214 10 | (750 63) |
| VERIFONE SYSTEMS INC CMN (92342Y109) | 01/25/2013 | 02/21/2013 | 50 00 | 903 93 | 0 00 | 1,800 56 | (896 63) |
| VERIFONE SYSTEMS INC CMN (92342Y109) Disallowed Loss | | | | | | | 896 63 |
| VERIFONE SYSTEMS INC CMN (92342Y109) | 01/30/2013 | 02/21/2013 | 50 00 | 903 93 | 0 00 | 1,726 91 | (822 98) |
| VERIFONE SYSTEMS INC CMN (92342Y109) Disallowed Loss | | | | | | | 822 98 |
| VERIFONE SYSTEMS INC CMN (92342Y109) | 01/11/2013 | 02/21/2013 | 50 00 | 926 94 | 0 00 | 2,401 16 | (1,474 22) |
| VERIFONE SYSTEMS INC CMN (92342Y109) | 01/25/2013 | 02/21/2013 | 50 00 | 926 94 | 0 00 | 2,538 64 | (1,611 70) |
| VERIFONE SYSTEMS INC CMN (92342Y109) | 01/30/2013 | 02/21/2013 | 50 00 | 926 94 | 0 00 | 2,464 99 | (1,538 05) |
| VERIFONE SYSTEMS INC CMN (92342Y109) | 01/11/2013 | 02/21/2013 | 75 00 | 1,355 89 | 0 00 | 2,367 27 | (1,011 38) |
| VERIFONE SYSTEMS INC CMN (92342Y109) Disallowed Loss | | | | | | | 1,011 38 |
| VERIFONE SYSTEMS INC CMN (92342Y109) | 01/14/2013 | 02/21/2013 | 75 00 | 1,355 89 | 0 00 | 2,384 54 | (1,028 65) |
| VERIFONE SYSTEMS INC CMN (92342Y109) Disallowed Loss | | | | | | | 1,028 65 |
| VERIFONE SYSTEMS INC CMN (92342Y109) | 01/14/2013 | 02/21/2013 | 75 00 | 1,390 41 | 0 00 | 3,659 57 | (2,269 16) |
| VERIFONE SYSTEMS INC CMN (92342Y109) | 01/16/2013 | 02/21/2013 | 100 00 | 1,807 86 | 0 00 | 3,159 11 | (1,351 25) |
| VERIFONE SYSTEMS INC CMN (92342Y109) Disallowed Loss | | | | | | | 1,351 25 |
| VERIFONE SYSTEMS INC CMN (92342Y109) | 01/16/2013 | 02/21/2013 | 100 00 | 1,853 87 | 0 00 | 4,661 50 | (2,807 63) |

[4] Basis may have been increased by accruals of market discount and/or original issue discount or decreased by premium amortization This increase or decrease of basis assumes the investor has elected to include market discount in income currently and/or amortize premium currently You should consult with your own tax advisor to determine your correct basis

[5] Sale Proceeds may have been adjusted by an option premium due to an option assignment

EIN: 27-6692318

# REALIZED GAINS AND LOSSES (Continued)

*Supplemental Information - Consult your Form 1099 for tax reporting purposes*

## SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Short-Term Gains (Losses)** | | | | | | | |
| TIDEWATER INC CMN (886423102) | 02/01/2013 | 08/01/2013 | 50 00 | 3,009 50 | 0 00 | 2,483 54 | 525 96 |
| SCIENCE APPLICATIONS INTL CORP CMN (808625107) | 03/14/2013 | 09/30/2013 | 0 86 | 31 56 | 0 00 | 0 00 | 31 56 |
| SCIENCE APPLICATIONS INTL CORP CMN (808625107) | 03/15/2013 | 12/10/2013 | 14 00 | 480 79 | 0 00 | 388 97 | 91 82 |
| SCIENCE APPLICATIONS INTL CORP CMN (808625107) | 03/14/2013 | 12/10/2013 | 86 00 | 2,953 42 | 0 00 | 2,316 21 | 637 21 |
| SCIENCE APPLICATIONS INTL CORP CMN (808625107) | 03/15/2013 | 12/16/2013 | 7 00 | 224 62 | 0 00 | 194 48 | 30 14 |
| SCIENCE APPLICATIONS INTL CORP CMN (808625107) | 03/21/2013 | 12/16/2013 | 14 00 | 449 24 | 0 00 | 399 88 | 49 36 |
| SCIENCE APPLICATIONS INTL CORP CMN (808625107) | 03/20/2013 | 12/16/2013 | 29 00 | 930 58 | 0 00 | 800 84 | 129 74 |
| SCIENCE APPLICATIONS INTL CORP CMN (808625107) | 03/18/2013 | 12/16/2013 | 50 00 | 1,604 45 | 0 00 | 1,377 64 | 226 81 |
| MALLINCKRODT PUBLIC LIMITED CO CMN (G5785G107) | 10/22/2013 | 12/17/2013 | 100 00 | 5,068 40 | 0 00 | 4,263 35 | 805 05 |
| SCIENCE APPLICATIONS INTL CORP CMN (808625107) | 03/21/2013 | 12/17/2013 | 14 00 | 450 41 | 0 00 | 399 88 | 50 53 |
| SCIENCE APPLICATIONS INTL CORP CMN (808625107) | 04/22/2013 | 12/17/2013 | 14 00 | 450 41 | 0 00 | 443 50 | 6 91 |
| SCIENCE APPLICATIONS INTL CORP CMN (808625107) | 06/05/2013 | 12/17/2013 | 14 00 | 450 41 | 0 00 | 462 30 | (11 89) |
| SCIENCE APPLICATIONS INTL CORP CMN (808625107) | 04/04/2013 | 12/17/2013 | 14 00 | 450 42 | 0 00 | 425 66 | 24 76 |
| SCIENCE APPLICATIONS INTL CORP CMN (808625107) | 06/12/2013 | 12/17/2013 | 15 00 | 482 59 | 0 00 | 441 48 | 41 11 |
| SCIENCE APPLICATIONS INTL CORP CMN (808625107) | 05/09/2013 | 12/17/2013 | 29 00 | 933 00 | 0 00 | 943 64 | (10 64) |
| MALLINCKRODT PUBLIC LIMITED CO CMN (G5785G107) | 10/23/2013 | 12/18/2013 | 100 00 | 5,090 26 | 0 00 | 4,337 69 | 752 57 |
| SCIENCE APPLICATIONS INTL CORP CMN (808625107) | 06/12/2013 | 12/19/2013 | 14 00 | 433 23 | 0 00 | 412 05 | 21 18 |
| SCIENCE APPLICATIONS INTL CORP CMN (808625107) | 07/09/2013 | 12/19/2013 | 28 00 | 866 47 | 0 00 | 887 71 | (21 24) |
| SCIENCE APPLICATIONS INTL CORP CMN (808625107) | 07/05/2013 | 12/19/2013 | 29 00 | 897 41 | 0 00 | 874 73 | 22 68 |
| SCIENCE APPLICATIONS INTL CORP CMN (808625107) | 07/15/2013 | 12/19/2013 | 29 00 | 897 42 | 0 00 | 897 96 | (0 54) |
| SCIENCE APPLICATIONS INTL CORP CMN (808625107) | 07/15/2013 | 12/23/2013 | 14 00 | 446 55 | 0 00 | 433 50 | 13 05 |
| SCIENCE APPLICATIONS INTL CORP CMN (808625107) | 09/04/2013 | 12/23/2013 | 15 00 | 478 44 | 0 00 | 465 10 | 13 34 |
| SCIENCE APPLICATIONS INTL CORP CMN (808625107) | 07/16/2013 | 12/23/2013 | 28 00 | 893 09 | 0 00 | 882 39 | 10 70 |
| SCIENCE APPLICATIONS INTL CORP CMN (808625107) | 07/24/2013 | 12/23/2013 | 43 00 | 1,371 53 | 0 00 | 1,394 33 | (22 80) |
| SCIENCE APPLICATIONS INTL CORP CMN (808625107) | 09/04/2013 | 12/24/2013 | 14 00 | 439 66 | 0 00 | 434 10 | 5 56 |

[4] Basis may have been increased by accruals of market discount and/or original issue discount or decreased by premium amortization This increase or decrease of basis assumes the investor has elected to include market discount in income currently and/or amortize premium currently You should consult with your own tax advisor to determine your correct basis

[5] Sale Proceeds may have been adjusted by an option premium due to an option assignment



Goldman Sachs

## SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Short-Term Gains (Losses)** | | | | | | | |
| SCIENCE APPLICATIONS INTL CORP CMN (808625107) | 09/10/2013 | 12/24/2013 | 28 00 | 879 31 | 0 00 | 907 76 | (28 45) |
| MALLINCKRODT PUBLIC LIMITED CO CMN (G5785G107) | 11/05/2013 | 12/30/2013 | 100 00 | 5,204 96 | 0 00 | 4,449 26 | 755 70 |
| **Net Covered Short-Term Disallowed Losses** | | | | | | | **5,110.89** |
| **Net Covered Short-Term Gains (Losses)** | | | | **48,684.20** | **0.00** | **60,096.30** | **(6,301.21)** |

## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Long-Term Gains (Losses)** | | | | | | | |
| GENERAL MOTORS COMPANY CMN (37045V100) | 11/07/2011 | 01/11/2013 | 200 00 | 6,065 86 | 0 00 | 4,800 40 | 1,265 46 |
| PERKINELMER INC CMN (714046109) | 08/17/2011 | 01/11/2013 | 100 00 | 3,441 92 | 0 00 | 2,253 12 | 1,188 80 |
| PERKINELMER INC CMN (714046109) | 08/18/2011 | 01/11/2013 | 100 00 | 3,446 06 | 0 00 | 2,119 50 | 1,326 56 |
| PERKINELMER INC CMN (714046109) | 08/17/2011 | 01/11/2013 | 100 00 | 3,446 06 | 0 00 | 2,253 12 | 1,192 94 |
| HANESBRANDS INC CMN (410345102) | 03/30/2011 | 01/14/2013 | 50 00 | 1,849 53 | 0 00 | 1,370 13 | 479 40 |
| HANESBRANDS INC CMN (410345102) | 08/04/2011 | 01/14/2013 | 150 00 | 5,548 58 | 0 00 | 4,092 81 | 1,455 77 |
| PERKINELMER INC CMN (714046109) | 08/18/2011 | 01/16/2013 | 100 00 | 3,404 62 | 0 00 | 2,119 50 | 1,285 12 |
| CABOT MICROELECTRONICS CORP CMN (12709P103) | 07/27/2011 | 01/17/2013 | 100 00 | 3,603 94 | 0 00 | 4,011 82 | (407 88) |
| PERKINELMER INC CMN (714046109) | 08/22/2011 | 01/17/2013 | 150 00 | 5,170 78 | 0 00 | 3,164 36 | 2,006 42 |
| PERKINELMER INC CMN (714046109) | 08/22/2011 | 01/18/2013 | 50 00 | 1,754 70 | 0 00 | 1,054 79 | 699 91 |
| PERKINELMER INC CMN (714046109) | 10/26/2011 | 01/18/2013 | 100 00 | 3,509 39 | 0 00 | 1,944 72 | 1,564 67 |
| CABOT MICROELECTRONICS CORP CMN (12709P103) | 07/27/2011 | 01/22/2013 | 100 00 | 3,653 65 | 0 00 | 4,011 82 | (358 17) |
| PERKINELMER INC CMN (714046109) | 10/26/2011 | 01/22/2013 | 100 00 | 3,512 07 | 0 00 | 1,944 72 | 1,567 35 |
| GENERAL MOTORS COMPANY CMN (37045V100) | 11/08/2011 | 02/05/2013 | 50 00 | 1,423 00 | 0 00 | 1,238 40 | 184 60 |
| GENERAL MOTORS COMPANY CMN (37045V100) | 11/08/2011 | 02/05/2013 | 100 00 | 2,845 98 | 0 00 | 2,503 30 | 342 68 |
| GENERAL MOTORS COMPANY CMN (37045V100) | 11/07/2011 | 02/05/2013 | 200 00 | 5,691 97 | 0 00 | 4,782 02 | 909 95 |

[4] Basis may have been increased by accruals of market discount and/or original issue discount or decreased by premium amortization This increase or decrease of basis assumes the investor has elected to include market discount in income currently and/or amortize premium currently You should consult with your own tax advisor to determine your correct basis

[5] Sale Proceeds may have been adjusted by an option premium due to an option assignment

## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds[5] | Total accretion (Amortization) | Cost Basis[4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Long-Term Gains (Losses)** | | | | | | | |
| HANESBRANDS INC CMN (410345102) | 08/04/2011 | 02/11/2013 | 100 00 | 4,037 33 | 0 00 | 2,728 54 | 1,308 79 |
| CABOT MICROELECTRONICS CORP CMN (12709P103) | 07/27/2011 | 02/12/2013 | 100 00 | 3,587 40 | 0 00 | 4,011 82 | (424 42) |
| JOHNSON & JOHNSON CMN (478160104) | 01/18/2011 | 02/12/2013 | 100 00 | 7,577 93 | 0 00 | 6,231 90 | 1,346 03 |
| JOHNSON & JOHNSON CMN (478160104) | 01/25/2011 | 02/14/2013 | 50 00 | 3,797 85 | 0 00 | 3,048 31 | 749 54 |
| HANESBRANDS INC CMN (410345102) | 08/04/2011 | 02/15/2013 | 100 00 | 4,000 89 | 0 00 | 2,728 54 | 1,272 35 |
| JOHNSON & JOHNSON CMN (478160104) | 01/25/2011 | 02/15/2013 | 50 00 | 3,787 46 | 0 00 | 3,048 31 | 739 15 |
| JOHNSON & JOHNSON CMN (478160104) | 01/25/2011 | 02/15/2013 | 50 00 | 3,787 46 | 0 00 | 3,044 03 | 743 43 |
| PERKINELMER INC CMN (714046109) | 11/07/2011 | 03/14/2013 | 100 00 | 3,527 45 | 0 00 | 2,001 78 | 1,525 67 |
| PERKINELMER INC CMN (714046109) | 11/10/2011 | 03/14/2013 | 100 00 | 3,527 45 | 0 00 | 1,957 21 | 1,570 24 |
| BAXTER INTERNATIONAL INC CMN (071813109) | 01/28/2011 | 03/19/2013 | 100 00 | 6,880 50 | 0 00 | 4,946 41 | 1,934 09 |
| CABOT MICROELECTRONICS CORP CMN (12709P103) | 07/27/2011 | 03/20/2013 | 50 00 | 1,699 44 | 0 00 | 1,973 96 | (274 52) |
| CABOT MICROELECTRONICS CORP CMN (12709P103) | 07/27/2011 | 03/25/2013 | 50 00 | 1,766 74 | 0 00 | 1,973 96 | (207 22) |
| HANESBRANDS INC CMN (410345102) | 08/04/2011 | 03/25/2013 | 50 00 | 2,187 56 | 0 00 | 1,364 27 | 823 29 |
| HANESBRANDS INC CMN (410345102) | 08/08/2011 | 04/04/2013 | 150 00 | 6,763 79 | 0 00 | 4,018 34 | 2,745 45 |
| CABOT MICROELECTRONICS CORP CMN (12709P103) | 07/29/2011 | 04/11/2013 | 100 00 | 3,308 31 | 0 00 | 3,877 83 | (569 52) |
| HANESBRANDS INC CMN (410345102) | 08/08/2011 | 04/11/2013 | 50 00 | 2,462 79 | 0 00 | 1,339 45 | 1,123 34 |
| GENERAL MOTORS COMPANY CMN (37045V100) | 11/08/2011 | 04/15/2013 | 100 00 | 2,894 10 | 0 00 | 2,476 79 | 417 31 |
| PERKINELMER INC CMN (714046109) | 11/21/2011 | 04/16/2013 | 100 00 | 3,439 17 | 0 00 | 1,831 22 | 1,607 95 |
| HANESBRANDS INC CMN (410345102) | 08/08/2011 | 04/17/2013 | 100 00 | 4,605 10 | 0 00 | 2,678 89 | 1,926 21 |
| TIDEWATER INC CMN (886423102) | 07/19/2011 | 04/17/2013 | 100 00 | 4,805 59 | 0 00 | 5,425 40 | (619 81) |
| GENERAL MOTORS COMPANY CMN (37045V100) | 11/08/2011 | 04/18/2013 | 50 00 | 1,449 92 | 0 00 | 1,238 40 | 211 52 |
| GENERAL MOTORS COMPANY CMN (37045V100) | 11/09/2011 | 04/18/2013 | 50 00 | 1,449 92 | 0 00 | 1,147 15 | 302 77 |
| HANESBRANDS INC CMN (410345102) | 08/10/2011 | 04/24/2013 | 100 00 | 4,853 48 | 0 00 | 2,596 17 | 2,257 31 |
| GENERAL MOTORS COMPANY CMN (37045V100) | 11/11/2011 | 04/30/2013 | 50 00 | 1,539 26 | 0 00 | 1,141 01 | 398 25 |
| GENERAL MOTORS COMPANY CMN (37045V100) | 11/09/2011 | 04/30/2013 | 50 00 | 1,539 26 | 0 00 | 1,147 15 | 392 11 |

[4] Basis may have been increased by accruals of market discount and/or original issue discount or decreased by premium amortization This increase or decrease of basis assumes the investor has elected to include market discount in income currently and/or amortize premium currently You should consult with your own tax advisor to determine your correct basis

[5] Sale Proceeds may have been adjusted by an option premium due to an option assignment

## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Long-Term Gains (Losses)** | | | | | | | |
| MICROSOFT CORPORATION CMN (594918104) | 04/26/2011 | 05/06/2013 | 100 00 | 3,370 42 | 0 00 | 2,690 79 | 679 63 |
| LENDER PROCESSING SERVICES, IN CMN (52602E102) | 07/07/2011 | 05/08/2013 | 100 00 | 2,831 21 | 0 00 | 1,984 53 | 846 68 |
| LENDER PROCESSING SERVICES, IN CMN (52602E102) | 07/08/2011 | 05/08/2013 | 100 00 | 2,831 21 | 0 00 | 2,026 46 | 804 75 |
| GENERAL MOTORS COMPANY CMN (37045V100) | 11/11/2011 | 05/15/2013 | 100 00 | 3,232 96 | 0 00 | 2,282 02 | 950 94 |
| HANESBRANDS INC CMN (410345102) | 12/14/2011 | 05/16/2013 | 100 00 | 5,097 44 | 0 00 | 2,256 63 | 2,840 81 |
| LENDER PROCESSING SERVICES, IN CMN (52602E102) | 07/19/2011 | 05/17/2013 | 100 00 | 2,942 76 | 0 00 | 1,990 00 | 952 76 |
| TIDEWATER INC CMN (886423102) | 07/19/2011 | 05/20/2013 | 100 00 | 5,732 60 | 0 00 | 5,425 40 | 307 20 |
| MICROSOFT CORPORATION CMN (594918104) | 04/26/2011 | 05/21/2013 | 100 00 | 3,501 41 | 0 00 | 2,678 60 | 822 81 |
| JOHNSON & JOHNSON CMN (478160104) | 01/26/2011 | 05/22/2013 | 50 00 | 4,446 88 | 0 00 | 3,046 95 | 1,399 93 |
| JOHNSON & JOHNSON CMN (478160104) | 01/25/2011 | 05/22/2013 | 50 00 | 4,446 88 | 0 00 | 3,044 03 | 1,402 85 |
| LENDER PROCESSING SERVICES, IN CMN (52602E102) | 07/19/2011 | 05/23/2013 | 200 00 | 6,554 28 | 0 00 | 3,980 00 | 2,574 28 |
| LENDER PROCESSING SERVICES, IN CMN (52602E102) | 07/19/2011 | 05/28/2013 | 100 00 | 3,352 08 | 0 00 | 1,990 00 | 1,362 08 |
| LENDER PROCESSING SERVICES, IN CMN (52602E102) | 07/19/2011 | 05/29/2013 | 100 00 | 3,313 77 | 0 00 | 1,990 00 | 1,323 77 |
| BAXTER INTERNATIONAL INC CMN (071813109) | 07/19/2011 | 06/05/2013 | 100 00 | 6,928 25 | 0 00 | 6,064 00 | 864 25 |
| LENDER PROCESSING SERVICES, IN CMN (52602E102) | 07/29/2011 | 06/05/2013 | 100 00 | 3,303 05 | 0 00 | 1,890 70 | 1,412 35 |
| LENDER PROCESSING SERVICES, IN CMN (52602E102) | 01/20/2012 | 06/05/2013 | 100 00 | 3,303 05 | 0 00 | 1,510 23 | 1,792 82 |
| LENDER PROCESSING SERVICES, IN CMN (52602E102) | 11/22/2011 | 06/05/2013 | 200 00 | 6,606 11 | 0 00 | 3,447 60 | 3,158 51 |
| TIDEWATER INC CMN (886423102) | 07/19/2011 | 06/12/2013 | 100 00 | 5,608 81 | 0 00 | 5,425 40 | 183 41 |
| HANESBRANDS INC CMN (410345102) | 12/14/2011 | 06/21/2013 | 100 00 | 4,935 19 | 0 00 | 2,256 63 | 2,678 56 |
| HANESBRANDS INC CMN (410345102) | 02/16/2012 | 06/24/2013 | 100 00 | 4,983 75 | 0 00 | 2,723 15 | 2,260 60 |
| JOHNSON & JOHNSON CMN (478160104) | 01/26/2011 | 06/25/2013 | 50 00 | 4,255 11 | 0 00 | 3,046 95 | 1,208 16 |
| TIDEWATER INC CMN (886423102) | 07/19/2011 | 07/08/2013 | 100 00 | 5,756 77 | 0 00 | 5,425 40 | 331 37 |
| GENERAL MOTORS COMPANY CMN (37045V100) | 11/11/2011 | 07/24/2013 | 50 00 | 1,863 78 | 0 00 | 1,141 01 | 722 77 |
| GENERAL MOTORS COMPANY CMN (37045V100) | 11/16/2011 | 07/24/2013 | 50 00 | 1,863 79 | 0 00 | 1,160 67 | 703 12 |
| HANESBRANDS INC CMN (410345102) | 02/16/2012 | 07/24/2013 | 200 00 | 11,650 01 | 0 00 | 5,323 06 | 6,326 95 |

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[5] Sale Proceeds may have been adjusted by an option premium due to an option assignment

# REALIZED GAINS AND LOSSES (Continued)

*Supplemental Information - Consult your Form 1099 for tax reporting purposes*

## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Long-Term Gains (Losses)** | | | | | | | |
| JOHNSON & JOHNSON CMN (478160104) | 07/19/2011 | 07/24/2013 | 100 00 | 9,213 25 | 0 00 | 6,639 81 | 2,573 44 |
| TIDEWATER INC CMN (886423102) | 07/19/2011 | 08/01/2013 | 100 00 | 6,019 00 | 0 00 | 5,425 40 | 593 60 |
| GENERAL MOTORS COMPANY CMN (37045V100) | 11/16/2011 | 08/05/2013 | 100 00 | 3,680 94 | 0 00 | 2,321 33 | 1,359 61 |
| JOHNSON & JOHNSON CMN (478160104) | 07/19/2011 | 08/08/2013 | 100 00 | 9,298 79 | 0 00 | 6,639 81 | 2,658 98 |
| JOHNSON & JOHNSON CMN (478160104) | 07/19/2011 | 08/12/2013 | 100 00 | 9,215 87 | 0 00 | 6,638 00 | 2,577 87 |
| JOHNSON & JOHNSON CMN (478160104) | 07/19/2011 | 08/13/2013 | 100 00 | 9,234 04 | 0 00 | 6,638 00 | 2,596 04 |
| BAXTER INTERNATIONAL INC CMN (071813109) | 07/19/2011 | 08/15/2013 | 50 00 | 3,604 05 | 0 00 | 3,032 00 | 572 05 |
| BAXTER INTERNATIONAL INC CMN (071813109) | 07/19/2011 | 08/15/2013 | 50 00 | 3,630 99 | 0 00 | 3,032 00 | 598 99 |
| BAXTER INTERNATIONAL INC CMN (071813109) | 07/27/2011 | 08/15/2013 | 50 00 | 3,630 99 | 0 00 | 2,973 59 | 657 40 |
| BAXTER INTERNATIONAL INC CMN (071813109) | 07/27/2011 | 08/26/2013 | 100 00 | 7,206 31 | 0 00 | 5,947 17 | 1,259 14 |
| VCA ANTECH, INC CMN (918194101) | 02/24/2011 | 08/26/2013 | 100 00 | 2,867 20 | 0 00 | 2,478 01 | 389 19 |
| BAXTER INTERNATIONAL INC CMN (071813109) | 12/14/2011 | 08/27/2013 | 50 00 | 3,533 08 | 0 00 | 2,425 89 | 1,107 19 |
| BAXTER INTERNATIONAL INC CMN (071813109) | 07/27/2011 | 08/27/2013 | 50 00 | 3,533 09 | 0 00 | 2,973 59 | 559 50 |
| BAXTER INTERNATIONAL INC CMN (071813109) | 05/01/2012 | 08/28/2013 | 50 00 | 3,532 60 | 0 00 | 2,793 28 | 739 32 |
| BAXTER INTERNATIONAL INC CMN (071813109) | 12/14/2011 | 08/28/2013 | 50 00 | 3,532 60 | 0 00 | 2,425 89 | 1,106 71 |
| BAXTER INTERNATIONAL INC CMN (071813109) | 05/01/2012 | 08/29/2013 | 50 00 | 3,508 00 | 0 00 | 2,793 28 | 714 72 |
| VCA ANTECH, INC CMN (918194101) | 02/25/2011 | 09/11/2013 | 100 00 | 2,818 76 | 0 00 | 2,502 73 | 316 03 |
| EXELIS INC CMN (30162A108) | 02/03/2012 | 09/20/2013 | 250 00 | 3,972 14 | 0 00 | 2,529 53 | 1,442 61 |
| BABCOCK & WILCOX COMPANY (THE) CMN (05615F102) | 03/15/2011 | 09/24/2013 | 200 00 | 6,759 50 | 0 00 | 5,939 10 | 820 40 |
| EXELIS INC CMN (30162A108) | 02/03/2012 | 09/24/2013 | 50 00 | 789 85 | 0 00 | 505 91 | 283 94 |
| EXELIS INC CMN (30162A108) | 02/06/2012 | 09/24/2013 | 250 00 | 3,949 23 | 0 00 | 2,507 88 | 1,441 35 |
| BABCOCK & WILCOX COMPANY (THE) CMN (05615F102) | 03/15/2011 | 09/25/2013 | 100 00 | 3,401 54 | 0 00 | 3,161 31 | 240 23 |
| EXELIS INC CMN (30162A108) | 02/06/2012 | 09/25/2013 | 50 00 | 799 09 | 0 00 | 501 58 | 297 51 |
| EXELIS INC CMN (30162A108) | 02/07/2012 | 09/25/2013 | 150 00 | 2,397 26 | 0 00 | 1,500 93 | 896 33 |
| BABCOCK & WILCOX COMPANY (THE) CMN (05615F102) | 03/15/2011 | 09/26/2013 | 100 00 | 3,404 56 | 0 00 | 3,192 58 | 211 98 |

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[5] Sale Proceeds may have been adjusted by an option premium due to an option assignment

## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Long-Term Gains (Losses)** | | | | | | | |
| EXELIS INC CMN (30162A108) | 02/07/2012 | 10/02/2013 | 50 00 | 799 82 | 0 00 | 500 31 | 299 51 |
| EXELIS INC CMN (30162A108) | 02/09/2012 | 10/02/2013 | 50 00 | 800 28 | 0 00 | 504 68 | 295 60 |
| EXELIS INC CMN (30162A108) | 02/08/2012 | 10/02/2013 | 150 00 | 2,399 45 | 0 00 | 1,501 94 | 897 51 |
| EXELIS INC CMN (30162A108) | 02/08/2012 | 10/02/2013 | 150 00 | 2,400 83 | 0 00 | 1,501 94 | 898 89 |
| VCA ANTECH, INC CMN (918194101) | 03/17/2011 | 10/10/2013 | 100 00 | 2,747 65 | 0 00 | 2,431 59 | 316 06 |
| VCA ANTECH, INC CMN (918194101) | 03/16/2011 | 10/10/2013 | 100 00 | 2,747 65 | 0 00 | 2,450 38 | 297 27 |
| VCA ANTECH, INC CMN (918194101) | 03/17/2011 | 10/21/2013 | 100 00 | 2,750 44 | 0 00 | 2,431 59 | 318 85 |
| WPX ENERGY, INC CMN (98212B103) | 05/17/2012 | 10/21/2013 | 100 00 | 2,243 99 | 0 00 | 1,587 59 | 656 40 |
| EXELIS INC CMN (30162A108) | 02/09/2012 | 10/22/2013 | 100 00 | 1,607 83 | 0 00 | 1,009 36 | 598 47 |
| WPX ENERGY, INC CMN (98212B103) | 05/17/2012 | 10/22/2013 | 100 00 | 2,264 66 | 0 00 | 1,587 59 | 677 07 |
| LIVE NATION ENTERTAINMENT INC CMN (538034109) | 03/01/2011 | 10/23/2013 | 100 00 | 1,919 54 | 0 00 | 1,100 50 | 819 04 |
| LIVE NATION ENTERTAINMENT INC CMN (538034109) | 02/08/2011 | 10/23/2013 | 100 00 | 1,919 54 | 0 00 | 1,088 63 | 830 91 |
| LIVE NATION ENTERTAINMENT INC CMN (538034109) | 02/28/2011 | 10/23/2013 | 100 00 | 1,919 54 | 0 00 | 1,064 62 | 854 92 |
| WPX ENERGY, INC CMN (98212B103) | 05/17/2012 | 10/24/2013 | 100 00 | 2,227 45 | 0 00 | 1,587 59 | 639 86 |
| WPX ENERGY, INC CMN (98212B103) | 05/31/2012 | 10/24/2013 | 100 00 | 2,227 45 | 0 00 | 1,468 59 | 758 86 |
| BILL BARRETT CORPORATION CMN (06846N104) | 08/05/2011 | 11/04/2013 | 100 00 | 3,033 28 | 0 00 | 4,720 25 | (1,686 97) |
| BILL BARRETT CORPORATION CMN (06846N104) | 01/07/2011 | 11/04/2013 | 100 00 | 3,033 28 | 0 00 | 3,782 91 | (749 63) |
| WPX ENERGY, INC CMN (98212B103) | 05/31/2012 | 11/04/2013 | 100 00 | 2,228 75 | 0 00 | 1,468 59 | 760 16 |
| BILL BARRETT CORPORATION CMN (06846N104) | 08/05/2011 | 11/05/2013 | 100 00 | 2,995 26 | 0 00 | 4,720 25 | (1,724 99) |
| BILL BARRETT CORPORATION CMN (06846N104) | 08/05/2011 | 11/06/2013 | 100 00 | 2,929 34 | 0 00 | 4,720 25 | (1,790 91) |
| WPX ENERGY, INC CMN (98212B103) | 06/05/2012 | 11/06/2013 | 100 00 | 2,154 07 | 0 00 | 1,423 53 | 730 54 |
| EXELIS INC CMN (30162A108) | 02/09/2012 | 11/07/2013 | 50 00 | 828 89 | 0 00 | 504 68 | 324 21 |
| EXELIS INC CMN (30162A108) | 02/14/2012 | 11/07/2013 | 250 00 | 4,144 43 | 0 00 | 2,578 90 | 1,565 53 |
| BILL BARRETT CORPORATION CMN (06846N104) | 09/30/2011 | 11/08/2013 | 200 00 | 5,676 22 | 0 00 | 7,337 26 | (1,661 04) |
| BILL BARRETT CORPORATION CMN (06846N104) | 12/09/2011 | 11/11/2013 | 100 00 | 2,879 64 | 0 00 | 3,652 77 | (773 13) |

[4] Basis may have been increased by accruals of market discount and/or original issue discount or decreased by premium amortization This increase or decrease of basis assumes the investor has elected to include market discount in income currently and/or amortize premium currently You should consult with your own tax advisor to determine your correct basis

[5] Sale Proceeds may have been adjusted by an option premium due to an option assignment



Goldman Sachs

## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Long-Term Gains (Losses)** | | | | | | | |
| BILL BARRETT CORPORATION CMN (06846N104) | 01/11/2012 | 11/13/2013 | 50 00 | 1,430 28 | 0 00 | 1,609 42 | (179 14) |
| BILL BARRETT CORPORATION CMN (06846N104) | 12/15/2011 | 11/13/2013 | 100 00 | 2,860 56 | 0 00 | 3,290 93 | (430 37) |
| BILL BARRETT CORPORATION CMN (06846N104) | 01/11/2012 | 11/14/2013 | 50 00 | 1,429 43 | 0 00 | 1,609 42 | (179 99) |
| BILL BARRETT CORPORATION CMN (06846N104) | 01/25/2012 | 11/14/2013 | 50 00 | 1,429 44 | 0 00 | 1,417 85 | 11 59 |
| BILL BARRETT CORPORATION CMN (06846N104) | 01/25/2012 | 11/15/2013 | 100 00 | 2,844 49 | 0 00 | 2,835 69 | 8 80 |
| BILL BARRETT CORPORATION CMN (06846N104) | 01/26/2012 | 11/19/2013 | 50 00 | 1,351 77 | 0 00 | 1,404 35 | (52 58) |
| BILL BARRETT CORPORATION CMN (06846N104) | 01/25/2012 | 11/19/2013 | 50 00 | 1,351 77 | 0 00 | 1,417 85 | (66 08) |
| BILL BARRETT CORPORATION CMN (06846N104) | 01/26/2012 | 11/20/2013 | 50 00 | 1,343 50 | 0 00 | 1,404 35 | (60 85) |
| BILL BARRETT CORPORATION CMN (06846N104) | 05/03/2012 | 11/20/2013 | 100 00 | 2,687 00 | 0 00 | 2,358 17 | 328 83 |
| EXELIS INC CMN (30162A108) | 02/14/2012 | 12/06/2013 | 50 00 | 864 37 | 0 00 | 515 78 | 348 59 |
| EXELIS INC CMN (30162A108) | 02/15/2012 | 12/06/2013 | 50 00 | 864 37 | 0 00 | 513 11 | 351 26 |
| EXELIS INC CMN (30162A108) | 02/15/2012 | 12/17/2013 | 200 00 | 3,697 25 | 0 00 | 2,052 44 | 1,644 81 |
| EXELIS INC CMN (30162A108) | 02/15/2012 | 12/20/2013 | 200 00 | 3,759 19 | 0 00 | 2,052 44 | 1,706 75 |
| EXELIS INC CMN (30162A108) | 03/07/2012 | 12/24/2013 | 50 00 | 947 72 | 0 00 | 574 54 | 373 18 |
| EXELIS INC CMN (30162A108) | 02/15/2012 | 12/24/2013 | 50 00 | 947 72 | 0 00 | 513 11 | 434 61 |
| EXELIS INC CMN (30162A108) | 03/07/2012 | 12/26/2013 | 100 00 | 1,920 43 | 0 00 | 1,149 08 | 771 35 |
| EXELIS INC CMN (30162A108) | 03/07/2012 | 12/27/2013 | 100 00 | 1,891 98 | 0 00 | 1,149 08 | 742 90 |
| **Net Covered Long-Term Gains (Losses)** | | | | **466,389.11** | **0.00** | **356,554.08** | **109,835.03** |
| **NonCovered Long-Term Gains (Losses)** | | | | | | | |
| BAXTER INTERNATIONAL INC CMN (071813109) | 11/09/2010 | 02/08/2013 | 100 00 | 6,895 84 | 0 00 | 5,185 76 | 1,710 08 |
| GENERAL ELECTRIC CO CMN (369604103) | 11/09/2010 | 02/08/2013 | 400 00 | 9,001 31 | 0 00 | 6,670 24 | 2,331 07 |
| VCA ANTECH, INC CMN (918194101) | 11/15/2010 | 02/11/2013 | 100 00 | 2,234 97 | 0 00 | 2,240 56 | (5 59) |
| VCA ANTECH, INC CMN (918194101) | 11/19/2010 | 02/11/2013 | 200 00 | 4,469 93 | 0 00 | 4,429 32 | 40 61 |
| BAXTER INTERNATIONAL INC CMN (071813109) | 11/09/2010 | 03/08/2013 | 100 00 | 6,992 98 | 0 00 | 5,185 76 | 1,807 22 |

[4] Basis may have been increased by accruals of market discount and/or original issue discount or decreased by premium amortization This increase or decrease of basis assumes the investor has elected to include market discount in income currently and/or amortize premium currently You should consult with your own tax advisor to determine your correct basis

[5] Sale Proceeds may have been adjusted by an option premium due to an option assignment

## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **NonCovered Long-Term Gains (Losses)** | | | | | | | |
| TIDEWATER INC CMN (886423102) | 11/08/2010 | 03/14/2013 | 100 00 | 4,702 16 | 0 00 | 4,936 82 | (234 66) |
| TIDEWATER INC CMN (886423102) | 11/10/2010 | 04/04/2013 | 50 00 | 2,460 35 | 0 00 | 2,427 77 | 32 58 |
| TIDEWATER INC CMN (886423102) | 11/10/2010 | 04/11/2013 | 50 00 | 2,602 94 | 0 00 | 2,427 77 | 175 17 |
| LIVE NATION ENTERTAINMENT INC CMN (538034109) | 11/08/2010 | 04/26/2013 | 300 00 | 3,791 04 | 0 00 | 2,926 38 | 864 66 |
| LIVE NATION ENTERTAINMENT INC CMN (538034109) | 11/08/2010 | 05/08/2013 | 200 00 | 2,725 05 | 0 00 | 1,950 92 | 774 13 |
| LIVE NATION ENTERTAINMENT INC CMN (538034109) | 11/08/2010 | 07/23/2013 | 200 00 | 3,292 80 | 0 00 | 1,950 92 | 1,341 88 |
| LIVE NATION ENTERTAINMENT INC CMN (538034109) | 11/08/2010 | 08/08/2013 | 300 00 | 5,616 14 | 0 00 | 2,926 38 | 2,689 76 |
| VCA ANTECH, INC CMN (918194101) | 11/19/2010 | 08/12/2013 | 100 00 | 2,889 27 | 0 00 | 2,214 66 | 674 61 |
| LIVE NATION ENTERTAINMENT INC CMN (538034109) | 11/08/2010 | 08/13/2013 | 300 00 | 5,480 30 | 0 00 | 2,926 38 | 2,553 92 |
| LIVE NATION ENTERTAINMENT INC CMN (538034109) | 11/09/2010 | 08/20/2013 | 100 00 | 1,737 53 | 0 00 | 980 63 | 756 90 |
| LIVE NATION ENTERTAINMENT INC CMN (538034109) | 11/09/2010 | 08/21/2013 | 200 00 | 3,470 25 | 0 00 | 1,961 26 | 1,508 99 |
| BILL BARRETT CORPORATION CMN (06846N104) | 11/08/2010 | 10/24/2013 | 100 00 | 2,703 82 | 0 00 | 3,797 58 | (1,093 76) |
| BILL BARRETT CORPORATION CMN (06846N104) | 11/09/2010 | 10/24/2013 | 100 00 | 2,703 82 | 0 00 | 3,978 55 | (1,274 73) |
| BILL BARRETT CORPORATION CMN (06846N104) | 11/09/2010 | 10/29/2013 | 100 00 | 2,884 49 | 0 00 | 3,978 55 | (1,094 06) |
| BILL BARRETT CORPORATION CMN (06846N104) | 11/15/2010 | 10/29/2013 | 100 00 | 2,884 49 | 0 00 | 3,692 00 | (807 51) |
| BILL BARRETT CORPORATION CMN (06846N104) | 12/10/2010 | 11/01/2013 | 100 00 | 3,011 49 | 0 00 | 3,913 36 | (901 87) |
| BILL BARRETT CORPORATION CMN (06846N104) | 12/10/2010 | 11/04/2013 | 100 00 | 3,028 58 | 0 00 | 3,913 36 | (884 78) |
| **Net NonCovered Long-Term Gains (Losses)** | | | | **85,579.55** | **0.00** | **74,614.93** | **10,964.62** |

[4] Basis may have been increased by accruals of market discount and/or original issue discount or decreased by premium amortization This increase or decrease of basis assumes the investor has elected to include market discount in income currently and/or amortize premium currently You should consult with your own tax advisor to determine your correct basis

[5] Sale Proceeds may have been adjusted by an option premium due to an option assignment

**Stock Transactions**
**Company:** **THE MICHAEL AND KIM WARD FOUNDATION 12/31/2013**
*GOLDMAN SACHS ACCT #5666*

| Description | Acq Date | Date | Shares Sold | Cost of Stock | Sale Price | Gain/Loss | | |
|---|---|---|---|---|---|---|---|---|
| AMGEN INC. 1.875% 11/15/2014 | 05/30/12 | 01/15/13 | 50,000.00 | $ 50,781 00 | $ 51,090 00 | $ 309 00 | ST | |
| TIME WARNER CABLE INC. 6.75% 07/01/2018 | 05/08/12 | 01/15/13 | 100,000 00 | $ 122,601.00 | $ 124,902 00 | $ 2,301 00 | ST | |
| DISCOVERY COMMUNICATIONS LLC 3.7% 06/01/2 | 05/10/12 | 08/06/13 | 50,000 00 | $ 53,565.50 | $ 52,568 50 | $ (997.00) | LT | |
| AMERICAN EXPRESS COMPANY 2.75% 09/15/2015 | 05/09/12 | 08/06/13 | 50,000.00 | $ 51,966 00 | $ 51,947 00 | $ (19.00) | LT | |
| | | | **NonCovered Short-Term** | **$ 173,382.00** | **$ 175,992.00** | **$ 2,610.00** | **ST** | |
| | | | **NonCovered Long-Term** | **$105,531.50** | **$104,515.50** | **($1,016.00)** | **LT** | $ - |
| | | | | **$ 278,913.50** | **$ 280,507.50** | **$ 1,594.00** | | $ - |

4/25/2014

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

| Kind of Property / Gross sale price less expenses of sale | Depreciation allowed/ allowable | Description / Cost or other basis | FMV as of 12/31/69 | Adj basis as of 12/31/69 | Excess of FMV over adj basis | P or D | Date acquired / Gain or (loss) | Date sold |
|---|---|---|---|---|---|---|---|---|
| | | TOTAL CAPITAL GAIN DISTRIBUTIONS | | | | | 6. | |
| | | GOLDMAN SACHS #7389<br>PROPERTY TYPE: SECURITIES | | | | P | VAR | VAR |
| 499,438. | | 500,925. | | | | | -1,487. | |
| | | GOLDMAN SACHS #7389<br>PROPERTY TYPE: SECURITIES | | | | D | VAR | VAR |
| 1,152,069. | | 959,009. | | | | | 191,702. | |
| | | GOLDMAN SACHS #8313 | | | | | VAR | VAR |
| 48,684. | | 54,985. | | | | | -6,301. | |
| | | GOLDMAN SACHS #8313<br>PROPERTY TYPE: SECURITIES | | | | P | VAR | VAR |
| 466,389. | | 356,554. | | | | | 109,835. | |
| | | GOLDMAN SACHS #8313<br>PROPERTY TYPE: SECURITIES | | | | P | VAR | VAR |
| 85,580. | | 74,615. | | | | | 10,965. | |
| | | GOLDMAN SACHS #5666 | | | | | VAR | 01/15/2013 |
| 175,992. | | 173,382. | | | | | 2,610. | |
| | | GOLDMAN SACHS #5666<br>PROPERTY TYPE: SECURITIES | | | | P | VAR | 08/06/2013 |
| 104,515. | | 105,531. | | | | | -1,016. | |
| | | GS CORPORATE CREDIT INVESTMENT FUND<br>PROPERTY TYPE: OTHER | | | | P | VAR | VAR |
| 592,257. | | 498,662. | | | | | 93,595. | |
| | | US HOUSING RECOVERY FUND OFFSHORE, LTD.<br>PROPERTY TYPE: OTHER | | | | P | 05/01/2012 | VAR |
| 177,995. | | 144,233. | | | | | 33,762. | |
| | | GOLDMAN SACHS $8313<br>PROPERTY TYPE: SECURITIES | | | | P | VAR | VAR |
| | | 25. | | | | | -25. | |
| TOTAL GAIN(LOSS) | | | | | | | 433,646. | |