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Return of Private Foundation

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

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

2013

Open to Public Inspection

For calendar year 2013 or tax year beginning

, and ending

Name of foundation SARGENT FAMILY FOUNDATION		A Employer identification number 35-7011349
Number and street (or P.O. box number if mail is not delivered to street address) P. O. BOX 620	Room/suite	B Telephone number 847-234-5000
City or town, state or province, country, and ZIP or foreign postal code WINNETKA, IL 60093		C If exemption application is pending, check here ☐
G Check all that apply: ☐ Initial return ☐ Final return ☒ Address change ☐ Initial return of a former public charity ☐ Amended return ☐ Name change		D 1. Foreign organizations, check here ☐ 2. Foreign organizations meeting the 85% test, check here and attach computation ☐
H Check type of organization: ☒ Section 501(c)(3) exempt private foundation ☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here ☐
I Fair market value of all assets at end of year (from Part II, col. (c), line 16) \$ 10,398,106.	J Accounting method: ☒ Cash ☐ Accrual ☐ Other (specify) _____	F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a))		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
1 Contributions, gifts, grants, etc., received				N/A	
2 Check ☒ if the foundation is not required to attach Sch. B					
3 Interest on savings and temporary cash investments		1.	1.		STATEMENT 1
4 Dividends and interest from securities		223,337.	223,337.		STATEMENT 2
5a Gross rents					
b Net rental income or (loss)					
6a Net gain or (loss) from sale of assets not on line 10		25,768.			
b Gross sales price for all assets on line 6a		313,089.			
7 Capital gain net income (from Part IV, line 2)			25,768.		
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		249,106.	249,106.		
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 3		25,361.	25,361.		0.
b Accounting fees STMT 4		10,845.	10,845.		0.
c Other professional fees STMT 5		60,000.	60,000.		0.
17 Interest		3,768.	3,768.		0.
18 Taxes STMT 6		6,513.	4,513.		0.
19 Depreciation and depletion					
20 Occupancy					
21 Travel, conferences, and meetings					
22 Printing and publications					
23 Other expenses STMT 7		38,290.	38,290.		0.
24 Total operating and administrative expenses. Add lines 13 through 23		144,777.	142,777.		0.
25 Contributions, gifts, grants paid		48,000.			48,000.
26 Total expenses and disbursements. Add lines 24 and 25		192,777.	142,777.		48,000.
27 Subtract line 26 from line 12:					
a Excess of revenue over expenses and disbursements		56,329.			
b Net investment income (if negative, enter -0-)			106,329.		
c Adjusted net income (if negative, enter -0-)				N/A	

Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only		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		10,000,011.	558,520.	558,520.
	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	0.	5,353,580.	5,836,206.
	c	Investments - corporate bonds				
	11	Investments - land, buildings, and equipment basis ▶				
	Less accumulated depreciation ▶					
12	Investments - mortgage loans					
13	Investments - other	STMT 9	0.	4,144,240.	4,003,380.	
14	Land, buildings, and equipment: basis ▶					
	Less accumulated depreciation ▶					
15	Other assets (describe ▶)					
16	Total assets (to be completed by all filers - see the instructions. Also, see page 1, item 1)		10,000,011.	10,056,340.	10,398,106.	
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				
	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		0.	0.	
	28	Paid-in or capital surplus, or land, bldg., and equipment fund		0.	0.	
	29	Retained earnings, accumulated income, endowment, or other funds		10,000,011.	10,056,340.	
	30	Total net assets or fund balances		10,000,011.	10,056,340.	
	31	Total liabilities and net assets/fund balances		10,000,011.	10,056,340.	

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	10,000,011.
2	Enter amount from Part I, line 27a	2	56,329.
3	Other increases not included in line 2 (itemize) ▶	3	0.
4	Add lines 1, 2, and 3	4	10,056,340.
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	10,056,340.

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 NORTHERN TRUST 60897 - SEE ATTACHED SCHEDULE	P	VARIOUS	VARIOUS
b NORTHERN TRUST 60898 - SEE ATTACHED SCHEDULE	P	VARIOUS	VARIOUS
c K-1 NT PRIVATE EQUITY FUND V, LP	P	VARIOUS	VARIOUS
d K-1 NT PRIVATE EQUITY FUND V, LP	P	VARIOUS	VARIOUS
e CAPITAL GAINS DIVIDENDS			

(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 173,810.		170,941.	2,869.
b 126,159.		116,380.	9,779.
c 279.			279.
d 398.			398.
e 12,443.			12,443.

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			2,869.
b			9,779.
c			279.
d			398.
e			12,443.

2 Capital gain net income or (net capital loss)	{ If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 }	2	25,768.
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). 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	0.	4,925,000.	.000000
2011			
2010			
2009			
2008			

2 Total of line 1, column (d)	2	.000000
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	.000000
4 Enter the net value of noncharitable-use assets for 2013 from Part X, line 5	4	9,925,748.
5 Multiply line 4 by line 3	5	0.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	1,063.
7 Add lines 5 and 6	7	1,063.
8 Enter qualifying distributions from Part XII, line 4	8	48,000.

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

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

1a Exempt operating foundations described in section 4940(d)(2), check here ☐ and enter "N/A" on line 1. Date of ruling or determination letter: _____ (attach copy of letter if necessary-see instructions)			
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☒ and enter 1% of Part I, line 27b		1	1,063.
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b).			
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		2	0.
3 Add lines 1 and 2		3	1,063.
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		4	0.
5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-		5	1,063.
6 Credits/Payments:			
a 2013 estimated tax payments and 2012 overpayment credited to 2013	6a	2,000.	
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	2,000.	
8 Enter any penalty for underpayment of estimated tax. Check here ☐ if Form 2220 is attached	8	1.	
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	936.	
11 Enter the amount of line 10 to be: Credited to 2014 estimated tax ☒ 936. Refunded ☐	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
1b 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
1c 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. ☒ \$ 0. (2) On foundation managers. ☒ \$ 0.		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ☒ \$ 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.		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		X
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		X
b If "Yes," has it filed a tax return on Form 990-T for this year? N/A		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by General Instruction T.		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	X	
7 Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col. (c), and Part XV	X	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) ☒ IL		
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	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		X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses		X

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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 ► N/A	13	X	
14	The books are in care of ► GEORGE E. SARGENT Located at ► 1500 TOWER ROAD, WINNETKA, IL Telephone no. ► 847-234-5000 ZIP+4 ► 60093			
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 N/A			
16	At any time during calendar year 2013, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? See the instructions for exceptions and filing requirements for Form TD F 90-22.1. If "Yes," enter the name of the foreign country ►	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
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)? Organizations relying on a current notice regarding disaster assistance check here N/A	1b	
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.) N/A	2b	
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. ►		
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☐ Yes ☒ No		
b	If "Yes," did it have excess business holdings in 2013 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969; (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest; or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2013.) N/A	3b	
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a	X
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2013?	4b	X

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

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)?

N/A

5b

Organizations relying on a current notice regarding disaster assistance check here

☒

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

N/A

☐ Yes ☐ No

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

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

☐ Yes ☒ No

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

6b

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
CYNTHIA M. SARGENT 130 N. GARLAND COURT, APT. 5201 CHICAGO, IL 60602	TRUSTEE 2.00	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 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	7,604,977.
b	Average of monthly cash balances	1b	2,471,925.
c	Fair market value of all other assets	1c	
d	Total (add lines 1a, b, and c)	1d	10,076,902.
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	10,076,902.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	151,154.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	9,925,748.
6	Minimum investment return. Enter 5% of line 5	6	496,287.

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	496,287.
2a	Tax on investment income for 2013 from Part VI, line 5	2a	1,063.
b	Income tax for 2013. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	1,063.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	495,224.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	495,224.
6	Deduction from distributable amount (see instructions)	6	0.
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	495,224.

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	48,000.
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	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	48,000.
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	1,063.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	46,937.

Note. The amount on line 6 will be used in Part V, column (b), in subsequent years when calculating whether the foundation qualifies for the section 4940(e) reduction of tax in those years.

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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				495,224.
2 Undistributed income, if any, as of the end of 2013				
a Enter amount for 2012 only			14,844.	
b Total for prior years:		0.		
3 Excess distributions carryover, if any, to 2013:				
a From 2008				
b From 2009				
c From 2010				
d From 2011				
e From 2012				
f Total of lines 3a through e	0.			
4 Qualifying distributions for 2013 from Part XII, line 4: ► \$ 48,000.				
a Applied to 2012, but not more than line 2a			14,844.	
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				33,156.
e Remaining amount distributed out of corpus	0.			
5 Excess distributions carryover applied to 2013 (If an amount appears in column (d), the same amount must be shown in column (a).)	0.			0.
6 Enter the net total of each column as indicated below:	0.			
a Corpus. Add lines 3f, 4c, and 4e. Subtract line 5	0.			
b Prior years' undistributed income. Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b. Taxable amount - see instructions		0.		
e Undistributed income for 2012. Subtract line 4a from line 2a. Taxable amount - see instr.			0.	
f Undistributed income for 2013. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2014				462,068.
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	0.			
9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a	0.			
10 Analysis of line 9:				
a Excess from 2009				
b Excess from 2010				
c Excess from 2011				
d Excess from 2012				
e Excess from 2013				

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

N/A

- 1 a** If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2013, enter the date of the ruling 
- b** Check box to indicate whether the foundation is a private operating foundation described in section ☐ 4942(j)(3) or ☐ 4942(j)(5)

2	a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed	Tax year	Prior 3 years			(e) Total
		(a) 2013	(b) 2012	(c) 2011	(d) 2010	
	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.)
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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).)

CYNTHIA M. SARGENT

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

NONE

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

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

- a** The name, address, and telephone number or e-mail 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 Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a Paid during the year				
SEE ATTACHED SCHEDULE			SEE ATTACHED SCHEDULE	48,000.
Total			▶ 3a	48,000.
b Approved for future payment				
NONE				
Total			▶ 3b	0.

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. | | |

[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: Cynthia M. Sargent Date: 10/5/14 Title: TRUSTEE

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
L. ROBERT PASQUESI	<i>L. Robert Pasquesi</i>	9-29-14		P00008831
Firm's name ▶ PASQUESI SHEPPARD LLC			Firm's EIN ▶ 36-4049282	
Firm's address ▶ 585 BANK LANE LAKE FOREST, IL 60045			Phone no. 847 234-5000	

Sargent Family Foundation
FEIN: 35-7011349
Tax Year: 2013

Part XV, Supplementary Information

Payee	Recipient Relationship	Recipient Status	Purpose of Grant	Total Amount
Ann & Robert Lurie Children's Hospital 225 E. Chicago Ave. Chicago, IL 60611	None	501 (c) (3)	Operating Funds	5,000
Captiva Island Historical Society P.O. Box 163 Captiva, FL 33924	None	501 (c) (3)	Operating Funds	10,000
Doctors Without Borders USA P.O. Box 5030 Hagerstown, MD 21741-5030	None	501 (c) (3)	Operating Funds	10,000
Evergreen Invitational 251 East Huron Street, Suite 3-200 Chicago, IL 60611	None	501 (c) (3)	Operating Funds	10,000
Goodman Theater 170 N. Dearborn Chicago, IL 60601	None	501 (c) (3)	Operating Funds	1,000
Lincoln Park Zoo 2001 N. Clark Chicago, IL 60614	None	501 (c) (3)	Operating Funds	2,000
Nature Conservancy, The 4245 N. Fairfax Dr. Arlington, VA 22203	None	501 (c) (3)	Operating Funds	1,000
Night Ministry, The 4711 N. Ravenswood Ave. Chicago, IL 60640	None	501 (c) (3)	Operating Funds	1,000
Peoples Music School 931 W. Eastwood Ave. Chicago, IL 60640	None	501 (c) (3)	Operating Funds	1,000
Sanibel-Captiva Conservation Foundation 3333 Sanibel-Captiva Road Sanibel, FL 33957	None	501 (c) (3)	Operating Funds	5,000
Solti Foundation, The 1490 Chicago Ave. Evanston, IL 60201	None	501 (c) (3)	Operating Funds	1,000
Sphinx Organization 400 Renaissance Center, Suite 2550 Detroit, MI 48243	None	501 (c) (3)	Operating Funds	1,000

Total to Form 990-PF, Part XV, Line 3A

48,000

FORM 990-PF INTEREST ON SAVINGS AND TEMPORARY CASH INVESTMENTS STATEMENT 1

SOURCE	(A) REVENUE PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME
NORTHERN TRUST 2917	1.	1.	
TOTAL TO PART I, LINE 3	1.	1.	

FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 2

SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
K-1 NT PRIVATE EQUITY FUND V, LP	341.	0.	341.	341.	
NORTHERN TRUST 60483	201,383.	12,181.	189,202.	189,202.	
NORTHERN TRUST 60897	17,337.	133.	17,204.	17,204.	
NORTHERN TRUST 60898	16,719.	129.	16,590.	16,590.	
TO PART I, LINE 4	235,780.	12,443.	223,337.	223,337.	

FORM 990-PF LEGAL FEES STATEMENT 3

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
LEGAL FEES	25,361.	25,361.		0.
TO FM 990-PF, PG 1, LN 16A	25,361.	25,361.		0.

FORM 990-PF	ACCOUNTING FEES			STATEMENT	4
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES	
ACCOUNTING FEES	10,845.	10,845.			0.
TO FORM 990-PF, PG 1, LN 16B	10,845.	10,845.			0.

FORM 990-PF	OTHER PROFESSIONAL FEES			STATEMENT	5
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES	
MANGEMENT FEES	60,000.	60,000.			0.
TO FORM 990-PF, PG 1, LN 16C	60,000.	60,000.			0.

FORM 990-PF	TAXES			STATEMENT	6
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES	
AGAINST NET INVESTMENT	4,345.	4,345.			0.
FOREIGN TAXES PAID NT 60897	149.	149.			0.
FOREIGN TAXES PAID NT 60898	11.	11.			0.
FEDERAL EXCISE TAX	2,000.	0.			0.
K-1 NT PRIVATE EQUITY FUND V, LP FOREIGN TAXES PAID	8.	8.			0.
TO FORM 990-PF, PG 1, LN 18	6,513.	4,513.			0.

FORM 990-PF	OTHER EXPENSES		STATEMENT	7
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
INVESTMENT FEES NT 60483	22,430.	22,430.		0.
INVESTMENT FEES NT 60897	4,077.	4,077.		0.
INVESTMENT FEES NT 60898	1,146.	1,146.		0.
K-1 NT PRIVATE EQUITY FUND V, LP OTHER EXPENSES	10,637.	10,637.		0.
TO FORM 990-PF, PG 1, LN 23	38,290.	38,290.		0.

FORM 990-PF	CORPORATE STOCK	STATEMENT	8
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DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
EQUITY SECURITIES NT 26-60483 (SEE ATTACHED SCHEDULE)	4,205,173.	4,524,427.
EQUITY SECURITIES NT 26-60897 (SEE ATTACHED SCHEDULE)	642,519.	714,565.
EQUITY SECURITIES NT 26-60898 (SEE ATTACHED SCHEDULE)	505,888.	597,214.
TOTAL TO FORM 990-PF, PART II, LINE 10B	5,353,580.	5,836,206.

FORM 990-PF	OTHER INVESTMENTS	STATEMENT	9
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DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
FIXED INCOME SECURITIES NT 26-60483 - SEE ATTACHED SCHEDULE	COST	4,056,367.	3,905,880.
NT PRIVATE EQUITY FUND V	COST	87,873.	97,500.
TOTAL TO FORM 990-PF, PART II, LINE 13		4,144,240.	4,003,380.

Portfolio Statement

31 DEC 2013

Account Name SARGENT FAMILY FOUNDATION, BAC

Account Number 2660887

Asset Detail

Page 4 of 16

Description Asset ID	Shares/PAR value	Market value	Market price	Cost	Unrealized gain/loss	Accrued income/expense	Market value including accruals	Estimated annual income
Equities								
Common stock								
BCE INC COM NEW 05534B760	282 00	12,207 78	43 280	12,752 92	- 545 14	168 31	12,378 09	800 88
ADR NOVARTIS AG 68987V108	218 00	17,382 08	80 380	14,846 58	2,515 50	0 00	17,382 08	444 31
ADR GLAXOSMITHKLINE PLC SPONSORED ADR 37733W105	237 00	12,653 43	53 390	10,690 13	1,963 30	148 01	12,799 44	570 83
ABBVIE INC COM USD0 01 00287Y108	395 00	20,859 85	52 810	18,698 41	4,161 54	0 00	20,859 85	632 00
ALTRIA GROUP INC COM 02209S103	412 00	15,816 88	38 380	14,137 09	1,679 59	197 78	16,014 44	791 04
ANALOG DEVICES INC COM 032654105	210 00	10,695 30	50 930	8,473 15	1,222 15	0 00	10,695 30	285 60
APPLE INC COM STK 037833100	25 00	14,027 75	561 110	10,423 96	3,603 79	0 00	14,027 75	305 00
AT&T INC COM 00206R102	275 00	8,669 00	35 160	9,913 88	- 244 88	0 00	8,669 00	506 00
AUTOMATIC DATA PROCESSING INC COM 053015103	178 00	14,384 18	80 810	11,048 97	3,335 21	85 44	14,469 62	341 78
BAXTER INTL INC COM 071813108	163 00	11,338 85	69 550	11,279 81	58 84	79 87	11,416 52	319 48
BLACKROCK INC COM STK 09247X101	32 00	10,127 04	316 470	7,590 28	2,536 76	0 00	10,127 04	247 04
BRISTOL MYERS SQUIBB CO COM 110122108	227 00	12,065 05	53 150	8,374 60	3,690 45	81 72	12,146 77	326 88
CHEVRON CORP COM 166784100	174 00	21,734 34	124 910	20,414 21	1,320 13	0 00	21,734 34	698 00
CISCO SYSTEMS INC 17275R102	841 00	18,880 45	22 450	18,032 60	847 85	0 00	18,880 45	571 88
COCA COLA CO COM 191216100	365 00	15,078 15	41 310	14,018 19	1,061 96	0 00	15,078 15	408 80
CULLEN / FROST BANKERS INC COM 22889B109	262 00	19,500 66	74 430	19,019 27	481 39	0 00	19,500 66	524 00

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Portfolio Statement

31-DEC 2013

Account Number 2660897
Account Name SARGENT FAMILY FOUNDATION B&G

Asset Detail

Page 5 of 16

Asset ID	Description	Shares/PAR value	Market value	Market price	Cost	Unrealized gain/loss	Accrued income/expense	Market value including accruals	Estimated annual income
Equities									
Common stock									
281011104	EMERSON ELECTRIC CO COM	277.00	19,439.88	70.180	16,000.73	3,439.13	0.00	19,439.88	476.44
363576108	GALLAGHER ARTHUR J & CO COM	258.00	12,014.08	46.930	9,787.37	2,216.71	0.00	12,014.08	358.40
369604103	GENERAL ELECTRIC CO	902.00	25,283.08	28.030	20,847.91	4,335.15	198.44	25,481.50	793.76
372460105	GENUINE PARTS CO COM	128.00	10,481.84	83.180	8,913.26	1,568.68	87.72	10,549.66	270.90
404141109	HCP INC COM REIT	360.00	13,075.20	36.320	17,335.95	- 4,260.75	0.00	13,075.20	758.00
42217K108	HEALTH CARE REIT INC COM	258.00	13,821.06	53.570	16,877.13	- 3,056.07	0.00	13,821.06	789.48
458140100	INTEL CORP COM	915.00	23,753.40	25.960	20,087.28	3,666.12	0.00	23,753.40	823.50
478160104	JOHNSON & JOHNSON COM USD1	282.00	25,828.38	81.580	21,601.65	4,226.73	0.00	25,828.38	744.48
494368103	KIMBERLY-CLARK CORP COM	237.00	24,757.02	104.460	21,965.59	2,791.43	191.97	24,948.99	767.88
50076Q108	KRAFT FOODS GROUP INC COM	378.00	20,273.92	53.920	18,326.81	1,947.11	197.40	20,471.32	752.00
539830108	LOCKHEED MARTIN CORP COM	137.00	20,366.42	148.660	16,875.47	3,490.95	0.00	20,366.42	728.84
577081102	MATTEL INC COM	378.00	17,890.08	47.580	15,072.02	2,818.06	0.00	17,890.08	541.44
580135101	MC DONALDS CORP COM	274.00	26,586.22	97.030	26,607.85	- 21.63	0.00	26,586.22	887.76
58933Y105	MERCK & CO INC NEW COM	340.00	17,017.00	50.050	15,538.49	1,477.51	149.60	17,166.60	598.40
594918104	MICROSOFT CORP COM	500.00	18,715.00	37.430	13,940.05	4,774.95	0.00	18,715.00	580.00
65338F101	NEXTERA ENERGY INC COM	85.00	7,277.70	85.620	6,236.53	1,041.17	0.00	7,277.70	224.40

Northern Trust

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Portfolio Statement

31 DEC 2013

Account Number: 2660003
Account Name: SARGENT FAMILY FOUNDATION

Asset Detail

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Description Asset ID	Shares/PAR value	Market value	Market price	Cost	Unrealized gain/loss	Accrued income/expense	Market value including accruals	Estimated annual income
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Equities

Funds - common stock

MFO DFA INVT DIMENSIONS GROUP INC 233203421	EMERGING MKTS CORE EQUITY PORT 22,577.49	438,357.85	19.460	481,284.00	- 21,926.05	0.00	438,357.85	8,918.11
MFB NORTHERN MULTI MANAGER GLOBAL LISTED INFRASTRUCTURE FUND 685162384	23,828.31	285,205.77	12.070	251,084.07	34,121.70	0.00	285,205.77	4,347.79
Total funds - common stock		724,563.72		712,368.07	12,195.65	0.00	724,563.72	13,265.90

Funds - equities etf

MFC FLEXSHARES TR MORNINGSTAR EMERG MKTSFACT 33839L308	10,925.00	589,301.75	52.110	582,705.25	- 13,403.50	4,898.40	574,000.15	4,697.75
MFC FLEXSHARES TR MORNINGSTAR GLOBAL 33839L407	UPSTREAM NAT RES INDEX FD 18,775.00	575,560.25	34.310	598,484.20	- 23,933.95	11,661.84	587,211.89	11,058.83
MFC FLEXSHARES TR MORNINGSTAR DEVELOPED MARKETS EX US FACTOR TILT INDEX FD 33839L803	11,425.00	721,031.75	63.110	847,518.52	73,515.23	7,523.51	728,555.28	8,248.85
MFC VANGUARD INTL EQUITY INDEX FDS 922042775	VANGUARD FTSE ALL WORLD EX US ETF 9,500.00	481,835.00	50.730	444,051.71	37,883.29	0.00	481,835.00	12,825.00
MFC FLEXSHARES TR MORNINGSTAR US MKT 33839L100	FACTOR TILT INDEX FD 18,085.00	1,452,044.65	80.280	1,218,047.52	232,997.13	13,582.33	1,465,628.98	14,287.15
Total funds - equities etf		3,789,863.40		3,492,805.20	307,058.20	37,465.88	3,837,328.28	51,717.38
Total equities		4,524,427.12		4,205,173.27	319,253.85	37,465.88	4,561,893.00	64,983.28

Fixed Income

Funds - government agencies

MFO PIMCO FDS PAC INVT MGMT SER TOTAL 683390700	RETURN FD INSTL CL 67,229.32	718,681.43	10.690	753,343.82	- 34,662.39	988.58	719,648.89	17,883.00
Total funds - government agencies		718,681.43		753,343.82	- 34,662.39	988.58	719,648.89	17,883.00

Funds - corporate bond

MFB NORTHERN FDS BD INDEX FD 685162533	137,405.44	1,431,764.68	10.420	1,493,739.07	- 61,974.39	0.00	1,431,784.68	38,885.74
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Northern Trust

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Portfolio Statement

31 DEC 2019

Account Number 2660483
Account Name: SARGENT FAMILY FOUNDATION

◆ Asset Detail

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Description Asset ID	Shares/PAR value	Market value	Market price	Cost	Unrealized gain/loss	Accrued income/expense	Market value including accruals	Estimated annual income
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Fixed Income

Funds - corporate bond

MFB NORTHN HI YIELD FXD INC FD 665162699	63,418.11	475,001.64	7.490	480,980.02	- 5,988.38	0.00	475,001.64	30,250.44
MFO PIMCO FDS PAC INVT MGMT SER HIGH 693300841	YIELD FD INSTL CL 51,341.14	483,388.35	9.610	488,859.54	- 8,471.19	2,405.13	485,783.48	29,315.79
Total funds - corporate bond		2,400,154.67		2,474,588.83	- 74,433.96	2,405.13	2,402,559.80	98,451.97

Funds - fixed income etf

MFC ISHARES TR IBOXX USD INVT GRADE 484287242	CORPED ETF 2,800.00	319,788.00	114.210	332,885.00	- 13,097.00	0.00	319,788.00	12,252.80
Total funds - fixed income etf		319,788.00		332,885.00	- 13,097.00	0.00	319,788.00	12,252.80
Total fixed income		3,438,624.10		3,560,817.45	- 122,193.35	3,373.69	3,441,997.79	128,587.77

Real Estate

Funds - real estate

MFO DFA INVT DIMENSIONS GROUP INC INTL 233203348	REAL ESTATE SECS PORT 47,912.48	240,520.65	5.020	252,167.00	- 11,646.35	0.00	240,520.65	12,505.16
MFO DFA INVT DIMENSIONS GROUP INC REAL 233203835	ESTATE SECS PORTFOLIO 8,744.15	228,735.81	25.930	243,383.00	- 18,647.19	0.00	228,735.81	8,984.16
Total funds - real estate		467,256.46		495,550.00	- 28,293.54	0.00	467,256.46	19,389.31
Total real estate		467,256.46		495,550.00	- 28,293.54	0.00	467,256.46	19,389.31

Venture Capital and Partnerships

Partnerships

NORTHERN TRUST PRIVATE EQUITY FUND V 981LC7989	97,500.00	97,500.00	97,500.000	87,500.00	0.00	0.00	97,500.00	0.00
Total partnerships		97,500.00		97,500.00	0.00	0.00	97,500.00	0.00
Total venture capital and partnerships		97,500.00		97,500.00	0.00	0.00	97,500.00	0.00

Northern Trust

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Portfolio Statement

31 DEC 2013

Account Name: SARGENT FAMILY FOUNDATION BAG

Account Number: 2660897

Asset Detail

Page 6 of 16

Asset ID	Description	Shares/PA	PAR value	Market value	Market price	Cost	Unrealized gain/loss	Income/expense	Accrued	Market value including accruals	Estimated annual income
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Equities

Common stock

ONEOK INC COM STK	682680103	395 00	24,581 10	62 180	18,313 70	8,247 40	0 00	24,581 10	632 00
PAYCHEX INC COM	704328107	229 00	10,426 37	45 530	8,227 26	1,199 11	0 00	10,426 37	320 60
PHILIP MORRIS INTL COM STK NPV	718172109	199 00	17,338 87	87 130	17,883 40	- 544 53	189 28	17,538 15	748 24
PROCTER & GAMBLE COM NPV	742718109	215 00	17,503 15	81 410	18,483 80	1,018 35	0 00	17,503 15	517 29
QUALCOMM INC COM	747525103	241 00	17,894 25	74 250	15,374 88	2,518 36	0 00	17,894 25	337 40
RLTY INC CORP COM	756109104	138 00	5,188 87	37 330	6,187 31	- 978 44	25 32	5,214 19	303 85
SPECTRA ENERGY CORP COM STK	847560109	529 00	18,842 98	35 620	17,808 07	1,033 91	0 00	18,842 98	708 86
TUPPERWARE BRANDS CORPORATION	888896104	83 00	7,845 99	94 530	6,404 55	1,441 44	51 46	7,887 45	205 84
US BANCORP	802873304	512 00	20,684 80	40 400	18,002 75	2,682 05	117 78	20,802 58	471 04
VENTAS INC REIT	92278F100	98 00	5,498 88	57 280	7,811 67	- 2,312 79	0 00	5,498 88	278 40
WILLIAMS CO INC COM	989457100	567 00	21,868 19	38 570	19,853 62	1,915 57	0 00	21,868 19	881 84
WIS ENERGY COM	976857108	337 00	13,931 58	41 340	14,249 48	- 317 88	0 00	13,931 58	539 20
Total common stock			714,584.86		642,518.60	72,046.26	1,958.06	716,522.92	23,569.63
Total equities			714,584.86		642,518.60	72,046.26	1,958.06	716,522.92	23,569.63

Portfolio Statement

31 DEC 2013

Account Name: SARGENT FAMILY FOUNDATION QDF
Account number: 2660898

Asset Detail

Page 4 of 25

Asset ID	Description	Shares/PAR value	Market value	Market price	Cost	Unrealized gain/loss	Accrued income/expense	Market value including accruals	Estimated annual income
Equities									
Common stock									
SEADRILL LTD COM STK G7945E105		103 00	4,231 24	41 080	4,448 76	- 217 52	0 00	4,231 24	381 40
ABBVIE INC COM USD0 01 00287Y109		66 00	3,485 48	52 810	2,451 20	1,034 28	0 00	3,485 48	105 60
ACCENTURE PLC SHS CL A NEW G1151C101		150 00	12,333 00	82 220	11,055 00	1,278 00	0 00	12,333 00	279 00
AFLAC INC COM 001055102		39 00	2,605 20	66 800	2,079 28	525 92	0 00	2,605 20	57 72
ALTRIA GROUP INC COM 02209S103		480 00	17,659 40	38 390	15,703 66	1,955 74	223 68	17,983 08	883 20
AMER ELEC PWR CO INC COM 025537101		111 00	5,188 14	46 740	5,035 52	152 62	0 00	5,188 14	222 00
ANALOG DEVICES INC COM 032854105		75 00	3,819 75	50 930	3,348 75	471 00	0 00	3,819 75	102 00
APPLE INC COM STK 037833100		11 00	6,172 21	561 110	4,891 03	1,181 18	0 00	6,172 21	134 20
ARCHER-DANIELS-MIDLAND CO COM 038483102		102 00	4,428 80	43 400	4,404 34	22 46	0 00	4,428 80	97 92
AT&T INC COM 00208R102		395 00	13,888 20	35 160	14,048 20	- 158 00	0 00	13,888 20	726 80
BK HAW CORP COM 062540109		57 00	3,370 98	59 140	2,755 38	615 60	0 00	3,370 98	102 60
BLACKROCK INC COM STK 09247X101		23 00	7,278 81	316 470	5,493 54	1,785 27	0 00	7,278 81	177 56
BLOCK H & R INC COM 093871105		159 00	4,617 38	29 040	3,661 77	955 59	32 20	4,649 58	127 20
BOEING CO COM 097023105		108 00	14,467 94	136 490	9,020 00	5,447 94	0 00	14,467 94	309 52
CA INC COM 12673P105		158 00	5,316 70	33 650	4,319 07	897 63	0 00	5,316 70	158 00
CARDINAL HLTH INC 14149Y108		87 00	5,812 47	66 810	3,983 65	1,828 82	26 31	5,838 78	105 27

Portfolio Statement

31 DEC 2013

Account Name: SARGENT FAMILY FOUNDATION - QDPF
Account Number: 2660898

Asset Detail

Page 5 of 25

Asset ID	Description	Shares/PAR value	Market value	Market price	Cost	Unrealized gain/loss	Accrued income/expense	Market value including accruals	Estimated annual income
Equities									
Common stock									
CHEVRON CORP COM 168784100		127 00	15,863 57	124 910	14,779 43	1,084 14	0 00	15,863 57	508 00
CIN FNCL CORP COM 172082101		82 00	4,284 34	52 370	3,557 88	736 38	34 86	4,328 20	100 04
CISCO SYSTEMS INC 17275R102		288 00	6,465 60	22 450	6,008 24	459 38	0 00	6,465 60	195 84
CLOROX CO COM 189054109		53 00	4,916 28	92 760	4,464 13	452 15	0 00	4,916 28	150 52
COML METALS CO COM 201723103		252 00	5,123 16	20 330	4,177 35	945 81	0 00	5,123 16	120 96
COMPUTER SCI CORP COM 205363104		48 00	2,682 24	55 880	2,054 88	627 38	9 60	2,691 84	38 40
CONOCOPHILLIPS COM 20825C104		238 00	16,673 40	70 650	13,817 80	2,855 60	0 00	16,673 40	651 36
CORRECTIONS CORP AMER 22025Y407		119 00	3,816 33	32 070	4,262 16	- 445 83	57 12	3,873 45	228 48
CVR ENERGY INC COM STK 12682P108		97 00	4,212 71	43 430	4,187 27	15 44	0 00	4,212 71	291 00
DELUXE CORP COM 248019101		91 00	4,749 29	52 190	3,901 62	847 67	0 00	4,749 29	91 00
DIAMOND OFFSHORE DRILLING INC COM 25271C102		96 00	5,464 32	58 920	6,582 17	- 1,117 85	0 00	5,464 32	48 00
DOW CHEMICAL CO COM 260543103		216 00	9,590 40	44 400	7,039 44	2,550 96	89 12	9,659 52	276 48
DTE ENERGY CO COM 233331107		41 00	2,721 89	68 390	2,620 72	101 27	26 85	2,748 84	107 42
DU PONT E I DE NEMOURS & CO COM STK 263534109		181 00	10,460 17	64 970	7,729 61	2,730 56	0 00	10,460 17	289 80
ELI LILLY & CO COM 532457108		105 00	5,355 00	51 000	5,693 10	- 338 10	0 00	5,355 00	205 80
EMERSON ELECTRIC CO COM 291011104		69 00	4,842 42	70 180	4,010 24	832 18	0 00	4,842 42	118 68

Northern Trust

Generated by Northern Trust from periodic data on 17 Jan 14

Portfolio Statement

31 DEC-2013

Account Name SARGENT FAMILY FOUNDATION QDF

Account number 2660888

Asset Detail

Page 6 of 25

Description Asset ID	Shares/PAR value	Market value	Market price	Cost	Unrealized gain/loss	Accrued income/expense	Market value including accruals	Estimated annual income
Equities								
Common stock								
ENTERGY CORP NEW COM 28384G103	37 00	2,340 99	63 270	2,402 41	- 61 42	0 00	2,340 99	122 84
FEDT INVESTORS INC CL B 314211103	120 00	3,456 00	28 800	2,847 60	608 40	0 00	3,456 00	120 00
FRONTIER COMMUNICATIONS CORP COM 35906A108	907 00	4,217 55	4 650	4,280 11	- 72 56	0 00	4,217 55	362 80
GALLAGHER ARTHUR J & CO COM 363576108	73 00	3,425 89	46 830	2,733 50	692 39	0 00	3,425 89	102 20
GAMESTOP CORP NEW CL A 36487W108	134 00	6,600 84	49 260	3,288 38	3,312 48	0 00	6,600 84	80 40
GANNETT INC COM 364730101	138 00	4,082 04	29 580	2,748 64	1,333 40	28 00	4,110 04	110 40
GARMIN LTD COMMON STOCK H2808T108	59 00	2,728 88	46 220	2,279 17	447 81	0 00	2,728 88	106 20
GENERAL ELECTRIC CO 368604103	113 00	3,167 39	28 030	2,556 91	610 48	25 30	3,192 69	99 44
GENUINE PARTS CO COM 372460105	46 00	3,826 74	83 190	3,168 25	658 48	24 72	3,851 46	98 80
GREENHILL & CO INC COM 385259104	73 00	4,229 62	57 940	4,293 13	- 63 51	0 00	4,229 62	131 40
HAWAIIAN ELEC INDS INC COM 419870100	141 00	3,674 46	26 060	3,771 81	- 97 35	0 00	3,674 46	174 84
HOLLYFRONTIER CORP COM 436106108	87 00	4,819 93	49 680	4,438 59	380 34	0 00	4,819 93	116 40
HOME DEPOT INC COM 437076102	311 00	25,607 74	82 340	20,852 94	4,654 80	0 00	25,607 74	485 16
HOSPITALITY PPTYS TR COM SH BEN INT 44106M102	87 00	2,351 61	27 030	2,226 33	125 28	0 00	2,351 61	167 04
INTERNATIONAL BUSINESS MACHS CORP COM 459200101	59 00	11,066 63	187 570	12,101 85	- 1,035 22	0 00	11,066 63	224 20
IRON MTN INC COM STK 462846106	247 00	7,496 45	30 350	6,848 43	647 02	66 69	7,563 14	266 76

Northern Trust

Generated by Northern Trust from periodic data on 17 Jan 14

Portfolio Statement

31 DEC 2013

Account Name: SARGENT FAMILY FOUNDATION - QDF

Account number: 2660388

Asset Detail

Page 7 of 25

Asset ID	Description	Shares/PAR value	Market value	Market price	Cost	Unrealized gain/loss	Accrued income/expense	Market value including accruals	Estimated annual income
Equities									
Common stock									
JPMORGAN CHASE & CO COM 48825H100		487 00	28,479 78	58 480	23,302 70	5,177 08	0 00	28,479 78	740 24
KLA-TENCOR CORP 482480100		57 00	3,674 22	64 460	3,185 25	488 97	0 00	3,674 22	102 60
LEGGETT & PLATT INC COM 524860107		109 00	3,372 46	30 940	3,220 85	151 51	33 00	3,405 46	130 80
LINEAR TECH CORP DEL 535878108		82 00	3,735 10	45 550	3,037 28	697 82	0 00	3,735 10	88 58
LOCKHEED MARTIN CORP COM 539830109		68 00	10,108 88	148 660	5,968 82	4,142 06	0 00	10,108 88	361 78
LYONDELLBASELL IND N V COM USD0 01 CL 'A' N53745100		75 00	6,021 00	80 280	4,614 75	1,406 25	0 00	6,021 00	180 00
M & T BK CORP COM 55281F104		34 00	3,858 28	118 420	3,530 60	427 68	0 00	3,858 28	95 20
M D C HLDGS INC COM 552878108		134 00	4,320 16	32 240	4,008 29	311 87	0 00	4,320 16	134 00
MERCK & CO INC NEW COM 58933Y105		453 00	22,872 65	50 050	19,130 70	3,541 95	200 20	22,872 85	797 28
MERCURY GEN CORP NEW COM 589400100		55 00	2,734 05	49 710	2,218 15	515 90	0 00	2,734 05	135 30
MICROSOFT CORP COM 594818104		592 00	22,158 58	37 430	16,543 44	5,615 12	0 00	22,158 58	863 04
MOTOROLA SOLUTIONS INC 820078307		45 00	3,037 50	67 500	2,654 41	383 09	14 28	3,051 78	55 80
NEW YORK CMNTY BANCORP INC COM 649445103		152 00	2,561 20	16 850	2,034 80	526 30	0 00	2,561 20	152 00
NORTHROP GRUMMAN CORP COM 666807102		68 00	7,564 26	114 610	4,311 41	3,252 85	0 00	7,564 26	161 04
OMEGA HEALTHCARE INVS INC REIT 681936100		118 00	3,458 80	29 800	2,897 44	459 36	0 00	3,458 80	227 38
OWENS & MINOR INC NEW COM 890732102		82 00	2,997 92	36 560	2,973 61	24 31	0 00	2,997 92	78 72

Northern Trust

Generated by Northern Trust from periodic data on 17 Jan 14

◆ Asset Detail

Asset ID	Description	Shares/PAR value	Market value	Market price	Cost	Unrealized gain/loss	Accrued income/expense	Market value including accruals	Estimated annual income
Equities									
Common stock									
685156108	PACKAGING CORP AMER COM	US6851561080 78 00	4,935 84	63 280	4,189 93	745 91	31 20	4,967 04	124 80
704328107	PAYCHEX INC COM	87 00	3,961 11	45 530	2,863 17	1,097 94	0 00	3,961 11	121 80
712704105	PEOPLES UTD FINL INC COM	288 00	4,354 56	15 120	3,811 51	543 05	0 00	4,354 56	187 20
713291102	PEPCO HLDGS INC COM	113 00	2,161 69	19 130	2,205 76	- 44 07	0 00	2,161 69	122 04
717081103	PFIZER INC COM	599 00	18,347 37	30 630	17,282 88	1,064 49	0 00	18,347 37	575 04
718172109	PHILIP MORRIS INTL COM STK NPV	84 00	7,318 92	87 130	7,378 56	- 59 64	78 96	7,397 88	315 84
720190206	PIEDMONT OFFICE REALTY TRU-A	113 00	1,866 76	16 520	2,182 03	- 315 27	0 00	1,866 76	90 40
729251108	PLUM CREEK TIMBER CO INC COM	48 00	2,139 46	46 510	2,220 14	- 80 68	0 00	2,139 46	80 96
755111507	RAYTHEON CO USD0 01	82 00	7,437 40	90 700	4,317 98	3,119 42	45 10	7,482 50	180 40
758766109	REGAL ENTMT GROUP CL A CL A	175 00	3,403 75	19 450	2,628 50	775 25	0 00	3,403 75	147 00
781713106	REYNOLDS AMERICAN INC COM	117 00	5,848 83	49 990	5,391 80	457 03	73 71	5,922 54	294 84
G7845M107	SEAGATE TECHNOLOGY PLC COM USD0 00001	86 00	4,829 76	56 160	2,812 82	1,916 94	0 00	4,829 76	147 92
81721M109	SENIOR HSG PPTYS TR SH BEN INT SH BEN INT	57 00	1,267 11	22 230	1,394 22	- 127 11	0 00	1,267 11	88 92
83001A102	SIX FLAGS ENTMT CORP NEW COM	83 00	3,056 06	36 820	3,018 46	37 60	0 00	3,056 06	156 04
855030102	STAPLES INC COM	197 00	3,130 33	15 890	2,665 41	464 92	23 64	3,153 97	94 56
871829107	SYSCO CORP COM	78 00	2,851 90	36 100	2,535 11	316 79	22 91	2,874 81	91 64

Portfolio Statement

31 DEC 2013

Account Name: SARGENT FAMILY FOUNDATION QDF

Account Number: 2680888

Asset Detail

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Description Asset ID	Shares/PAR value	Market value	Market price	Cost	Unrealized gain/loss	Accrued income/expense	Market value including accruals	Estimated annual income
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Equities

Common stock

TECO ENERGY INC COM 872375100	243.00	4,189.32	17.240	4,182.81	- 3.49	0.00	4,189.32	213.84
TEXAS INSTRUMENTS INC COM 882508104	229.00	10,055.39	43.910	8,783.89	1,271.50	0.00	10,055.39	274.80
UNITED PARCEL SVC INC CL B 811312108	170.00	17,863.60	105.080	13,581.30	4,282.30	0.00	17,863.60	421.60
VAL NATL BANCORP COM 918784107	401.00	4,058.12	10.120	4,088.57	- 30.45	44.44	4,102.58	178.44
VECTREN CORP COM 822403101	120.00	4,260.00	35.500	3,875.23	384.77	0.00	4,260.00	172.80
VERIZON COMMUNICATIONS COM 82343V104	138.00	6,781.32	49.140	6,155.37	625.95	0.00	6,781.32	292.58
WELLS FARGO & CO NEW COM STK 849748101	311.00	14,119.40	45.400	10,825.43	3,193.97	0.00	14,119.40	373.20
WESTERN UNION CO 858802109	181.00	3,122.25	17.250	2,636.54	485.71	0.00	3,122.25	80.50
WYNN RESORTS LTD COM 883134107	30.00	5,828.30	194.210	4,177.34	1,648.98	0.00	5,828.30	120.00
XILINK INC COM 883919101	81.00	4,178.72	45.820	4,101.40	77.32	0.00	4,178.72	81.00
Total common stock		597,213.81		505,888.18	91,325.63	1,191.87	598,405.68	19,320.59
Total equities		597,213.81		505,888.18	91,325.63	1,191.87	598,405.68	19,320.59

2013 Tax Information Statement

Account Number: 26-60897
Recipient's Tax ID Number: XX-XXX1349
2nd TIN notice
Corrected

THE NORTHERN TRUST COMPANY
P.O. BOX 803878
CHICAGO, IL 60680

2013 Proceeds from Broker and Barter Exchange Transactions

Sales are listed at Gross Proceeds less commissions and option premiums.

Cusip	Description	Stock or Other Symbol	Cost or Other Basis	Wash Sale Loss Disallowed	Net Gain or Loss	Federal Income Tax Withheld	State Tax Withheld
Short Term Sales							
423074103	H J HEINZ CO	HNZ	5,049.53	0.00	787.94	0.00	0.00
70.0000	02/19/2013 02/01/2013		4,261.59				
749685103	RPM INC OHIO	RPM	872.88	0.00	-15.23	0.00	0.00
28.0000	02/19/2013 02/01/2013		888.11				
749685103	RPM INC OHIO	RPM	370.19	0.00	-10.43	0.00	0.00
12.0000	02/20/2013 02/01/2013		380.62				
749685103	RPM INC OHIO	RPM	557.40	0.00	-45.25	0.00	0.00
19.0000	02/21/2013 02/01/2013		602.65				
749685103	RPM INC OHIO	RPM	416.85	0.00	-27.20	0.00	0.00
14.0000	02/22/2013 02/01/2013		444.05				
749685103	RPM INC OHIO	RPM	871.32	0.00	-48.51	0.00	0.00
29.0000	02/25/2013 02/01/2013		919.83				
749685103	RPM INC OHIO	RPM	748.21	0.00	-44.74	0.00	0.00
25.0000	02/26/2013 02/01/2013		792.95				
136069101	CANADIAN IMP BANK COM NPV	CM	2,324.06	0.00	-105.80	0.00	0.00
29.0000	03/14/2013 02/01/2013		2,429.86				
423074103	H J HEINZ CO	HNZ	7,754.02	0.00	-1.13	0.00	0.00
107.0000	03/14/2013 Various		7,755.15				

2013 Tax Information Statement

Recipient's Name and Address:
SARGENT FAMILY FOUNDATION
MR. ROBERT PASQUEST, CPA
PASQUESI SHEPPARD LLC
585 BANK LANE
LAKE FOREST, IL 60045

Account Number: 26-60897
Recipient's Tax ID Number: XX-XXX1349

☐ Corrected ☐ 2nd TIN notice

THE NORTHERN TRUST COMPANY
P.O. BOX 803878
CHICAGO, IL 60680

Sales are listed at Gross Proceeds less commissions and option premiums.

Cusip	Description	Stock or Other Symbol	Quantity Sold	Date of Sale or Exchange	Date of Acquisition	Stocks Bonds, etc.	Cost or Other Basis	Wash Sale Loss Disallowed	Net Gain or Loss	Federal Income Tax Withheld	State Tax Withheld
136069101	CANADIAN IMP BANK COM NPV	CM	45.0000	03/15/2013	Various	3,626.68	3,672.72	0.00	-46.04	0.00	0.00
423074103	H J HEINZ CO	HNZ	72.0000	03/15/2013	Various	5,216.34	4,405.94	0.00	810.40	0.00	0.00
74005P104	PRAXAIR INC	PX	81.0000	05/06/2013	Various	9,224.21	9,142.31	0.00	81.90	0.00	0.00
74005P104	PRAXAIR INC	PX	33.0000	05/07/2013	Various	3,756.44	3,669.55	0.00	86.89	0.00	0.00
053015103	AUTOMATIC DATA PROCESSING INC	ADP	29.0000	05/15/2013	03/14/2013	2,068.52	1,877.38	0.00	191.14	0.00	0.00
253868103	DIGITAL RLTY TR INC COM	DLR	80.0000	05/15/2013	03/11/2013	5,122.15	5,486.40	0.00	-364.25	0.00	0.00
253868103	DIGITAL RLTY TR INC COM	DLR	18.0000	05/16/2013	03/11/2013	1,147.77	1,234.44	0.00	-86.67	0.00	0.00
110122108	BRISTOL MYERS SQUIBB CO	BMJ	125.0000	06/07/2013	03/11/2013	5,885.55	4,695.51	0.00	1,190.04	0.00	0.00
064149107	BK OF NOVA SCOTIA COM NPV	BNS	93.0000	07/02/2013	Various	4,930.31	5,485.33	0.00	-555.02	0.00	0.00

This is important tax information and is being furnished to you.

2013 Tax Information Statement

Recipient's Name and Address:
SARGENT FAMILY FOUNDATION
MR. ROBERT PASQUEST, CPA
PASQUESI SHEPPARD LLC
585 BANK LANE
LAKE FOREST, IL 60045

Account Number: 26-60897
Recipient's Tax ID Number: XX-XXX1349

☐ Corrected ☐ 2nd TIN notice

THE NORTHERN TRUST COMPANY
P.O. BOX 803878
CHICAGO, IL 60680

Sales are listed at Gross Proceeds less commissions and option premiums.

Cusip	Description	Stock or Other Symbol	Stocks Bonds, etc.	Cost or Other Basis	Wash Sale Loss Disallowed	Net Gain or Loss	Federal Income Tax Withheld	State Tax Withheld
G1151C101	ACCENTURE PLC SHS CL A NEW	ACN	7,836.72	8,357.60	0.00	-520.88	0.00	0.00
109.0000	07/02/2013 Various							
064149107	BK OF NOVA SCOTIA COM NPV	BNS	1,002.10	1,120.62	0.00	-118.52	0.00	0.00
19.0000	07/03/2013 03/11/2013							
064149107	BK OF NOVA SCOTIA COM NPV	BNS	2,303.64	2,595.12	0.00	-291.48	0.00	0.00
44.0000	07/05/2013 03/11/2013							
00206R102	AT&T INC	T	35.52	36.54	0.00	-1.02	0.00	0.00
1.0000	07/08/2013 03/11/2013							
00287Y109	ABBVIE INC COM USD0.01	ABBV	86.84	77.43	0.00	9.41	0.00	0.00
2.0000	07/08/2013 02/20/2013							
02209S103	ALTRIA GROUP INC	MO	108.02	105.21	0.00	2.81	0.00	0.00
3.0000	07/08/2013 02/20/2013							
032654105	ANALOG DEVICES INC	ADI	136.71	139.23	0.00	-2.52	0.00	0.00
3.0000	07/08/2013 03/11/2013							
053015103	AUTOMATIC DATA PROCESSING INC	ADP	70.91	64.74	0.00	6.17	0.00	0.00
1.0000	07/08/2013 03/14/2013							
05534B760	BCE INC COM NEW	BCE	81.82	92.00	0.00	-10.18	0.00	0.00
2.0000	07/08/2013 03/11/2013							

This is important tax information and is being furnished to you.

2013 Tax Information Statement

Account Number: 26-60897
Recipient's Tax ID Number: XX-XXX1349

Recipient's Name and Address:
SARGENT FAMILY FOUNDATION
MR. ROBERT PASQUEST, CPA
PASQUESI SHEPPARD LLC
585 BANK LANE
LAKE FOREST, IL 60045

☐ Corrected

☐ 2nd TIN notice

THE NORTHERN TRUST COMPANY
P.O. BOX 803878
CHICAGO, IL 60680

Sales are listed at Gross Proceeds less commissions and option premiums.

Cusip	Description	Stock or Other Symbol	Quantity Sold	Date of Sale or Exchange	Date of Acquisition	Stocks Bonds, etc.	Cost or Other Basis	Wash Sale Loss Disallowed	Net Gain or Loss	Federal Income Tax Withheld	State Tax Withheld
064149107	BK OF NOVA SCOTIA COM NPV	BNS	27.0000	07/08/2013	Various	1,422.66	1,591.41	0.00	-168.75	0.00	0.00
071813109	BAXTER INTL INC	BAX	1.0000	07/08/2013	03/11/2013	70.98	69.98	0.00	1.00	0.00	0.00
110122108	BRISTOL MYERS SQUIBB CO	BMJ	1.0000	07/08/2013	03/11/2013	43.92	37.56	0.00	6.36	0.00	0.00
166764100	CHEVRONTXACO CORP COM	CVX	1.0000	07/08/2013	03/11/2013	121.30	118.54	0.00	2.76	0.00	0.00
17275R102	CISCO SYS INC	CSCO	6.0000	07/08/2013	03/11/2013	146.76	131.13	0.00	15.63	0.00	0.00
191216100	COCA COLA CO	KO	2.0000	07/08/2013	03/11/2013	80.88	78.48	0.00	2.40	0.00	0.00
253868103	DIGITAL RLTY TR INC COM	DLR	1.0000	07/08/2013	03/11/2013	59.39	68.58	0.00	-9.19	0.00	0.00
291011104	EMERSON ELECTRIC CO	EMR	2.0000	07/08/2013	02/20/2013	113.48	116.62	0.00	-3.14	0.00	0.00
363576109	ARTHUR J GALLAGER & CO	AJG	2.0000	07/08/2013	02/20/2013	88.92	77.70	0.00	11.22	0.00	0.00

This is important tax information and is being furnished to you.

2013 Tax Information Statement

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Ref: APP

Account Number: 26-60897
Recipient's Tax ID Number: XX-XXX1349

Recipient's Name and Address:
SARGENT FAMILY FOUNDATION
MR. ROBERT PASQUEST, CPA
PASQUESI SHEPPARD LLC
585 BANK LANE
LAKE FOREST, IL 60045

THE NORTHERN TRUST COMPANY
P.O. BOX 803878
CHICAGO, IL 60680

☐ Corrected

☐ 2nd TIN notice

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Cusip	Description	Stock or Other Symbol	Quantity Sold	Date of Sale or Exchange	Date of Acquisition	Stocks Bonds, etc.	Cost or Other Basis	Wash Sale Loss Disallowed	Net Gain or Loss	Federal Income Tax Withheld	State Tax Withheld
369604103	GENERAL ELECTRIC CO	GE	5.0000	07/08/2013	03/11/2013	116.75	118.15	0.00	-1.40	0.00	0.00
37733W105	GLAXO PLC	GSK	2.0000	07/08/2013	02/01/2013	102.88	91.38	0.00	11.50	0.00	0.00
40414L109	HCP, INC	HCP	3.0000	07/08/2013	03/14/2013	133.42	147.27	0.00	-13.85	0.00	0.00
478160104	JOHNSON & JOHNSON	JNJ	1.0000	07/08/2013	03/11/2013	88.40	78.42	0.00	9.98	0.00	0.00
494368103	KIMBERLY CLARK CORP	KMB	1.0000	07/08/2013	03/11/2013	98.02	93.98	0.00	4.04	0.00	0.00
494568101	KINDER MORGAN INC DEL COM	KMI	3.0000	07/08/2013	02/20/2013	116.64	112.08	0.00	4.56	0.00	0.00
50076Q106	KRAFT FOODS GROUP INC COM	KRFT	3.0000	07/08/2013	03/14/2013	165.08	151.70	0.00	13.38	0.00	0.00
577081102	MATTEL INC	MAT	2.0000	07/08/2013	03/11/2013	92.20	82.58	0.00	9.62	0.00	0.00
580135101	MCDONALDS CORP	MCD	1.0000	07/08/2013	03/11/2013	99.94	98.74	0.00	1.20	0.00	0.00

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Account Number: 26-60897
 Recipient's Tax ID Number: XX-XXX1349
☐ Corrected ☐ 2nd TIN notice

Recipient's Name and Address:
 SARGENT FAMILY FOUNDATION
 MR. ROBERT PASQUEST, CPA
 PASQUESI SHEPPARD LLC
 585 BANK LANE
 LAKE FOREST, IL 60045

THE NORTHERN TRUST COMPANY
 P.O. BOX 803878
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594918104	MICROSOFT CORP COM	MSFT	3.0000	07/08/2013	02/01/2013	102.63	83.84	0.00	18.79	0.00	0.00
637417106	NATIONAL RETAIL PPTYS INC COM STK	NNN	1.0000	07/08/2013	03/11/2013	34.98	34.92	0.00	0.06	0.00	0.00
65339F101	NEXTERA ENERGY INC COM	NEE	1.0000	07/08/2013	03/11/2013	80.51	74.16	0.00	6.35	0.00	0.00
66987V109	ADR NOVARTIS AG SPONSORED ADR ISIN #US66987V1098	NVS	1.0000	07/08/2013	02/20/2013	70.97	69.83	0.00	1.14	0.00	0.00
682680103	ONEOK INC NEW	OKE	2.0000	07/08/2013	02/20/2013	82.39	95.60	0.00	-13.21	0.00	0.00
718172109	PHILIP MORRIS INTERNATIONAL	PM	1.0000	07/08/2013	02/20/2013	88.72	92.57	0.00	-3.85	0.00	0.00
742718109	PROCTER & GAMBLE CO	PG	1.0000	07/08/2013	03/11/2013	78.72	77.28	0.00	1.44	0.00	0.00
747525103	QUALCOMM INC	QCOM	1.0000	07/08/2013	05/06/2013	59.93	64.02	0.00	-4.09	0.00	0.00
756109104	RLTY INC CORP COM	O	1.0000	07/08/2013	03/11/2013	42.68	44.73	0.00	-2.05	0.00	0.00

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842587107	SOUTHERN CO	07/08/2013	03/11/2013	SO	90.58	0.00	-3.12	0.00	0.00
899896104	TUPPERWARE CORP	07/08/2013	02/19/2013	TUP	78.34	0.00	1.80	0.00	0.00
902973304	US BANCORP DEL NEW	07/08/2013	03/11/2013	USB	68.88	0.00	5.20	0.00	0.00
969457100	WILLIAMS COS INC	07/08/2013	02/01/2013	WMB	141.50	0.00	-8.78	0.00	0.00
09247X101	BLACKROCK INC CL A	08/01/2013	03/11/2013	BLK	4,952.90	0.00	753.04	0.00	0.00
253868103	DIGITAL RLTY TR INC COM	08/01/2013	Various	DLR	3,500.73	0.00	-858.79	0.00	0.00
09247X101	BLACKROCK INC CL A	08/02/2013	Various	BLK	3,212.47	0.00	495.89	0.00	0.00
253868103	DIGITAL RLTY TR INC COM	08/02/2013	Various	DLR	2,301.32	0.00	-506.84	0.00	0.00
032654105	ANALOG DEVICES INC	08/20/2013	03/11/2013	ADI	3,573.52	0.00	115.33	0.00	0.00

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637417106	NATIONAL RETAIL PPTYS INC COM STK	NNN	139.0000	08/20/2013	Various	4,346.55	4,841.29	0.00	-494.74	0.00	0.00
913017109	UNITED TECHNOLOGIES CORP	UTX	54.0000	08/20/2013	Various	5,520.86	5,008.13	0.00	512.73	0.00	0.00
032654105	ANALOG DEVICES INC	ADI	44.0000	08/21/2013	03/11/2013	2,059.52	2,042.01	0.00	17.51	0.00	0.00
637417106	NATIONAL RETAIL PPTYS INC COM STK	NNN	70.0000	08/21/2013	Various	2,183.48	2,295.18	0.00	-111.70	0.00	0.00
913017109	UNITED TECHNOLOGIES CORP	UTX	22.0000	08/21/2013	Various	2,245.58	1,987.13	0.00	258.45	0.00	0.00
032654105	ANALOG DEVICES INC	ADI	18.0000	08/22/2013	03/11/2013	849.87	835.37	0.00	14.50	0.00	0.00
637417106	NATIONAL RETAIL PPTYS INC COM STK	NNN	21.0000	08/22/2013	02/01/2013	648.29	668.98	0.00	-20.69	0.00	0.00
913017109	UNITED TECHNOLOGIES CORP	UTX	14.0000	08/22/2013	02/01/2013	1,436.64	1,256.78	0.00	179.86	0.00	0.00
032654105	ANALOG DEVICES INC	ADI	15.0000	08/23/2013	03/11/2013	707.18	696.14	0.00	11.04	0.00	0.00

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637417106	NATIONAL RETAIL PPTY'S INC COM STK	NNN	49.0000	08/23/2013	02/01/2013	1,533.45	1,560.96	0.00	-27.51	0.00	0.00
913017109	UNITED TECHNOLOGIES CORP	UTX	18.0000	08/23/2013	02/01/2013	1,855.76	1,615.86	0.00	239.90	0.00	0.00
372460105	GENUINE PARTS CO	GPC	39.0000	09/13/2013	03/11/2013	3,111.47	2,924.25	0.00	187.22	0.00	0.00
49456B101	KINDER MORGAN INC DEL COM	KMI	164.0000	09/13/2013	Various	5,773.19	6,126.77	0.00	-353.58	0.00	0.00
372460105	GENUINE PARTS CO	GPC	10.0000	09/16/2013	03/11/2013	800.85	749.81	0.00	51.04	0.00	0.00
49456B101	KINDER MORGAN INC DEL COM	KMI	159.0000	09/16/2013	Various	5,584.27	5,938.85	0.00	-354.58	0.00	0.00
49456B101	KINDER MORGAN INC DEL COM	KMI	26.0000	09/17/2013	03/11/2013	900.57	970.81	0.00	-70.24	0.00	0.00
110122108	BRISTOL MYERS SQUIBB CO	BMV	138.0000	11/15/2013	Various	7,231.40	5,169.23	0.00	2,062.17	0.00	0.00
842587107	SOUTHERN CO	SO	104.0000	11/15/2013	03/11/2013	4,378.58	4,710.16	0.00	-331.58	0.00	0.00

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842587107	SOUTHERN CO	SO	99.0000	11/18/2013	Various	4,185.27	4,456.19	0.00	-270.92	0.00	0.00
842587107	SOUTHERN CO	SO	73.0000	11/19/2013	02/01/2013	3,075.16	3,217.11	0.00	-141.95	0.00	0.00
842587107	SOUTHERN CO	SO	56.0000	11/20/2013	02/01/2013	2,330.03	2,467.92	0.00	-137.89	0.00	0.00
053015103	AUTOMATIC DATA PROCESSING INC	ADP	39.0000	12/06/2013	Various	3,104.14	2,519.03	0.00	585.11	0.00	0.00
49456B101	KINDER MORGAN INC DEL COM	KMI	119.0000	12/06/2013	03/11/2013	3,990.17	4,443.30	0.00	-453.13	0.00	0.00
053015103	AUTOMATIC DATA PROCESSING INC	ADP	60.0000	12/09/2013	Various	4,724.98	3,858.53	0.00	866.45	0.00	0.00
49456B101	KINDER MORGAN INC DEL COM	KMI	70.0000	12/09/2013	03/11/2013	2,342.36	2,613.71	0.00	-271.35	0.00	0.00
05534B760	BCE INC COM NEW	BCE	19.0000	12/23/2013	03/11/2013	817.32	874.04	0.00	-56.72	0.00	0.00
291011104	EMERSON ELECTRIC CO	EMR	15.0000	12/23/2013	02/20/2013	1,039.33	874.65	0.00	164.68	0.00	0.00

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Cusip	Description	Stock or Other Symbol		Wash Sale Loss Disallowed	Net Gain or Loss	Federal Income Tax Withheld		State Tax Withheld	
		Quantity Sold	Date of Sale or Exchange	Date of Acquisition	Stocks Bonds, etc.	Cost or Other Basis			
577081102	MATTEL INC								
27.0000	12/23/2013	03/11/2013			1,238.15	1,095.39	0.00	142.76	0.00
718172109	PHILIP MORRIS INTERNATIONAL								
13.0000	12/23/2013	02/20/2013			1,108.34	1,203.41	0.00	-95.07	0.00
Total Short Term Sales					173,810.22	170,940.99	0.00	2,869.23	0.00

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2013 Proceeds from Broker and Barter Exchange Transactions

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Cusip	Description	Stock or Other Symbol	Stocks Bonds, etc.	Cost or Other Basis	Wash Sale Loss Disallowed	Net Gain or Loss	Federal Income Tax Withheld	State Tax Withheld
Short Term Sales								
156700106	CENTURYTEL INC	CTL	3,251.45	3,966.72	0.00	-715.27	0.00	0.00
96.0000	02/14/2013 02/01/2013							
110122108	BRISTOL MYERS SQUIBB CO	BMY	16,821.14	15,128.84	0.00	1,692.30	0.00	0.00
410.0000	03/28/2013 02/01/2013							
680223104	OLD REPUBLIC INTERNATIONAL CORP	ORI	2,688.13	2,481.45	0.00	206.68	0.00	0.00
213.0000	03/28/2013 02/01/2013							
969457100	WILLIAMS COS INC	WMB	4,908.62	4,650.75	0.00	257.87	0.00	0.00
131.0000	03/28/2013 Various							
002824100	ABBOTT LABORATORIES	ABT	2,521.14	2,339.10	0.00	182.04	0.00	0.00
69.0000	04/30/2013 02/01/2013							
105368203	BRANDYWINE RLTY TR SH BEN INT NEW	BDN	1,867.04	1,580.43	0.00	286.61	0.00	0.00
120.0000	05/09/2013 02/01/2013							
423074103	H J HEINZ CO	HNZ	1,375.19	1,156.72	0.00	218.47	0.00	0.00
19.0000	05/09/2013 02/01/2013							
22025Y407	CORRECTIONS CORP AMER NEW	CXW	27.54	27.61	0.00	-0.07	0.00	0.00
7.100	05/23/2013 05/21/2013							
00206R102	AT&T INC	T	335.89	355.60	0.00	-19.71	0.00	0.00
10.0000	08/21/2013 02/01/2013							

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00287Y109	ABBVIE INC COM USD0.01	08/21/2013	02/01/2013	ABBV	85.22	0.00	10.94	0.00	0.00
2.0000					74.28				
02209S103	ALTRIA GROUP INC	08/21/2013	02/01/2013	MO	704.75	0.00	-12.16	0.00	0.00
21.0000					716.91				
023608102	AMEREN CORP COM	08/21/2013	02/01/2013	AEE	2,626.55	0.00	74.58	0.00	0.00
78.0000					2,551.97				
025537101	AMERICAN ELECTRIC POWER INC	08/21/2013	02/01/2013	AEP	85.12	0.00	-5.61	0.00	0.00
2.0000					90.73				
035710409	ANNALY MTG MGMT INC COM	08/21/2013	02/01/2013	NLY	33.09	0.00	-11.42	0.00	0.00
3.0000					44.51				
038222105	APPLIED MATERIALS INC	08/21/2013	02/01/2013	AMAT	4,966.80	0.00	762.38	0.00	0.00
319.0000					4,204.42				
062540109	BANK OF HAWAII CORPORATION	08/21/2013	02/01/2013	BOH	109.52	0.00	12.84	0.00	0.00
2.0000					96.68				
093671105	H & R BLOCK INC	08/21/2013	02/01/2013	HRB	173.10	0.00	34.92	0.00	0.00
6.0000					138.18				
166764100	CHEVRONTXACO CORP COM	08/21/2013	02/01/2013	CVX	4,712.93	0.00	57.99	0.00	0.00
40.0000					4,654.94				

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172062101	CINCINNATI FINANCIAL CORP	CINF	47.13	43.39	0.00	3.74	0.00	0.00
17275R102	CISCO SYS INC	CSCO	217.53	187.70	0.00	29.83	0.00	0.00
205363104	COMPUTER SCIENCES CORP	CSC	102.30	85.62	0.00	16.68	0.00	0.00
205887102	CONAGRA INC	CAG	3430.37	3,272.94	0.00	157.43	0.00	0.00
20825C104	CONOCOPHILLIPS	COP	328.44	292.75	0.00	35.69	0.00	0.00
22025Y407	CORRECTIONS CORP AMER NEW	CXW	348.78	386.98	0.00	-38.20	0.00	0.00
233331107	DTE ENERGY CO	DTE	201.12	191.76	0.00	9.36	0.00	0.00
263534109	E I DU PONT DE NEMOURS & CO	DD	2,809.00	2,352.49	0.00	456.51	0.00	0.00
291011104	EMERSON ELECTRIC CO	EMR	122.40	116.24	0.00	6.16	0.00	0.00

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30231G102	EXXON MOBIL CORP			XOM					
44.0000	08/21/2013	02/01/2013		3,826.61	3,954.28	0.00	-127.67	0.00	0.00
314211103	FEDERATED INVS INC PA CL B			FIL					
1.0000	08/21/2013	02/01/2013		27.57	23.73	0.00	3.84	0.00	0.00
36467W109	GAMESTOP CORP CL A COM			GME					
7.0000	08/21/2013	02/01/2013		332.47	171.78	0.00	160.69	0.00	0.00
364730101	GANNETT INC			GCI					
49.0000	08/21/2013	02/01/2013		1,214.73	975.97	0.00	238.76	0.00	0.00
369550108	GENERAL DYNAMICS CORP			GD					
80.0000	08/21/2013	02/01/2013		6,699.38	5,279.20	0.00	1,420.18	0.00	0.00
369604103	GENERAL ELECTRIC CO			GE					
436.0000	08/21/2013	02/01/2013		10,298.10	9,865.64	0.00	432.46	0.00	0.00
437076102	HOME DEPOT INC			HD					
9.0000	08/21/2013	02/01/2013		666.63	606.36	0.00	60.27	0.00	0.00
44106M102	HOSPITALITY PPTY'S TR COM SH BEN INT			HPT					
3.0000	08/21/2013	02/01/2013		81.90	76.69	0.00	5.21	0.00	0.00
45822P105	INTEGRYS ENERGY GROUP INC COM STK			TEG					
45.0000	08/21/2013	02/01/2013		2,571.39	2,494.35	0.00	77.04	0.00	0.00

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					Stocks, Bonds, etc.					Tax	Income	
459200101	29.0000	INTL BUSINESS MACHINES CORP	08/21/2013	02/01/2013	IBM	5,374.00	5,948.37	0.00	-574.37	0.00	0.00	0.00
46625H100	19.0000	J P MORGAN CHASE & CO	08/21/2013	02/01/2013	JPM	980.76	909.14	0.00	71.62	0.00	0.00	0.00
482480100	3.0000	KLA-TENCOR CORP	08/21/2013	02/01/2013	KLAC	167.17	167.65	0.00	-0.48	0.00	0.00	0.00
532457108	1.0000	ELI LILLY & CO	08/21/2013	02/01/2013	LLY	52.69	54.22	0.00	-1.53	0.00	0.00	0.00
594918104	22.0000	MICROSOFT CORP COM	08/21/2013	02/01/2013	MSFT	699.37	614.79	0.00	84.58	0.00	0.00	0.00
608554101	1.0000	MOLEX INC	08/21/2013	02/04/2013	MOLX	29.72	27.19	0.00	2.53	0.00	0.00	0.00
649445103	6.0000	NEW YORK COMMUNITY BANCORP INC COM	08/21/2013	02/01/2013	NYCB	91.92	80.33	0.00	11.59	0.00	0.00	0.00
681936100	3.0000	OMEGA HEALTHCARE INVS INC REIT	08/21/2013	02/01/2013	OHI	89.02	77.03	0.00	11.99	0.00	0.00	0.00
704326107	2.0000	PAYCHEX INC	08/21/2013	02/01/2013	PAYX	78.55	65.82	0.00	12.73	0.00	0.00	0.00

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2013 Tax Information Statement

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Account Number: 26-60898
Recipient's Tax ID Number: XX-XXX1349
Recipient's Name and Address:
SARGENT FAMILY FOUNDATION
MR. ROBERT PASQUEST, CPA
PASQUESI SHEPPARD LLC
585 BANK LANE
LAKE FOREST, IL 60045

THE NORTHERN TRUST COMPANY
P.O. BOX 803878
CHICAGO, IL 60680

☐ Corrected ☐ 2nd TIN notice

Sales are listed at Gross Proceeds less commissions and option premiums.

Cusip	Description	Date of Sale or Exchange	Date of Acquisition	Stock or Other Symbol	Cost or Other Basis	Wash Sale Loss Disallowed	Net Gain or Loss	Federal Income Tax Withheld	State Tax Withheld
713291102	PEPCO HOLDINGS INC	08/21/2013	02/01/2013	POM	56.79	0.00	-1.77	0.00	0.00
3.0000					58.56	0.00			
720190206	PIEDMONT OFFICE REALTY TRU-A	08/21/2013	02/01/2013	PDM	51.87	0.00	-5.63	0.00	0.00
3.0000					57.50	0.00			
723484101	PINNACLE WEST CAPITAL CORP	08/21/2013	02/01/2013	PNW	2,819.37	0.00	38.93	0.00	0.00
52.0000					2,780.44	0.00			
729251108	PLUM CREEK TIMBER CO INC COM	08/21/2013	02/01/2013	PCL	44.61	0.00	-3.65	0.00	0.00
1.0000					48.26	0.00			
755111507	RAYTHEON CO NEW	08/21/2013	02/01/2013	RTN	76.24	0.00	23.58	0.00	0.00
1.0000					52.66	0.00			
758766109	REGAL ENTERTAINMENT GROUP CL A COMMON	08/21/2013	02/01/2013	RGC	74.57	0.00	14.49	0.00	0.00
4.0000					60.08	0.00			
81721M109	SR HSG PPTYS TR SH BEN INT	08/21/2013	02/01/2013	SNH	45.96	0.00	-2.63	0.00	0.00
2.0000					48.59	0.00			
858119100	STEEL DYNAMICS INC COM	08/21/2013	02/01/2013	STLD	1,540.14	0.00	15.54	0.00	0.00
99.0000					1,524.60	0.00			
871829107	SYSCO CORP	08/21/2013	02/01/2013	SYV	194.10	0.00	1.56	0.00	0.00
6.0000					192.54	0.00			

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Cusip	Description	Date of Sale or Exchange	Date of Acquisition	Stocks or Other Symbol	Cost or Other Basis	Wash Sale Loss Disallowed	Net Gain or Loss	Federal Income Tax Withheld	State Tax Withheld
911312106	UNITED PARCEL SERVICE INC CL B			UPS					
5.0000	08/21/2013 02/01/2013			430.78	399.45	0.00	31.33	0.00	0.00
949746101	WELLS FARGO & CO NEW			WFC					
11.0000	08/21/2013 02/01/2013			465.84	386.43	0.00	79.41	0.00	0.00
963320106	WHIRLPOOL CORP			WHR					
44.0000	08/21/2013 02/01/2013			5,802.30	4,961.00	0.00	841.30	0.00	0.00
97381W104	#REORG/WINDSTREAM NAME CHANGE			WIN					
4.0000	08/21/2013 02/01/2013			32.02	38.44	0.00	-6.42	0.00	0.00
G1151C101	ACCENTURE PLC SHS CL A NEW			ACN					
5.0000	08/21/2013 02/01/2013			363.34	368.50	0.00	-5.16	0.00	0.00
G4412G101	HERBALIFE LTD COM STK			HLF					
36.0000	08/21/2013 02/01/2013			2,286.77	1,266.12	0.00	1,020.65	0.00	0.00
G7945M107	SEAGATE TECHNOLOGY PLC COM USD0.00001			STX					
2.0000	08/21/2013 02/01/2013			79.40	67.74	0.00	11.66	0.00	0.00
N53745100	LYONDELLBASELL IND N V COM USD0.01 CL			LYB					
3.0000	08/21/2013 02/01/2013			203.91	184.59	0.00	19.32	0.00	0.00
608554101	MOLEX INC			MOLX					
106.0000	12/09/2013 02/04/2013			4,100.08	2,882.14	0.00	1,217.94	0.00	0.00

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Cusip	Description	Date of Sale or Exchange	Date of Acquisition	Stocks or Other Symbol	Cost or Other Basis	Wash Sale Loss Disallowed	Net Gain or Loss	Federal Income Tax Withheld	State Tax Withheld
001055102	AFLAC INC	12/23/2013	02/01/2013	AFL	53.32	0.00	13.06	0.00	0.00
00206R102	AT&T INC	12/23/2013	02/01/2013	T	177.80	0.00	-5.05	0.00	0.00
00287Y109	ABBVIE INC COM USD0.01	12/23/2013	02/01/2013	ABBV	37.14	0.00	15.61	0.00	0.00
02209S103	ALTRIA GROUP INC	12/23/2013	02/01/2013	MO	204.83	0.00	22.75	0.00	0.00
025537101	AMERICAN ELECTRIC POWER INC	12/23/2013	02/01/2013	AEP	90.73	0.00	2.50	0.00	0.00
032654105	ANALOG DEVICES INC	12/23/2013	02/01/2013	ADI	44.65	0.00	5.64	0.00	0.00
035710409	ANNALY MTG MGMT INC COM	12/23/2013	02/01/2013	NLY	2,343.93	0.00	-733.69	0.00	0.00
158.0000	APPLE COMPUTER INC	12/23/2013	02/01/2013	AAPL	453.73	0.00	114.07	0.00	0.00
037833100	H & R BLOCK INC	12/23/2013	02/01/2013	HRB	57.18	0.00	11.12	0.00	0.00

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LAKE FOREST, IL 60045

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Recipient's Tax ID Number: XX-XXX1349

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Cusip	Description	Date of Sale or Exchange	Date of Acquisition	Stock or Other Symbol	Cost or Other Basis	Wash Sale Loss Disallowed	Net Gain or Loss	Federal Income Tax Withheld	State Tax Withheld
097023105	BOEING CO	12/23/2013	08/21/2013	BA	208.62	0.00	65.69	0.00	0.00
2.0000									
172062101	CINCINNATI FINANCIAL CORP	12/23/2013	02/01/2013	CINF	43.39	0.00	8.70	0.00	0.00
1.0000									
17275R102	CISCO SYS INC	12/23/2013	02/01/2013	CSCO	83.42	0.00	2.54	0.00	0.00
4.0000									
201723103	COMMERCIAL METALS COMPANY	12/23/2013	02/01/2013	CMC	50.79	0.00	7.89	0.00	0.00
3.0000									
20825C104	CONOCOPHILLIPS	12/23/2013	02/01/2013	COP	175.65	0.00	33.45	0.00	0.00
3.0000									
22025Y407	CORRECTIONS CORP AMER NEW	12/23/2013	03/28/2013	CXW	38.45	0.00	-5.95	0.00	0.00
1.0000									
248019101	DELUXE CORP	12/23/2013	08/21/2013	DLX	42.87	0.00	8.68	0.00	0.00
1.0000									
260543103	DOW CHEMICAL CO	12/23/2013	Various	DOW	102.44	0.00	30.01	0.00	0.00
3.0000									
263534109	E I DU PONT DE NEMOURS & CO	12/23/2013	02/01/2013	DD	96.02	0.00	29.51	0.00	0.00
2.0000									

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CHICAGO, IL 60680

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Cusip	Description	Date of Sale or Exchange	Date of Acquisition	Stock or Other Symbol		Cost or Other Basis	Wash Sale Loss Disallowed	Net Gain or Loss	Federal Income Tax Withheld	State Tax Withheld
				Stocks	Bonds, etc.					
314211103	FEDERATED INVS INC PA CL B									
2.0000	12/23/2013	02/01/2013		56.38		47.46	0.00	8.92	0.00	0.00
36467W109	GAMESTOP CORP CL A COM									
2.0000	12/23/2013	02/01/2013		99.49		49.08	0.00	50.41	0.00	0.00
364730101	GANNETT INC									
2.0000	12/23/2013	02/01/2013		57.06		39.84	0.00	17.22	0.00	0.00
369604103	GENERAL ELECTRIC CO									
2.0000	12/23/2013	02/01/2013		54.82		45.26	0.00	9.56	0.00	0.00
395259104	GREENHILL & CO INC COM									
1.0000	12/23/2013	02/01/2013		57.63		58.81	0.00	-1.18	0.00	0.00
419870100	HAWAIIAN ELEC INDS INC COM									
1.0000	12/23/2013	02/01/2013		26.01		27.14	0.00	-1.13	0.00	0.00
436106108	HOLLYFRONTIER CORP COM									
2.0000	12/23/2013	08/21/2013		98.40		91.54	0.00	6.86	0.00	0.00
437076102	HOME DEPOT INC									
4.0000	12/23/2013	02/01/2013		322.29		269.49	0.00	52.80	0.00	0.00
462846106	IRON MOUNTAIN INC									
2.0000	12/23/2013	12/11/2013		60.36		58.07	0.00	2.29	0.00	0.00

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Cusip	Description	Date of Sale or Exchange	Date of Acquisition	Stocks or Other Symbol	Cost or Other Basis	Wash Sale Loss Disallowed	Net Gain or Loss	Federal Income Tax Withheld	State Tax Withheld
46625H100	J P MORGAN CHASE & CO	12/23/2013	02/01/2013	JPM	334.95	0.00	73.07	0.00	0.00
524660107	LEGGETT & PLATT INC	12/23/2013	02/01/2013	LEG	29.55	0.00	1.35	0.00	0.00
532457108	ELI LILLY & CO	12/23/2013	02/01/2013	LLY	108.44	0.00	6.74	0.00	0.00
535678106	LINEAR TECHNOLOGY	12/23/2013	02/01/2013	LLTC	37.04	0.00	8.02	0.00	0.00
552676108	M D C HLDGS INC	12/23/2013	08/21/2013	MDC	29.91	0.00	1.66	0.00	0.00
58933Y105	MERCK & CO INC	12/23/2013	08/21/2013	MRK	95.48	0.00	3.38	0.00	0.00
594918104	MICROSOFT CORP COM	12/23/2013	02/01/2013	MSFT	195.61	0.00	61.15	0.00	0.00
620076307	MOTOROLA SOLUTIONS INC	12/23/2013	02/01/2013	MSI	58.99	0.00	7.81	0.00	0.00
649445103	NEW YORK COMMUNITY BANCORP INC COM	12/23/2013	02/01/2013	NYCB	26.77	0.00	6.45	0.00	0.00

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Recipient's Name and Address:
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585 BANK LANE
LAKE FOREST, IL 60045

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THE NORTHERN TRUST COMPANY
P.O. BOX 803878
CHICAGO, IL 60680

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Cusip	Description	Date of Sale or Exchange	Date of Acquisition	Stocks Bonds, etc.	Cost or Other Basis	Wash Sale Loss Disallowed	Net Gain or Loss	Federal Income Tax Withheld	State Tax Withheld
666807102	NORTHROP GRUMMAN CORP COM	12/23/2013	08/21/2013	NOC	94.44	0.00	18.46	0.00	0.00
1.0000				112.90					
670346105	NUCOR CORP	12/23/2013	02/01/2013	NUE	3,574.28	0.00	391.69	0.00	0.00
76.0000				3,965.97					
681936100	OMEGA HEALTHCARE INVS INC REIT	12/23/2013	02/01/2013	OHI	25.59	0.00	4.45	0.00	0.00
1.0000				30.04					
712704105	PEOPLES UTD FINL INC COM	12/23/2013	08/21/2013	PBCT	14.80	0.00	0.04	0.00	0.00
1.0000				14.84					
713291102	PEPCO HOLDINGS INC	12/23/2013	02/01/2013	POM	39.04	0.00	-1.18	0.00	0.00
2.0000				37.86					
717081103	PFIZER INC	12/23/2013	03/28/2013	PFE	230.89	0.00	12.01	0.00	0.00
8.0000				242.90					
720190206	PIEDMONT OFFICE REALTY TRU-A	12/23/2013	02/01/2013	PDM	38.05	0.00	-3.98	0.00	0.00
2.0000				34.07					
755111507	RAYTHEON CO NEW	12/23/2013	02/01/2013	RTN	52.66	0.00	36.62	0.00	0.00
1.0000				89.28					
758766109	REGAL ENTERTAINMENT GROUP CL A COMMON	12/23/2013	02/01/2013	RGC	30.04	0.00	9.16	0.00	0.00
2.0000				39.20					

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Cusip	Quantity Sold	Description	Date of Sale or Exchange	Date of Acquisition	Stock or Other Symbol		Cost or Other Basis	Wash Sale Loss Disallowed	Net Gain or Loss	Federal Income Tax Withheld	State Tax Withheld
					Stocks	Bonds, etc.					
855030102		STAPLES INC			SPLS						
3.0000		12/23/2013	08/21/2013		47.76		42.66	0.00	5.10	0.00	0.00
871829107		SYSCO CORP			SY						
54.0000		12/23/2013	02/01/2013		1,966.65		1,732.86	0.00	233.79	0.00	0.00
872375100		TECO ENERGY INC COM			TE						
3.0000		12/23/2013	02/01/2013		51.06		53.28	0.00	-2.22	0.00	0.00
882508104		TEXAS INSTRUMENTS INC			TXN						
1.0000		12/23/2013	08/21/2013		43.27		38.36	0.00	4.91	0.00	0.00
911312106		UNITED PARCEL SERVICE INC CL B			UPS						
2.0000		12/23/2013	02/01/2013		207.18		159.78	0.00	47.40	0.00	0.00
919794107		VAL NATL BANCORP COM			VLY						
3.0000		12/23/2013	08/21/2013		30.15		31.71	0.00	-1.56	0.00	0.00
92240G101		VECTREN CORP			VVC						
2.0000		12/23/2013	08/21/2013		70.48		67.43	0.00	3.05	0.00	0.00
92343V104		VERIZON COMMUNICATIONS			VZ						
91.0000		12/23/2013	Various		4,423.89		4,071.42	0.00	352.47	0.00	0.00
949746101		WELLS FARGO & CO NEW			WFC						
4.0000		12/23/2013	02/01/2013		181.80		140.52	0.00	41.28	0.00	0.00

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Cusip	Description	Date of Sale or Exchange	Date of Acquisition	Stocks or Other Symbol	Cost or Other Basis	Wash Sale Loss Disallowed	Net Gain or Loss	Federal Income Tax Withheld	State Tax Withheld
959802109	WESTERN UNION CO	12/23/2013	08/21/2013	WU	53.88	0.00	-2.67	0.00	0.00
3.0000									
97382A101	WINDSTREAM HLDGS INC COM	12/23/2013	02/01/2013	WIN	1,811.17	0.00	-232.83	0.00	0.00
191.0000									
G1151C101	ACCENTURE PLC SHS CL A NEW	12/23/2013	02/01/2013	ACN	147.40	0.00	14.86	0.00	0.00
2.0000									
G7945M107	SEAGATE TECHNOLOGY PLC COM USD0.000001	12/23/2013	02/01/2013	STX	33.87	0.00	21.96	0.00	0.00
1.0000									
H2906T109	GARMIN LTD COMMON STOCK	12/23/2013	02/01/2013	GRMN	38.63	0.00	7.43	0.00	0.00
1.0000									
Total Short Term Sales					116,379.92	0.00	9,779.14	0.00	0.00

This is important tax information and is being furnished to you.

- If you are filing for an **Additional (Not Automatic) 3-Month Extension**, complete only **Part II** and check this box ☒ **X**
- Note.** Only complete Part II if you have already been granted an automatic 3-month extension on a previously filed Form 8868.
- If you are filing for an **Automatic 3-Month Extension**, complete only **Part I** (on page 1).

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

Enter filer's identifying number, see instructions.

Type or print File by the due date for filing your return. See instructions.	Name of exempt organization or other filer, see instructions.	Employer identification number (EIN) or
	SARGENT FAMILY FOUNDATION	35-7011349
	Number, street, and room or suite no. If a P.O. box, see instructions.	Social security number (SSN)
	1500 TOWER ROAD	
	City, town or post office, state, and ZIP code. For a foreign address, see instructions.	
	WINNETKA, IL 60093	

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

04

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

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

- The books are in the care of **1500 TOWER ROAD - WINNETKA, IL 60093**

Telephone No. **847-234-5000**Fax No.

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

4 I request an additional 3-month extension of time until **NOVEMBER 15, 2014.**5 For calendar year **2013**, or other tax year beginning , and ending .6 If the tax year entered in line 5 is for less than 12 months, check reason: ☐ Initial return ☐ Final return☐ Change in accounting period

7 State in detail why you need the extension

ADDITIONAL TIME IS REQUIRED TO GATHER THE INFORMATION NECESSARY TO COMPLETE THE RETURN.

8a If this application is for Forms 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions.	8a	\$	2,500.
b If this application is for Forms 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit and any amount paid previously with Form 8868.	8b	\$	2,500.
c Balance due. Subtract line 8b from line 8a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions.	8c	\$	0.

Signature and Verification must be completed for Part II only.

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

Signature Title **TRUSTEE**Date

Application for Extension of Time To File an Exempt Organization Return

OMB No. 1545-1709

► File a separate application for each return.

► Information about Form 8868 and its instructions is at www.irs.gov/form8868.

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

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

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

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

A corporation required to file Form 990-T and requesting an automatic 6-month extension - check this box and complete

Part I only ☐

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

Type or print	Name of exempt organization or other filer, see instructions	Enter filer's identifying number
	SARGENT FAMILY FOUNDATION	Employer identification number (EIN) or
	Number, street, and room or suite no. If a P.O. box, see instructions.	35-7011349
File by the due date for filing your return. See instructions.	1500 TOWER ROAD	Social security number (SSN)
	City, town or post office, state, and ZIP code. For a foreign address, see instructions.	
	WINNETKA, IL 60093	

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

0 4

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

GEORGE E. SARGENT

- The books are in the care of ► **1500 TOWER ROAD - WINNETKA, IL 60093**

Telephone No ► **847-234-5000**

Fax No ►

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

1 I request an automatic 3-month (6 months for a corporation required to file Form 990-T) extension of time until **AUGUST 15, 2014**, to file the exempt organization return for the organization named above. The extension is for the organization's return for:
 ► ☒ calendar year **2013** or
 ► ☐ tax year beginning _____, and ending _____

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

3a If this application is for Forms 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions.	3a	\$	2,500.
b If this application is for Forms 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit.	3b	\$	2,000.
c Balance due. Subtract line 3b from line 3a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions.	3c	\$	500.

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