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## Return of Private Foundation

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

OMB No. 1545-0052

2013

Department of the Treasury  
Internal Revenue ServiceDo not enter Social Security numbers on this form as it may be made public.  
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Open to Public Inspection

For calendar year 2013 or tax year beginning

, and ending

Name of foundation <b>THE PREUSS FAMILY FOUNDATION</b>		A Employer identification number <b>33-0229180</b>
Number and street (or P.O. box number if mail is not delivered to street address) <b>2223 AVENIDA DE LA PLAYA STE 220</b>	Room/suite	B Telephone number <b>(858) 454-0200</b>
City or town, state or province, country, and ZIP or foreign postal code <b>LA JOLLA, CA 92037</b>		C If exemption application is pending, check here <input type="checkbox"/>
G Check all that apply: <input type="checkbox"/> Initial return <input type="checkbox"/> Final return <input type="checkbox"/> Address change <input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Amended return <input type="checkbox"/> Name change		D 1. Foreign organizations, check here <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/>
H Check type of organization: <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/>
I Fair market value of all assets at end of year (from Part II, col. (c), line 16) \$ <b>272,105.</b> (Part I, column (d) must be on cash basis.)	J Accounting method: <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____	F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>

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))		(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	47,090.		N/A	
	2 Check <input type="checkbox"/> If the foundation is not required to attach Sch. B				
	3 Interest on savings and temporary cash investments				
	4 Dividends and interest from securities	1,250.	1,250.		STATEMENT 1
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	239,127.			
	b Gross sales price for all assets on line 6a	399,909.			
	7 Capital gain net income (from Part IV, line 2)		239,127.		
	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)					
11 Other income					
12 Total. Add lines 1 through 11	287,467.	240,377.			
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc	0.	0.		0.
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees STMT 2	1,568.	0.		1,568.
	b Accounting fees STMT 3	1,330.	798.		532.
	c Other professional fees STMT 4	1,482.	1,482.		0.
	17 Interest				
	18 Taxes STMT 5	6,290.	17.		135.
	19 Depreciation and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses STMT 6	3.	0.		3.
	24 Total operating and administrative expenses. Add lines 13 through 23	10,673.	2,297.		2,238.
	25 Contributions, gifts, grants paid	281,967.			281,967.
26 Total expenses and disbursements. Add lines 24 and 25	292,640.	2,297.		284,205.	
27 Subtract line 26 from line 12:					
a Excess of revenue over expenses and disbursements	-5,173.				
b Net investment income (if negative, enter -0-)		238,080.			
c Adjusted net income (if negative, enter -0-)			N/A		

Part II Balance Sheets		Beginning of year (a) Book Value	End of year	
			(b) Book Value	(c) Fair Market Value
Assets	1 Cash - non-interest-bearing	10,255.	4,134.	4,134.
	2 Savings and temporary cash investments	12,447.	70,325.	70,325.
	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			
	7 Other notes and loans receivable ▶ Less: allowance for doubtful accounts ▶			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10a Investments - U.S. and state government obligations			
	b Investments - corporate stock STMT 8	96,675.	58,876.	190,462.
	c Investments - corporate bonds STMT 9	26,121.	7,010.	6,970.
	11 Investments - land, buildings, and equipment basis ▶ Less: accumulated depreciation ▶			
	12 Investments - mortgage loans			
	13 Investments - other			
	14 Land, buildings, and equipment: basis ▶ Less: accumulated depreciation ▶			
Liabilities	15 Other assets (describe ▶ STATEMENT 10)	234.	214.	214.
	16 Total assets (to be completed by all filers - see the instructions. Also, see page 1, item 1)	145,732.	140,559.	272,105.
	17 Accounts payable and accrued expenses			
	18 Grants payable			
	19 Deferred revenue			
	20 Loans from officers, directors, trustees, and other disqualified persons			
Net Assets or Fund Balances	21 Mortgages and other notes payable			
	22 Other liabilities (describe ▶ )			
	23 Total liabilities (add lines 17 through 22)	0.	0.	
	Foundations that follow SFAS 117, check here and complete lines 24 through 26 and lines 30 and 31. ▶ <input type="checkbox"/>			
Net Assets or Fund Balances	24 Unrestricted			
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here and complete lines 27 through 31. ▶ <input checked="" type="checkbox"/>			
	27 Capital stock, trust principal, or current funds	83,845.	83,845.	
	28 Paid-in or capital surplus, or land, bldg., and equipment fund	0.	0.	
	29 Retained earnings, accumulated income, endowment, or other funds	61,887.	56,714.	
Net Assets or Fund Balances	30 Total net assets or fund balances	145,732.	140,559.	
	31 Total liabilities and net assets/fund balances	145,732.	140,559.	

## 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	145,732.
2 Enter amount from Part I, line 27a	2	-5,173.
3 Other increases not included in line 2 (itemize) ▶	3	0.
4 Add lines 1, 2, and 3	4	140,559.
5 Decreases not included in line 2 (itemize) ▶	5	0.
6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	140,559.

**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.)
<b>1a SALE OF PUBLICLY TRADED SECURITIES</b>	P	VARIOUS	12/31/13
<b>b CLASS ACTION SETTLEMENT</b>	P	VARIOUS	12/31/13
<b>c CAPITAL GAINS DIVIDENDS</b>			
<b>d</b>			
<b>e</b>			

(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)
<b>a</b> 399,195.		160,782.	238,413.
<b>b</b> 20.			20.
<b>c</b> 694.			694.
<b>d</b>			
<b>e</b>			

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(i) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
(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	
<b>a</b>			238,413.
<b>b</b>			20.
<b>c</b>			694.
<b>d</b>			
<b>e</b>			

<b>2</b> Capital gain net income or (net capital loss)	<div> <div>If gain, also enter in Part I, line 7</div> <div>If (loss), enter -0- in Part I, line 7</div> </div>	2	239,127.
<b>3</b> Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter -0- in Part I, line 8		3	N/A

**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	281,270.	165,334.	1.701223
2011	383,759.	245,506.	1.563135
2010	355,431.	542,383.	.655314
2009	334,698.	873,436.	.383197
2008	403,746.	1,197,852.	.337058

<b>2</b> Total of line 1, column (d)	2	4.639927
<b>3</b> 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	.927985
<b>4</b> Enter the net value of noncharitable-use assets for 2013 from Part X, line 5	4	128,351.
<b>5</b> Multiply line 4 by line 3	5	119,108.
<b>6</b> Enter 1% of net investment income (1% of Part I, line 27b)	6	2,381.
<b>7</b> Add lines 5 and 6	7	121,489.
<b>8</b> Enter qualifying distributions from Part XII, line 4 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.	8	284,205.

**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 <input type="checkbox"/> 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 <input checked="" type="checkbox"/> and enter 1% of Part I, line 27b		1	2,381.
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b).			
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		2	0.
3 Add lines 1 and 2		3	2,381.
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	2,381.
6 Credits/Payments:			
a 2013 estimated tax payments and 2012 overpayment credited to 2013		6a	3,360.
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	3,360.
8 Enter any penalty for underpayment of estimated tax. Check here <input type="checkbox"/> 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	979.
11 Enter the amount of line 10 to be: Credited to 2014 estimated tax <input checked="" type="checkbox"/> 979. Refunded <input checked="" type="checkbox"/> 0.		11	0.

**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?		X
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for the definition)? 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		X
c Did the foundation file Form 1120-POL for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. <input checked="" type="checkbox"/> \$ 0. (2) On foundation managers. <input checked="" type="checkbox"/> \$ 0.		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. <input checked="" type="checkbox"/> \$ 0.		
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	
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) <input checked="" type="checkbox"/> CA, DE		
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation	8b	X
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2013 or the taxable year beginning in 2013 (see instructions for Part XIV)? If "Yes," complete Part XIV	9	X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses	10	X

N/A

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

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)	11		X
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► <u>N/A</u>	13	X	
14	The books are in care of ► <u>M. AUSTIN, DIR OF FINANCE</u> Telephone no. ► <u>(858) 454-0200</u> Located at ► <u>2223 AVENIDA DE LA PLAYA, LA JOLLA, CA</u> ZIP+4 ► <u>92037-3218</u>			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here and enter the amount of tax-exempt interest received or accrued during the year ► 15 <u>N/A</u>			
16	At any time during calendar year 2013, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? See the instructions for exceptions and filing requirements for Form TD F 90-22.1. If "Yes," enter the name of the foreign country ►	16	Yes	No
				X

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

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

	Yes	No
<b>1a</b> 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?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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)?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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.)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
<b>b</b> If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? Organizations relying on a current notice regarding disaster assistance check here ► <input type="checkbox"/>	1b	X
<b>c</b> 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
<b>2</b> 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)):		
<b>a</b> At the end of tax year 2013, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2013? If "Yes," list the years ► _____ , _____ , _____	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
<b>b</b> Are there any years listed in 2a for which the foundation is <b>not</b> applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see instructions.)	N/A	2b
<b>c</b> If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. ► _____ , _____ , _____		
<b>3a</b> Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
<b>b</b> If "Yes," did it have excess business holdings in 2013 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969; (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest; or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2013.)	N/A	3b
<b>4a</b> Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a	X
<b>b</b> Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2013?	4b	X

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

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)?

☒ 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 ☐ ☒

Organizations relying on a current notice regarding disaster assistance check here

c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?

☒ Yes ☐ No

If "Yes," attach the statement required by Regulations section 53.4945-5(d).

6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?

☐ Yes ☒ No

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?

6b ☐ ☒

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

7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?

☐ Yes ☒ No

b If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction?

N/A 7b ☐ ☐**Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors**

1 List all officers, directors, trustees, foundation managers and their compensation.

(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
PETER G. PREUSS	PRESIDENT			
2223 AVENIDA DE LA PLAYA				
LA JOLLA, CA 92037	1.00	0.	0.	0.
PEGGY PREUSS	SECRETARY			
2223 AVENIDA DE LA PLAYA				
LA JOLLA, CA 92037	1.00	0.	0.	0.
PETER J. PREUSS	VICE PRESIDENT			
2223 AVENIDA DE LA PLAYA				
LA JOLLA, CA 92037	1.00	0.	0.	0.

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

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

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

0

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**Part VIII** Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors (continued)**3** Five highest-paid independent contractors for professional services. If none, enter "NONE."

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

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

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 N/A	
2	
3	
4	

**Part IX-B** Summary of Program-Related Investments

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2.

	Amount
1 N/A	
2	
All other program-related investments. See instructions.	
3	
<b>Total.</b> Add lines 1 through 3	0.

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**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	101,788.
b	Average of monthly cash balances	1b	28,518.
c	Fair market value of all other assets	1c	
d	<b>Total</b> (add lines 1a, b, and c)	1d	130,306.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	0.
2	Acquisition indebtedness applicable to line 1 assets	2	0.
3	Subtract line 2 from line 1d	3	130,306.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	1,955.
5	<b>Net value of noncharitable-use assets</b> . Subtract line 4 from line 3. Enter here and on Part V, line 4	5	128,351.
6	<b>Minimum investment return</b> . Enter 5% of line 5	6	6,418.

**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	6,418.
2a	Tax on investment income for 2013 from Part VI, line 5	2a	2,381.
b	Income tax for 2013. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	2,381.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	4,037.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	4,037.
6	Deduction from distributable amount (see instructions)	6	0.
7	<b>Distributable amount as adjusted</b> . Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	4,037.

**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	284,205.
b	Program-related investments - total from Part IX-B	1b	0.
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	<b>Qualifying distributions</b> . Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	284,205.
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	5	2,381.
6	<b>Adjusted qualifying distributions</b> . Subtract line 5 from line 4	6	281,824.

**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.

Form 990-PF (2013)

**Part XIII** Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2012	(c) 2012	(d) 2013
1 Distributable amount for 2013 from Part XI, line 7				4,037.
2 Undistributed income, if any, as of the end of 2013				
a Enter amount for 2012 only			0.	
b Total for prior years:		0.		
3 Excess distributions carryover, if any, to 2013:				
a From 2008	345,939.			
b From 2009	334,783.			
c From 2010	355,853.			
d From 2011	372,586.			
e From 2012	279,679.			
f Total of lines 3a through e	1,688,840.			
4 Qualifying distributions for 2013 from Part XII, line 4: ► \$	284,205.			
a Applied to 2012, but not more than line 2a			0.	
b Applied to undistributed income of prior years (Election required - see instructions)		0.		
c Treated as distributions out of corpus (Election required - see instructions)	0.			
d Applied to 2013 distributable amount				4,037.
e Remaining amount distributed out of corpus	280,168.			
5 Excess distributions carryover applied to 2013 (If an amount appears in column (d), the same amount must be shown in column (a))	0.			0.
6 Enter the net total of each column as indicated below:	1,969,008.			
a Corpus. Add lines 3f, 4c, and 4e. Subtract line 5				
b Prior years' undistributed income. Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b. Taxable amount - see instructions		0.		
e Undistributed income for 2012. Subtract line 4a from line 2a. Taxable amount - see instr.			0.	
f Undistributed income for 2013. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2014				0.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3)	0.			
8 Excess distributions carryover from 2008 not applied on line 5 or line 7	345,939.			
9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a	1,623,069.			
10 Analysis of line 9:				
a Excess from 2009	334,783.			
b Excess from 2010	355,853.			
c Excess from 2011	372,586.			
d Excess from 2012	279,679.			
e Excess from 2013	280,168.			

N/A

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

- 3 Subtract line 20 from line 20.  
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

### 1 Information Regarding Foundation Managers:

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

**Part XV** Supplementary Information (continued)**3 Grants and Contributions Paid During the Year or Approved for Future Payment**

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
<b>a Paid during the year</b>				
SEE STATEMENT C				281,967.
<b>Total</b>			<b>▶ 3a</b>	281,967.
<b>b Approved for future payment</b>				
NONE				
<b>Total</b>			<b>▶ 3b</b>	0.



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

- |          |  |              |  |
|----------|--|--------------|--|
| <b>1</b> | 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?  | <b>Yes</b>   |  |
|          |  |              |  |
| <b>a</b> | Transfers from the reporting foundation to a noncharitable exempt organization of:   | <b>1a(1)</b> |  |
|          |  | <b>1a(2)</b> |  |
| <b>b</b> | Other transactions:  | <b>1b(1)</b> |  |
|          |  | <b>1b(2)</b> |  |
|          | (1) Sales of assets to a noncharitable exempt organization   | <b>1b(3)</b> |  |
|          | (2) Purchases of assets from a noncharitable exempt organization   | <b>1b(4)</b> |  |
|          | (3) Rental of facilities, equipment, or other assets   | <b>1b(5)</b> |  |
|          | (4) Reimbursement arrangements   | <b>1b(6)</b> |  |
|          | (5) Loans or loan guarantees   |              |  |
|          | (6) Performance of services or membership or fundraising solicitations   |              |  |
| <b>c</b> | Sharing of facilities, equipment, mailing lists, other assets, or paid employees   | <b>1c</b>    |  |
| <b>d</b> | 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. |              |  |

	Yes	No
1a(1)		X
1a(2)		X
1b(1)		X
1b(2)		X
1b(3)		X
1b(4)		X
1b(5)		X
1b(6)		X
1c		X

[illegible]

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

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

**Sign  
Here**

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

Signature of officer or trustee

Date \_\_\_\_\_

Title

May the IRS discuss this return with the preparer shown below (see instr.)?

☒ Yes      ☐ No

**Paid  
Preparer  
Use Only**

Print/Type preparer's name

Preparer's signature

Date	
------	--

Check ☐ if self-employed

PTIN
------

MARY H. MCGROARTY

Firm's name ► LINDSAY & BROWNELL, LLP

Firm's address ► 4225 EXECUTIVE SQUARE, SUITE 1150  
LA JOLLA, CA 92037

Firm's EIN ► 33-0885895

Phone no. 858 5589200

Form **990-PF** (2013)

**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](http://www.irs.gov/form990).

OMB No 1545-0047

**2013**

Name of the organization

Employer identification number

**THE PREUSS FAMILY FOUNDATION****33-0229180**

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 foundationCheck 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).

**LHA For Paperwork Reduction Act Notice, see the Instructions for Form 990, 990-EZ, or 990-PF. Schedule B (Form 990, 990-EZ, or 990-PF) (2013)**

Name of organization	Employer identification number
<b>THE PREUSS FAMILY FOUNDATION</b>	<b>33-0229180</b>

**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
<b>1</b>	<b>PETER AND PEGGY PREUSS</b> <b>2223 AVENIDA DE LA PLAYA, SUITE 220</b> <b>LA JOLLA, CA 92037-3218</b>	\$ <b>1,568.</b>	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input checked="" type="checkbox"/> (Complete Part II for noncash contributions)
<b>2</b>	<b>PETER AND PEGGY PREUSS</b> <b>2223 AVENIDA DE LA PLAYA, SUITE 220</b> <b>LA JOLLA, CA 92037-3218</b>	\$ <b>1,793.</b>	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input checked="" type="checkbox"/> (Complete Part II for noncash contributions)
<b>3</b>	<b>PETER AND PEGGY PREUSS</b> <b>2223 AVENIDA DE LA PLAYA, SUITE 220</b> <b>LA JOLLA, CA 92037-3218</b>	\$ <b>1,598.</b>	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input checked="" type="checkbox"/> (Complete Part II for noncash contributions)
<b>4</b>	<b>PETER AND PEGGY PREUSS</b> <b>2223 AVENIDA DE LA PLAYA, SUITE 220</b> <b>LA JOLLA, CA 92037-3218</b>	\$ <b>2,033.</b>	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input checked="" type="checkbox"/> (Complete Part II for noncash contributions)
<b>5</b>	<b>PETER AND PEGGY PREUSS</b> <b>2223 AVENIDA DE LA PLAYA, SUITE 220</b> <b>LA JOLLA, CA 92037-3218</b>	\$ <b>40,098.</b>	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input checked="" type="checkbox"/> (Complete Part II for noncash contributions)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)



Name of organization	Employer identification number
THE PREUSS FAMILY FOUNDATION	33-0229180

**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
<u>1</u>	<u>1,212 SHS PALO ALTO NETWORKS, INC.</u> _____ _____ _____	\$ <u>66,981.</u>	<u>03/22/13</u>
<u>2</u>	<u>1,200 SHS PALO ALTO NETWORKS, INC.</u> _____ _____ _____	\$ <u>55,848.</u>	<u>07/11/13</u>
<u>3</u>	<u>886 SHS PALO ALTO NETWORKS, INC.</u> _____ _____ _____	\$ <u>36,583.</u>	<u>11/07/13</u>
<u>4</u>	<u>1,737 SHS PANDORA, INC.</u> _____ _____ _____	\$ <u>45,648.</u>	<u>11/07/13</u>
<u>5</u>	<u>1,375 SHS TESLA MOTORS, INC.</u> _____ _____ _____	\$ <u>192,187.</u>	<u>11/07/13</u>
	_____ _____ _____	\$ _____	

Name of organization

Employer identification number

**THE PREUSS FAMILY FOUNDATION****33-0229180**

**Part III** Exclusively religious, charitable, etc., individual contributions to section 501(c)(7), (8), or (10) organizations that total more than \$1,000 for the year. Complete columns (a) through (e) and the following line entry. For organizations completing Part III, enter the total of exclusively religious, charitable, etc., contributions of \$1,000 or less for the year. (Enter this information once) ▶ \$ \_\_\_\_\_

Use duplicate copies of Part III if additional space is needed

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
(e) Transfer of gift			
Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee	
(e) Transfer of gift			
Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee	
(e) Transfer of gift			
Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee	
(e) Transfer of gift			
Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee	

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FORM 990-PF	DIVIDENDS AND INTEREST FROM SECURITIES	STATEMENT	1
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SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
CAPITAL GAIN					
DIVIDENDS	694.	694.	0.	0.	
DIVIDEND INCOME					
CHARLES SCHWAB	1,250.	0.	1,250.	1,250.	
TO PART I, LINE 4	1,944.	694.	1,250.	1,250.	

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FORM 990-PF	LEGAL FEES	STATEMENT	2
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
LEGAL FEES	1,568.	0.		1,568.
TO FM 990-PF, PG 1, LN 16A	1,568.	0.		1,568.

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FORM 990-PF	ACCOUNTING FEES	STATEMENT	3
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ACCOUNTING FEES	1,330.	798.		532.
TO FORM 990-PF, PG 1, LN 16B	1,330.	798.		532.

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FORM 990-PF	OTHER PROFESSIONAL FEES	STATEMENT	4
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
INVESTMENT MANAGEMENT FEES	1,482.	1,482.		0.
TO FORM 990-PF, PG 1, LN 16C	1,482.	1,482.		0.

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FORM 990-PF	TAXES	STATEMENT	5
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FOREIGN TAXES	17.	17.		0.
STATE TAXES	135.	0.		135.
FEDERAL EXCISE TAX	6,138.	0.		0.
TO FORM 990-PF, PG 1, LN 18	6,290.	17.		135.

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FORM 990-PF	OTHER EXPENSES	STATEMENT	6
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
MISCELLANEOUS	3.	0.		3.
TO FORM 990-PF, PG 1, LN 23	3.	0.		3.

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	FOOTNOTES	STATEMENT	7
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## STATEMENT REGARDING ACTIVITIES

PETER PREUSS SERVES AS PRESIDENT OF THE FOUNDATION. IN THAT CAPACITY, HE IS PROVIDED OFFICE SPACE AT THE FOUNDATION TO PERFORM HIS DUTIES.

FORM 990-PF	CORPORATE STOCK	STATEMENT	8
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DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
INVESTMENT - EQUITIES, DETAILS UPON REQUEST	58,876.	190,462.
TOTAL TO FORM 990-PF, PART II, LINE 10B	58,876.	190,462.

FORM 990-PF	CORPORATE BONDS	STATEMENT	9
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DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
INVESTMENT - DOMESTIC BOND FUNDS, DETAILS UPON REQUEST	7,010.	6,970.
TOTAL TO FORM 990-PF, PART II, LINE 10C	7,010.	6,970.

FORM 990-PF	OTHER ASSETS	STATEMENT	10
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DESCRIPTION	BEGINNING OF YR BOOK VALUE	END OF YEAR BOOK VALUE	FAIR MARKET VALUE
DIVIDENDS RECEIVABLE	234.	214.	214.
TO FORM 990-PF, PART II, LINE 15	234.	214.	214.

FORM 990-PF	PART XV - LINE 1A LIST OF FOUNDATION MANAGERS	STATEMENT	11
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## NAME OF MANAGER

PETER G. PREUSS  
PEGGY PREUSS

THE PREUSS FAMILY FOUNDATION

FEIN: 33-0229180

YEAR ENDED 12/31/13

FORM 990-PF Part VII-B, 5a(4)

GRANT EXPENDITURE RESPONSIBILITY STATEMENT:

GRANTEE: THE PREUSS FOUNDATION, INC.

FEIN 33-0085513

2223 AVENIDA DE LA PLAYA, SUITE 220

LA JOLLA, CA, 92037

DATES AND AMOUNTS OF GRANTS:

PRIOR YEAR ENDED 12/31/2012

January 11, 2012	\$20,000
January 24, 2012	\$15,000
January 31, 2012	\$24,875
April 5, 2012	\$24,839
May 12, 2012	\$23,800
June 15, 2012	\$25,000
July 3, 2012	\$25,000
August 2, 2012	\$25,000
September 27, 2012	\$25,000
October 30, 2012	\$25,000
December 19, 2012	\$50,000

TOTAL

\$283,714

CURRENT YEAR ENDED 12/31/2013

January 21, 2013	\$23,981
February 7, 2013	\$25,000
March 13, 2013	\$19,736
April 15, 2013	\$25,000
May 21, 2013	\$24,915
June 25, 2013	\$23,725
August 8, 2013	\$25,000
September 16, 2013	\$25,000
October 2, 2013	\$34,610
November 22, 2013	\$35,000
December 16, 2013	\$20,000

TOTAL

\$281,867

PURPOSE OF GRANTS:

ALL GRANTS ARE TO BE USED FOR THE GENERAL PURPOSE OF THE GRANTEE, WHICH IS TO SUPPORT CHARITABLE, EDUCATIONAL, AND SCIENTIFIC PURPOSES, ESPECIALLY TO PROMOTE BRAIN TUMOR RESEARCH. FOUNDATION ACTIVITIES INCLUDE ORGANIZING CONFERENCES AND MAKING RESEARCH GRANTS TO PUBLICLY SUPPORTED RESEARCH FACILITIES, SUPPORTING HIGHER EDUCATION, AND MAINTAINING AN OFFICE FOR FOUNDATION BUSINESS.

DIVERSION OF ANY PORTION OF FUNDS FROM THE PURPOSE OF THE GRANTS BY THE GRANTEE:

NONE

DATES OF REPORTS RECEIVED FROM GRANTEE:

BOTH YEARS: GRANTOR FOUNDATION HAS CONSTANT AND COMPLETE ACCESS TO INFORMATION CONCERNING ALL ACTIVITIES OF GRANTEE.

DATES AND RESULTS OF ANY VERIFICATION OF GRANTEE'S REPORTS:

ON-GOING INVOLVEMENT WITH GRANTEE.

DISTRIBUTION OUT OF CORPUS ON GRANTEE'S FORM 990-PF, PART XIV VERIFIED FOR EACH YEAR

Preuss Family Foundation  
From 01-01-13 Through 12-31-13

Sale Date	Acquisition Date	Quantity	Security	Cost Basis	Proceeds	Gain/Loss
1/15/2013	9/20/2012	0.762	Gateway Fund-Y Instl	21	21	(0)
1/15/2013	11/2/2012	53.963	Gateway Fund-Y Instl	1,486	1,464	(22)
1/15/2013	11/2/2012	392.773	PIMCO All Asset Fund Instl	5,026	4,985	(41)
1/15/2013	11/9/2012	430.663	Pimco Funds Total Return Fund Institutiona	5,015	4,815	(200)
1/15/2013	11/2/2012	280.448	Pimco Funds Total Return Fund Institutiona	3,260	3,136	(124)
2/1/2013	11/9/2012	76.181	Europacific Growth Fund, Class F-2 Shs	3,015	3,271	256
2/1/2013	3/23/2012	16.626	Europacific Growth Fund, Class F-2 Shs	657	714	57
2/1/2013	11/2/2012	469.19	The Jensen Portfolio - I	13,740	14,951	1,211
2/1/2013	3/14/2012	164.079	Turner Spectrum Fund Instl	1,849	1,820	(28)
2/1/2013	11/2/2012	413.223	Turner Spectrum Fund Instl	4,515	4,585	70
3/5/2013	11/2/2012	44.685	The Jensen Portfolio - I	1,309	1,453	145
3/5/2013	3/14/2012	108.595	The Jensen Portfolio - I	3,174	3,532	358
3/5/2013	11/2/2012	150.958	Pimco Funds Total Return Fund Institutiona	1,755	1,692	(63)
3/5/2013	12/12/2012	22.625	Pimco Funds Total Return Fund Institutiona	257	254	(3)
3/5/2013	12/12/2012	30.824	Pimco Funds Total Return Fund Institutiona	350	345	(5)
3/5/2013	3/14/2012	240.433	Pimco Funds Total Return Fund Institutiona	2,660	2,694	34
3/5/2013	9/18/2012	211.06	Rs Emerging Markets Fund Class Y	5,015	4,960	(55)
3/5/2013	11/2/2012	1.074	Rs Emerging Markets Fund Class Y	25	25	0
3/7/2013	3/14/2012	239.693	Royce Premier Fund Investment Class	5,015	4,815	(200)
3/7/2013	3/21/2012	8.446	Royce Premier Fund Investment Class	176	170	(7)
3/12/2013	11/2/2012	212.51	Rs Emerging Markets Fund Class Y	4,990	4,951	(38)
6/19/2013	3/28/2013	20	SPDR Gold Trust	3,096	2,647	(449)
6/19/2013	3/28/2013	71.403	Gateway Fund-Y Instl	2,015	2,004	(11)
6/19/2013	11/2/2012	119.038	PIMCO All Asset Fund Instl	1,523	1,453	(70)
6/19/2013	3/28/2013	158.983	PIMCO All Asset Fund Instl	2,015	1,941	(74)
6/19/2013	9/20/2012	6.343	PIMCO All Asset Fund Instl	80	77	(3)
6/19/2013	12/27/2012	1.117	PIMCO All Asset Fund Instl	14	14	(0)
6/19/2013	11/7/2012	103.804	Royce Premier Fund Investment Class	2,096	2,165	69
7/26/2013	11/7/2012	144.581	Royce Premier Fund Investment Class	2,919	3,155	235
7/26/2013	12/6/2012	1.006	Royce Premier Fund Investment Class	19	22	3
7/26/2013	12/6/2012	39.494	Royce Premier Fund Investment Class	744	862	118
9/10/2013	3/13/2013	40	Wisdom Tree Emerging Markets Equity Fd	2,242	2,092	(149)
9/10/2013	7/26/2013	285.551	The Jensen Portfolio - I	10,017	9,980	(37)
9/10/2013	12/27/2012	28.428	PIMCO All Asset Fund Instl	360	341	(19)
9/10/2013	12/31/2012	6.462	PIMCO All Asset Fund Instl	81	78	(4)
9/10/2013	3/21/2013	5.719	PIMCO All Asset Fund Instl	72	69	(3)
9/10/2013	7/26/2013	82.034	PIMCO All Asset Fund Instl	1,015	984	(31)
9/26/2013	3/13/2013	50	Wisdom Tree Emerging Markets Equity Fd	2,802	2,627	(175)
9/26/2013	7/26/2013	50	Wisdom Tree Emerging Markets Equity Fd	2,516	2,627	111
9/26/2013	7/26/2013	70.847	Gateway Fund-Y Instl	2,015	1,995	(20)
9/26/2013	9/24/2013	1.024	Gateway Fund-Y Instl	29	29	(0)
9/26/2013	9/19/2013	3.398	PIMCO All Asset Fund Instl	42	41	(0)
9/26/2013	7/26/2013	177.936	PIMCO Unconstrained Bond Fund Instl Class	2,013	1,985	(28)
Subtotal Short Term Gain/Loss				101,035	101,842	807
3/25/2013	4/11/2005	404	Palo Alto Networks Inc.	539	21,729	21,190
3/25/2013	4/11/2005	208	Palo Alto Networks Inc.	274	11,187	10,913
3/26/2013	4/11/2005	196	Palo Alto Networks Inc.	258	10,622	10,364
3/26/2013	4/11/2005	104	Palo Alto Networks Inc.	128	5,636	5,508
3/27/2013	4/11/2005	300	Palo Alto Networks Inc.	369	16,874	16,505
5/14/2013	3/14/2012	267.142	Pimco Funds Total Return Fund Institutiona	2,956	2,985	29
6/19/2013	12/20/2011	1.392	Gateway Fund-Y Instl	37	39	3
6/19/2013	9/22/2011	3.151	Gateway Fund-Y Instl	79	88	10
6/19/2013	12/23/2008	48.212	Gateway Fund-Y Instl	1,141	1,353	212
6/19/2013	3/14/2012	54.151	The Jensen Portfolio - I	1,583	1,849	267

6/19/2013	3/21/2012	121.083	The Jensen Portfolio - I	3,531	4,136	605
6/19/2013	3/14/2012	460.405	Pimco Funds Total Return Fund Institutiona	5,094	4,985	(109)
6/19/2013	3/21/2012	135.202	Royce Premier Fund Investment Class	2,824	2,820	(4)
7/22/2013	4/11/2005	584	Palo Alto Networks Inc.	883	28,980	28,097
7/22/2013	4/11/2005	266	Palo Alto Networks Inc.	393	13,200	12,807
8/2/2013	4/11/2005	350	Palo Alto Networks Inc.	517	17,276	16,760
9/10/2013	3/14/2012	84.482	PIMCO All Asset Fund Instl	1,041	1,014	(27)
9/10/2013	3/14/2012	188.857	Pimco Funds Total Return Fund Institutiona	2,090	1,985	(105)
9/26/2013	3/23/2012	110.278	Europacific Growth Fund, Class F-2 Shs	4,358	5,100	742
9/26/2013	12/23/2008	4.344	Gateway Fund-Y Instl	103	122	19
9/26/2013	3/27/2009	4.674	Gateway Fund-Y Instl	105	132	26
9/26/2013	3/10/2009	60.654	Gateway Fund-Y Instl	1,302	1,708	406
9/26/2013	3/21/2012	421.23	The Jensen Portfolio - I	12,284	14,970	2,686
9/26/2013	3/14/2012	13.536	PIMCO All Asset Fund Instl	167	165	(2)
9/26/2013	3/22/2012	14.27	PIMCO All Asset Fund Instl	173	174	1
9/26/2013	6/21/2012	6.378	PIMCO All Asset Fund Instl	75	78	2
9/26/2013	12/28/2011	29.065	PIMCO All Asset Fund Instl	334	354	20
9/26/2013	12/23/2008	24.515	PIMCO All Asset Fund Instl	252	299	47
9/26/2013	12/30/2008	35.773	PIMCO All Asset Fund Instl	360	436	75
9/26/2013	3/19/2009	12.236	PIMCO All Asset Fund Instl	118	149	31
9/26/2013	3/10/2009	64.911	PIMCO All Asset Fund Instl	590	790	200
9/26/2013	3/14/2012	242.538	Pimco Funds Total Return Fund Institutiona	2,684	2,604	(79)
11/11/2013	7/9/2009	1737	Pandora Media Inc.	2,033	46,819	44,786
11/11/2013	4/11/2005	426	Palo Alto Networks Inc.	832	17,536	16,704
11/11/2013	4/11/2005	427	Palo Alto Networks Inc.	716	17,577	16,861
11/11/2013	4/11/2005	33	Palo Alto Networks Inc.	50	1,358	1,309
11/27/2013	6/14/2011	325	Tesla Motors, Inc.	9,478	40,225	30,748
Subtotal Long Term Gain/Loss				59,747	297,353	237,606
TOTAL REALIZED GAIN/LOSS				160,782	399,195	238,413