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**Return of Private Foundation**

**2013**

Department of the Treasury  
Internal Revenue Service

or Section 4947(a)(1) Trust Treated as Private Foundation  
Do not enter Social Security numbers on this form as it may be made public.

Information about Form 990-PF and its separate instructions is at [www.irs.gov/form990](http://www.irs.gov/form990)

Open to Public Inspection

For calendar year 2013 or tax year beginning , and ending

Name of foundation  
**THE FIELD-STEPHEN FOUNDATION**  
**C/O THOMAS E. SWANEY**

Number and street (or P O box number if mail is not delivered to street address) Room/suite  
**ONE SOUTH DEARBORN STREET** **09E021**

City or town, state or province, country, and ZIP or foreign postal code  
**CHICAGO, IL 60603**

A Employer identification number  
**36-4119196**

B Telephone number  
**(312)853-7000**

C If exemption application is pending, check here

D 1 Foreign organizations, check here   
2 Foreign organizations meeting the 85% test, check here and attach computation

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

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

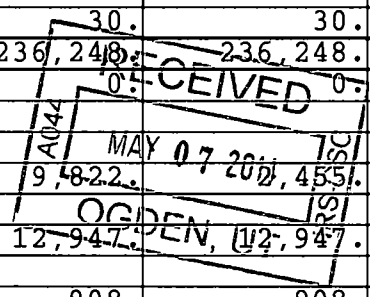
G Check all that apply  Initial return  Initial return of a former public charity  
 Final return  Amended return  
 Address change  Name change

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

I Fair market value of all assets at end of year (from Part II, col (c), line 16) **\$ 2,455,733.** (Part I, column (d) must be on cash basis)  
J Accounting method:  Cash  Accrual  
 Other (specify)

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a))		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc., received	0.		N/A	
	2 Check <input checked="" type="checkbox"/> if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments				
	4 Dividends and interest from securities	43,338.	43,338.		STATEMENT 1
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	192,880.			
	b Gross sales price for all assets on line 6a	1,150,714.			
	7 Capital gain net income (from Part IV line 2)		192,880.		
	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	30.	30.		STATEMENT 2	
12 Total. Add lines 1 through 11	236,248.	236,248.			
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc				0.
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees STMT 3	9,822.	7,455.		7,367.
	b Accounting fees				
	c Other professional fees STMT 4	12,947.	12,947.		0.
	17 Interest				
	18 Taxes STMT 5	908.	908.		0.
	19 Depreciation and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses				
	24 Total operating and administrative expenses Add lines 13 through 23	23,677.	16,310.		7,367.
	25 Contributions, gifts, grants paid	149,000.			149,000.
26 Total expenses and disbursements. Add lines 24 and 25	172,677.	16,310.		156,367.	
27 Subtract line 26 from line 12					
a Excess of revenue over expenses and disbursements	63,571.				
b Net investment income (if negative, enter -0-)		219,938.			
c Adjusted net income (if negative, enter -0-)			N/A		

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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	59,819.	92,920.	92,920.
	3 Accounts receivable ▶			
	Less allowance for doubtful accounts ▶ SEE STMT 8	29,037.		
	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 6	34,016.	0.	0.
	c Investments - corporate bonds			
	11 Investments land, buildings, and equipment basis ▶			
Less accumulated depreciation ▶				
12 Investments - mortgage loans				
13 Investments - other STMT 7	1,878,120.	1,971,261.	2,362,813.	
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)	2,000,992.	2,064,181.	2,455,733.	
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 ▶ <input type="checkbox"/>			
	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 ▶ <input checked="" type="checkbox"/>			
	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	2,000,992.	2,064,181.		
30 Total net assets or fund balances	2,000,992.	2,064,181.		
31 Total liabilities and net assets/fund balances	2,000,992.	2,064,181.		

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	2,000,992.
2 Enter amount from Part I, line 27a	2	63,571.
3 Other increases not included in line 2 (itemize) ▶	3	0.
4 Add lines 1, 2, and 3	4	2,064,563.
5 Decreases not included in line 2 (itemize) ▶ COST BASIS ADJUSTMENT	5	382.
6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	2,064,181.

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

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse, or common stock, 200 shs. MLC Co.)	(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a SEE ATTACHED (SHORT-TERM)	P		
b SEE ATTACHED (SHORT-TERM)	P		
c SEE ATTACHED (LONG-TERM)	P		
d SEE ATTACHED (LONG-TERM)	P		
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 318,885.		308,283.	10,602.
b 1,758.		2,033.	<275.>
c 72,130.		60,687.	11,443.
d 726,857.		586,831.	140,026.
e 31,084.			31,084.

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
(i) FMV as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
a			10,602.
b			<275.>
c			11,443.
d			140,026.
e			31,084.

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	192,880.
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.

(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	199,612.	2,133,057.	.093580
2011	74,279.	2,213,134.	.033563
2010	183,782.	2,219,639.	.082798
2009	211,568.	1,965,188.	.107658
2008	120,555.	2,168,648.	.055590

2 Total of line 1, column (d)	2	.373189
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	.074638
4 Enter the net value of noncharitable-use assets for 2013 from Part X, line 5	4	2,350,044.
5 Multiply line 4 by line 3	5	175,403.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	2,199.
7 Add lines 5 and 6	7	177,602.
8 Enter qualifying distributions from Part XII, line 4 If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate. See the Part VI instructions.	8	156,367.

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

1a	Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1 Date of ruling or determination letter: _____ (attach copy of letter if necessary-see instructions)		
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input type="checkbox"/> and enter 1% of Part I, line 27b	1	4,399.
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	4,399.
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	4,399.
6	Credits/Payments		
a	2013 estimated tax payments and 2012 overpayment credited to 2013	6a	6,564.
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	6,564.
8	Enter any penalty for underpayment of estimated tax. Check here <input type="checkbox"/> if Form 2220 is attached	8	
9	Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9	
10	Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	2,165.
11	Enter the amount of line 10 to be: Credited to 2014 estimated tax <input type="checkbox"/> 2,165. Refunded <input type="checkbox"/>	11	0.

**Part VII-A Statements Regarding Activities**

	Yes	No
1a		X
1b		X
1c		X
2		X
3		X
4a		X
4b		
5		X
6	X	
7	X	
8a		
8b	X	
9		X
10		X

N/A

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

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)		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)		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► <u>N/A</u>	X	
14	The books are in care of ► <u>THOMAS E. SWANEY</u> Telephone no. ► <u>(312) 853-7000</u> Located at ► <u>ONE SOUTH DEARBORN STREET, #09E021, CHICAGO, IL</u> ZIP+4 ► <u>60603</u>		
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here and enter the amount of tax-exempt interest received or accrued during the year ►   15   <u>N/A</u>		
16	At any time during calendar year 2013, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? See the instructions for exceptions and filing requirements for Form TD F 90-22.1. If "Yes," enter the name of the foreign country ►	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? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(2)	Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(3)	Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(4)	Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(5)	Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(6)	Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b	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 <input type="checkbox"/>	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? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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

**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)?  Yes  No  
Organizations relying on a current notice regarding disaster assistance check here  N/A

c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?  Yes  No  
If "Yes," attach the statement required by Regulations section 53.4945-5(d) N/A

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?  Yes  No

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?  Yes  No

**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
KATHERINE FIELD STEPHEN 3040 DUMBARTON AVENUE, N.W. WASHINGTON, DC 20007	PRESIDENT & DIRECTOR 1.00	0.	0.	0.
ANDREW STEPHEN 3040 DUMBARTON AVENUE, N.W. WASHINGTON, DC 20007	TREASURER & DIRECTOR 1.00	0.	0.	0.
THOMAS E. SWANEY ONE SOUTH DEARBORN ST., #09E021 CHICAGO, IL 60603	SECRETARY & DIRECTOR 1.00	0.	0.	0.

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

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

Total number of other employees paid over \$50,000 0

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

**3** Five highest-paid independent contractors for professional services. If none, enter "NONE."

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

Total number of others receiving over \$50,000 for professional services ▶ 0

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

List the foundation's four largest direct charitable activities during the tax year. Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc

	Expenses
1 N/A	
2	
3	
4	

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

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

	Amount
1 N/A	
2	
All other program-related investments. See instructions.	
3	

Total. Add lines 1 through 3 ▶ 0.

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes		
a	Average monthly fair market value of securities	1a	2,310,228.
b	Average of monthly cash balances	1b	75,603.
c	Fair market value of all other assets	1c	
d	Total (add lines 1a, b, and c)	1d	2,385,831.
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	2,385,831.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	35,787.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	2,350,044.
6	Minimum investment return. Enter 5% of line 5	6	117,502.

**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	117,502.
2a	Tax on investment income for 2013 from Part VI, line 5	2a	4,399.
b	Income tax for 2013 (This does not include the tax from Part VI)	2b	
c	Add lines 2a and 2b	2c	4,399.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	113,103.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	113,103.
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	113,103.

**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	156,367.
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	156,367.
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	0.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	156,367.

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				113,103.
2 Undistributed income, if any, as of the end of 2013				
a Enter amount for 2012 only			0.	
b Total for prior years:		0.		
3 Excess distributions carryover, if any, to 2013				
a From 2008	13,332.			
b From 2009	113,962.			
c From 2010	92,590.			
d From 2011				
e From 2012	93,923.			
f Total of lines 3a through e	313,807.			
4 Qualifying distributions for 2013 from Part XII, line 4: ▶ \$	156,367.			
a Applied to 2012, but not more than line 2a			0.	
b Applied to undistributed income of prior years (Election required - see instructions)		0.		
c Treated as distributions out of corpus (Election required - see instructions)	0.			
d Applied to 2013 distributable amount				113,103.
e Remaining amount distributed out of corpus	43,264.			
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:	357,071.			
a Corpus. Add lines 3f, 4c, and 4e. Subtract line 5				
b Prior years' undistributed income. Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b. Taxable amount - see instructions		0.		
e Undistributed income for 2012. Subtract line 4a from line 2a. Taxable amount - see instr			0.	
f Undistributed income for 2013. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2014				0.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3)	0.			
8 Excess distributions carryover from 2008 not applied on line 5 or line 7	13,332.			
9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a	343,739.			
10 Analysis of line 9.				
a Excess from 2009	113,962.			
b Excess from 2010	92,590.			
c Excess from 2011				
d Excess from 2012	93,923.			
e Excess from 2013	43,264.			

THE FIELD-STEPHEN FOUNDATION

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

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

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

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

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

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

**KATHERINE FIELD STEPHEN**  
 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

THE FIELD-STEPHEN FOUNDATION

Form 990-PF (2013)

C/O THOMAS E. SWANEY

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**Part XV** Supplementary Information (continued)

3 Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a Paid during the year</b>				
THE COLLEGE FOUNDATION - UNIVERSITY OF VIRGINIA P.O. BOX 400801 CHARLOTTESVILLE, VA 22904	N/A	PUBLIC	COLLEGE FACULTY CHALLENGE	25,000.
ADVENTURE UNLIMITED 5201 S. QUEBEC STREET GREENWOOD VILLAGE, CO 80111	N/A	PUBLIC	GENERAL FUND	7,000.
CAMP NEWFOUND-OWATONNA 4 CAMP NEWFOUND ROAD HARRISON, ME 04040	N/A	PUBLIC	GENERAL FUND	3,000.
CHRIST CHURCH GEORGETOWN 3116 O STREET N.W. WASHINGTON, DC 80111	N/A	PUBLIC	ANNUAL FUND	3,000.
COLUMBIA UNIVERSITY GRADUATE SCHOOL OF JOURNALISM 2950 BROADWAY AT 116TH STREET NEW YORK, NY 10027	N/A	PUBLIC	GENERAL FUND	7,000.
<b>Total</b>			SEE CONTINUATION SHEET(S) ▶ 3a	149,000.
<b>b Approved for future payment</b>				
NONE				
<b>Total</b>				
			▶ 3b	0.



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

Table with 2 main columns: Question (1-6) and Yes/No. Includes sub-questions a, b, c, d regarding transfers and transactions.

Table with 4 columns: (a) Line no, (b) Amount involved, (c) Name of noncharitable exempt organization, (d) Description of transfers, transactions, and sharing arrangements.

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 [X] No

b If "Yes," complete the following schedule.

Table with 3 columns: (a) Name of organization, (b) Type of organization, (c) Description of relationship.

Sign Here Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than taxpayer) is based on all information of which preparer has any knowledge. Signature of officer or trustee: Kathleen O. Scallan, Date: 4/30/14, Title: PRESIDENT.

May the IRS discuss this return with the preparer shown below (see instr.)? [X] Yes [ ] No

Paid Preparer Use Only section containing fields for Print/Type preparer's name (KATHLEEN O. SCALLAN), Preparer's signature, Date (4/24/14), Check self-employed, PTIN (P00231103), Firm's name (SIDLEY AUSTIN LLP), Firm's EIN (36-4474078), Firm's address (ONE S. DEARBORN CHICAGO, IL 60603), and Phone no ((312) 853-7000).

THE FIELD-STEPHEN FOUNDATION  
C/O THOMAS E. SWANEY

36-4119196

Part XV Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)

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
FIFTH CHURCH OF CHRIST 1238 31ST STREET N.W. WASHINGTON, DC 20007	N/A	PUBLIC	GENERAL FUND	18,000.
FIRST CHURCH OF CHRIST, SCIENTIST 210 MASSACHUSETTS AVE. BOSTON, MA 02115	N/A	PUBLIC	GENERAL FUND	20,000.
LYNN HOUSE OF POTOMAC VALLEY 4400 BRADDOCK ROAD ALEXANDRIA, VA 22304	N/A	PUBLIC	GENERAL FUND	5,000.
PEN FAULKNER FOUNDATION 201 E. CAPITOL STREET S.E. WASHINGTON, DC 20003	N/A	PUBLIC	GENERAL FUND	12,000.
THE COLLEGE FOUNDATION - UNIVERSITY OF VIRGINIA P.O. BOX 400801 CHARLOTTESVILLE, VA 22904	N/A	PUBLIC	COLLEGE ADVISING SEMINARS	25,000.
SMITH COLLEGE DEVELOPMENT OFFICE NORTHAMPTON, MA 01063	N/A	PUBLIC	GENERAL FUND	5,000.
ST. ALBANS SCHOOL MOUNT ST. ALBAN WASHINGTON, DC 20016	N/A	PUBLIC	GENERAL FUND	2,500.
UNIVERSITY OF VIRGINIA PARENTS COMMITTEE P.O. BOX 400807 CHARLOTTESVILLE, VA 22904	N/A	PUBLIC	GENERAL FUND	2,500.
NATIONAL CATHEDRAL SCHOOL 3612 WOODLEY ROAD N.W. WASHINGTON, DC 20016	N/A	PUBLIC	GENERAL FUND	2,500.
WORLD WILDLIFE FUND P.O. BOX 97180 WASHINGTON, DC 20037	N/A	PUBLIC	GENERAL FUND	3,000.
Total from continuation sheets				104,000.



FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 1

SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	(A) REVENUE PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME
JP MORGAN ACCOUNT 2620480500	74,422.	31,084.	43,338.	43,338.	
TO PART I, LINE 4	74,422.	31,084.	43,338.	43,338.	

FORM 990-PF OTHER INCOME STATEMENT 2

DESCRIPTION	(A) REVENUE PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME
CLASS ACTION SETTLEMENTS	30.	30.	
TOTAL TO FORM 990-PF, PART I, LINE 11	30.	30.	

FORM 990-PF LEGAL FEES STATEMENT 3

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
SIDLEY AUSTIN LLP	9,822.	2,455.		7,367.
TO FM 990-PF, PG 1, LN 16A	9,822.	2,455.		7,367.

FORM 990-PF OTHER PROFESSIONAL FEES STATEMENT 4

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
JP MORGAN ACCOUNT 2620480500 (MANAGEMENT FEES)	12,647.	12,647.		0.
TAX PREPARATION FEE	300.	300.		0.
TO FORM 990-PF, PG 1, LN 16C	12,947.	12,947.		0.

FORM 990-PF	TAXES			STATEMENT 5
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FOREIGN TAXES	908.	908.		0.
TO FORM 990-PF, PG 1, LN 18	908.	908.		0.

FORM 990-PF	CORPORATE STOCK		STATEMENT 6
DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE	
BED BATH & BEYOND INC	0.	0.	
DANAHER CORP	0.	0.	
PRAXAIR INC	0.	0.	
QUALCOMM INC	0.	0.	
TOTAL TO FORM 990-PF, PART II, LINE 10B	0.	0.	

FORM 990-PF	OTHER INVESTMENTS		STATEMENT 7
DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
ACCENTURE PLC-CL A	COST	0.	0.
INV BALANCED RISK (F/K/A AIM INVT FDS)	COST	76,996.	73,360.
ARTISAN INTL VALUE FUND-INV	COST	111,666.	144,996.
ASTON OPTIMUM - MID CAP FUND I	COST	54,641.	71,743.
BARC 100% PP CNY NOTE 5/30/14	COST	15,469.	15,674.
BARC BREN COMMODITY BSKT 2/27/14	COST	20,000.	19,840.
BARC PARTICIPATING GOLD NOTE	COST	0.	0.
BARC REN SPX 7/3/13	COST	0.	0.
BNP BREN EAFE 6/19/13	COST	0.	0.
BNP DELTA ONE MSCI WORLD TR 6/14/13	COST	0.	0.
CS BREN ASIA BASKET 11/27/13	COST	0.	0.
DB MARKET PLUS SX5E 3/19/14	COST	20,000.	24,017.
DELAWARE EMERGING MARKETS FUND	COST	0.	0.
DODGE & COX INTL STK FUND	COST	109,623.	119,878.
DOUBLELINE FDS TR	COST	47,925.	46,040.
EATON VANCE FLOATING RATE- ADVANTAGE I	COST	46,052.	47,320.
EATON VANCE MUT FDS TR	COST	0.	0.

EATON VANCE MUT FDS TR GLOBAL MACRO	COST	0.	0.
EDGEWOOD GROWTH FUND	COST	0.	0.
GATEWAY FUND - Y	COST	57,244.	59,928.
GS CONT BUFF EQ SPX 12/4/13	COST	0.	0.
GS MARKET PLUS ASIA FX NT 5/16/14	COST	15,000.	13,691.
HIGHBRIDGE DYNAMIC COMMODITIES	COST	0.	0.
HSBC BREN EAFE 5/1/13	COST	0.	0.
HSBC DELTA ONE MSCI WORLD TR 6/14/13	COST	0.	0.
ISHARES MSCI ALL COUNTRY ASIA	COST	35,910.	42,760.
ISHARES MSCI EAFE INDEX FUND	COST	72,417.	82,527.
ISHARES TR RUSSELL MIDCAP INDEX FD	COST	23,678.	75,890.
JOHN HANCOCK II-EMG MKTS-I	COST	28,253.	28,503.
JPM BREN EAFE 8/7/13	COST	0.	0.
JPM BREN EAFE 9/11/13	COST	0.	0.
JPM LARGE CAP GROWTH FD-SEL	COST	77,224.	115,238.
JPM REALTY INCOME FD	COST	0.	0.
JPM US EQUITY FD-SEL	COST	60,292.	79,968.
JPMORGAN HIGH YIELD BOND FUND	COST	0.	0.
JPMORGAN INTERNATIONAL CURRENCY INCOME FUND	COST	0.	0.
JPMORGAN MARKET EXPANSION INDEX FUND	COST	34,830.	50,458.
JPMORGAN SHORT DURATION BOND FUND	COST	52,083.	52,908.
JPMORGAN STRATEGIC INCOME	COST	43,489.	47,110.
MANNING & NAPIER FUND INC	COST	0.	0.
NEUBERGER BERMAN MULTI CAP	COST	83,900.	122,745.
PIMCO FDS	COST	23,093.	22,022.
PRIMECAP ODYSSEY FUNDS	COST	92,496.	123,900.
ROWE, T PRICE INTL FDS INC NEW ASIA	COST	62,671.	81,863.
SPDR GOLD TRUST	COST	0.	0.
SPDR S&P 500 ETF TRUST	COST	121,798.	184,875.
VANGUARD FI SECS F INTR TRM CP PT	COST	0.	0.
EQUINOX FDS TR EQNX CG STGY I	COST	65,230.	65,542.
HARTFORD CAPITAL APPRECIATION FUND	COST	34,962.	43,083.
JPM CHINA REGION FD-SEL FUND 3810	COST	18,595.	21,630.
JPM CORE BOND FD-SEL FUND 3720	COST	20,147.	19,922.
JPM ENHANCED BETA DAILY RETURN	COST	25,000.	25,473.
JPM REN MXEA 10/16/14	COST	25,000.	25,803.
JPM TR I INTREPID EUR FD-1300	COST	27,011.	28,127.
JPM TR I GL RES ENH IDX FD 3457	COST	120,329.	129,952.
OAKMARK INTERNATIONAL FD	COST	110,662.	115,034.
PIMCO COMMODITIES PLUS STRATEGY	COST	62,575.	60,061.
SG BRENT CBEN 3/24/14	COST	20,000.	21,770.
SG MARKET PLUX MXEA 5/14/14	COST	25,000.	27,143.
SG REN SPX 10/16/14	COST	30,000.	32,019.
TOTAL TO FORM 990-PF, PART II, LINE 13		1,971,261.	2,362,813.

THE FIELD-STEPHEN FOUNDATION

36-4119196

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FORM 990-PF

STATEMENT 8

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THE RECEIPT IN 2013 OF THIS ACCOUNT RECEIVABLE (REFLECTING THE RETURN OF A PRIOR MISS-BILLED AMOUNT) IS REFLECTED IN THE TOTAL END-OF-YEAR CASH BALANCE (\$92,920) ON PART II, LINE 2.



**Capital Gain and Loss Schedule**  
**THE FIELD-STEPHEN FDN**  
 Account Number: V 18979-00-1

Short-Term Covered

Stock and other symbol Cusip

Description

Code\*

Date Acquired Date Sold

Units

Sales Price

Cost or Other Basis

Adjustments to gain or loss

Gain or Loss Ordinary Income\*\*

\* Code W indicates Wash Sale

L indicates a Nondeductible Loss other than a Wash Sale

\*\* Ordinary Income O indicates Ordinary Income gain or loss

F indicates Foreign Exchange gain or loss on Capital transactions

Stock and other symbol Cusip

Description

Code\*

Date Acquired Date Sold

Units

Sales Price

Cost or Other Basis

Adjustments to gain or loss

Gain or Loss Ordinary Income\*\*

Description	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
DELAWARE EMERGING MARKETS-I	DEMI	Various	2,344.122	34,950.86	33,854.48		1,096.38
	245914817	08/14/13					
EATON VANCE GLOBAL MACRO-I	EIGM	02/15/13	2,821.270	26,604.58	27,347.56		-742.98
	277923728	12/19/13					
GATEWAY FUND-Y	GTEY	Various	883.594	25,244.29	24,961.23		283.06
	367829884	10/25/13					
HARTFORD CAPITAL APPREC-I	ITHI	Various	1,116.890	49,802.11	42,568.47		7,233.64
	416649309	10/15/13					
ISHARES MSCI EMERGING MARKET INDEX	EEM	02/15/13	152.000	5,964.93	6,713.46		-748.53
	464287234	07/30/13					
ISHARES MSCI EMERGING MARKET INDEX	EEM	Various	476.000	18,692.24	20,329.16		-1,636.92
	464287234	07/30/13					
ISHARES MSCI CHINA INDEX FD	46429B671	Various	465.000	18,806.78	22,635.25		-3,828.47
		07/10/13					
JPM HIGH YIELD FD - SEL	OHYF	12/14/12	34.371	276.34	280.82		-4.48
FUND 3580	4812C0803	07/09/13					
JPM INTL CURR INCOME FD - SEL	JCIS	10/11/12	544.390	5,966.52	6,116.21		-149.69
FUND 3831	4812A3296	09/06/13					
JPM MKT EXP ENH INDEX FD - SEL	PGMI	12/14/12	285.639	3,916.11	2,982.08		934.03
FUND 3708	4812C1637	12/11/13					
JPM REALTY INCOME FD - INSTL	URTL	Various	1,953.180	23,184.25	22,246.22		938.03
FUND 1372	904504503	09/26/13					
JPM US EQUITY FD - SEL	JUES	03/08/12	2,476.422	29,791.36	27,191.12		2,600.24
FUND 1224	4812A1159	02/15/13					





# Capital Gain and Loss Schedule

THE FIELD-STEPHEN FDN

Account Number: V 18979-00-1

## Short-Term Covered

\* Code W indicates Wash Sale

L indicates a Nondeductible Loss other than a Wash Sale

\*\* Ordinary Income O indicates Ordinary Income gain or loss

F indicates Foreign Exchange gain or loss on Capital transactions

Stock and  
other symbol  
CUSIP

Description	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
MANNING & NAPIER FUND INC EQUITY SERIES	EXEY 563821602	12/18/12 02/15/13	317.342	5,912.08	5,432.90		479.18
NEUBERGER BERMAN MULTI CAP OPPORTUNITIES FUND	NMUL 64122Q309	Various 02/15/13	1,190.336	14,367.35	12,942.91		1,424.44
PIMCO COMMODITYPL STRAT-P	PCLP 72201P167	02/15/13 06/06/13	564.972	6,000.00	6,412.43		-412.43
PRIMECAP ODYSSEY FUNDS ODYSSEY STK FD	POSK 74160Q301	10/11/12 02/15/13	623.505	10,661.94	9,851.38		810.56
PRIMECAP ODYSSEY STOCK FUND	POSK 74160Q301	12/12/13 12/11/13	20.374	416.85	420.72		-3.87
SPDR S&P 500 ETF TRUST	SPY 78462F103	07/09/13 10/28/13	215.000	37,880.32	35,524.45		2,355.87
VANGUARD INTM TRM INV G-INV	VFIC 922031885	Various 08/15/13	45.864	446.25	471.69		-25.44
<b>Total Short-Term Covered</b>				<b>318,885.16</b>	<b>308,282.54</b>		<b>10,602.62</b>



**Capital Gain and Loss Schedule**  
THE FIELD-STEPHEN FDN  
Account Number: V18979-00-1

**Short-Term Non Covered**

\* Code W indicates Wash Sale  
L indicates a Nondeductible Loss other than a Wash Sale  
\*\* Ordinary Income O indicates Ordinary Income gain or loss  
F indicates Foreign Exchange gain or loss on Capital Transactions

Description	Stock and other symbol CUSIP	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
SPDR GOLD TRUST	GLD 78463V107		02/15/13 06/06/13	13.000	1,758.44	2,032.83		-274.39
<b>Total Short-Term Non Covered</b>					<b>1,758.44</b>	<b>2,032.83</b>		<b>-274.39</b>

SPDR GOLD TRUST

**Total Short-Term Non Covered**



# Capital Gain and Loss Schedule

THE FIELD-STEPHEN FDN

Account Number: V 18979-00-1

## Long-Term Covered

\* Code: W indicates Wash Sale  
 L indicates a Nondeductible Loss other than a Wash Sale  
 \*\* Ordinary Income O indicates Ordinary Income gain or loss  
 F indicates Foreign Exchange gain or loss on Capital transactions

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
NEUBERGER BER MU/C OPP-INS	NMJL 64122Q309		10/25/12 12/11/13	1,104.942	16,684.62	12,010.72		4,673.90
PRIMECAP ODYSSEY STOCK FUND	POSK 74160Q301		10/11/12 12/11/13	481.767	9,856.95	7,611.92		2,245.03
SPDR S&P 500 ETF TRUST	SPY 78462F103		10/25/12 10/28/13	73.000	12,861.69	10,304.68		2,557.01
SPDR S&P 500 ETF TRUST	SPY 78462F103		10/25/12 12/12/13	74.000	13,215.06	10,445.84		2,769.22
VANGUARD INTM TRM INV G-INV	VFIC 922031885		06/06/12 08/15/13	2,005.275	19,511.33	20,313.44		-802.11
<b>Total Long-Term Covered</b>					<b>72,129.65</b>	<b>60,686.60</b>		<b>11,443.05</b>



## Capital Gain and Loss Schedule

**THE FIELD-STEPHEN FDN**  
Account Number: V 18979-00-1

### Long-Term Non Covered

\* Code: W indicates Wash Sale  
L indicates a Nondeductible Loss other than a Wash Sale  
\*\* Ordinary Income O indicates Ordinary Income gain or loss  
F indicates Foreign Exchange gain or loss on Capital transactions  
Stock and other symbol Cusip

Description	Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
ACCENTURE PLC-CL A	ACN		11/18/08	360.000	27,313.98	10,219.07		17,094.91
BARC PARTICIPATING GOLD NOTE	G1151C101		03/28/13					
10/09/13			09/28/12	20,000.000	14,749.44	20,000.00		-5,250.56
LNKD TO GOLDLNP	06741THL4		10/09/13					
85%BARRIER, 17.50%MAXRTN								
9/28/12: INITIAL STRIKE: 1776.00								
BARC REN SPX 07/03/13	06741TBG1		06/15/12	40,000.000	48,480.00	40,000.00		8,480.00
2 XLEV- 10.6%CAP- 21.2%MAXPYMT			07/03/13					
INITIAL LEVEL-06/15/12 SPX:1342.84								
BED BATH & BEYOND INC	BBBY		11/18/08	300.000	19,303.06	5,961.42		13,341.64
	075896100		03/28/13					
BNP BREN EAFE 06/19/13	05567L5L7		06/01/12	20,000.000	24,600.00	20,000.00		4,600.00
10%BUFFER- XLEV- 11 5%CAP			06/19/13					
23%MAXTRN								
INITIAL LEVEL-06/01/12:5X5E:2068 66								
UKX:5260 19 TPX:708.93								
BNP DELTA ONE MSCI WORLD TR 6/14/13	05567L5F0		05/25/12	30,000.000	37,799.58	30,000.00		7,799.58
100%A.F, UNCAPPED			06/14/13					
INITIAL LEVEL5/25/12 NDDUWI:3000 541								
CS BREN ASIA BASKET 11/27/13	22546TJ51		11/09/12	25,000.000	27,900.00	25,000.00		2,900.00
10%BUFFER-2 XLEV- 5.8%CAP			11/27/13					
11.6%MAXTRN								
INITIAL LEVEL-11/09/12 ASIA BSKT-100								
DANAHER CORP	DHR		11/18/08	450.000	27,884.88	12,185.03		15,699.85
	235851102		03/28/13					

# Capital Gain and Loss Schedule

THE FIELD-STEPHEN FDN

Account Number: V 18979-00-1

## Long-Term Non Covered

\* Code W indicates Wash Sale  
 L indicates a Nondeductible Loss other than a Wash Sale  
 \*\* Ordinary Income O indicates Ordinary Income gain or loss  
 F indicates Foreign Exchange gain or loss on Capital transactions

Description  
 Stock and other symbol  
 Cusip

Description	Stock and other symbol	Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
DELAWARE EMERGING MARKETS-I	DEMI	245914817		Various 08/14/13	2,589.020	38,602.29	40,572.91		-1,970.62
DELL INC	DELL			00/00/00		30.16	.00		30.16
REPRESENTS PRO RATA SHARE OF THE NET SETTLEMENT FROM THE DELL INC CLASS ACTION. DUE V18979001	24702R101			01/16/13					
THE FIELD-STEPHEN FDN FUTURE									
EATON VANCE FLOATING RATE-I	EIBL			01/26/10 10/28/13	2,580.528	23,663.44	22,424.79		1,238.65
	277911491								
EATON VANCE GLOBAL MACRO-I	EIGM			Various 12/19/13	4,103.416	38,695.21	40,835.41		-2,140.20
	277923728								
EDGEWOOD GROWTH FUND	EGFI			01/04/11 02/15/13	2,998.741	43,931.56	34,125.67		9,805.89
	0075W0759								
GS CONT BUFF EQ SPX 12/04/13				11/16/12	20,000.000	23,000.00	20,000.00		3,000.00
80% CONTIN BARRIER- 6.1%CPN 15% MAXRTN				12/05/13					
INITIAL LEVEL-11/16/12 SPX:1359.88									
HIGHBRIDGE DYN COMMOD STR FD - SEL FUND 2015	HDCS			Various 02/15/13	2,433.084	34,111.84	36,096.53		-1,984.69
	48121A670								
HSBC BREN EAFE 05/01/13				04/13/12	20,000.000	23,600.00	20,000.00		3,600.00
10%BUFFER-2 XLEV- 9%CAP 18%MAXRTRN				05/01/13					
INITIAL LEVEL-04/13/12:5X5E:2291.51 UKX:5701.35 TPX.815.48									
HSBC DELTA ONE MSCI WORLD TR 6/14/13 100%A.F. UNCAPPED				05/25/12	30,000.000	37,799.58	30,000.00		7,799.58
INITIAL LEVEL5/25/12 NDDUWI:3000.541				06/14/13					
	4042K1P49								



## Capital Gain and Loss Schedule

**THE FIELD-STEPHEN FDN**

Account Number: V 18979-00-1

### Long-Term Non Covered

\* Code W indicates Wash Sale  
 L indicates a Nondeductible Loss other than a Wash Sale  
 \*\* Ordinary Income O indicates Ordinary Income gain or loss  
 F indicates Foreign Exchange gain or loss on Capital Transactions

Description	Stock and other symbol CUSIP	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
JOHN HANCOCK II-EMG MKTS-I	JEVI 47804B195		08/26/11 08/14/13	452.305	4,550.19	4,586.37		-36.18
JPM BREN EAFE 8/7/13	48125VS92		07/20/12 08/07/13	20,000.000	24,100.00	20,000.00		4,100.00
10%BUFFER-2XLEV- 10.25%CAP								
20.5%MAXRTRN								
INITIAL LEVEL-7/20/12 SX5E:2237.33								
UKX:5651.77 TPX:733.82								
JPM BREN EAFE 09/11/13	48125V3R9		08/24/12 09/11/13	20,000.000	23,780.00	20,000.00		3,780.00
10%BUFFER-2 XLEV- 9.45%CAP								
18.9%MAXRTRN								
INITIAL LEVEL-08/24/12: SX5E:2434.23								
UKX:5776.60 TPX:757.23								
JPM HIGH YIELD FD - SEL	OHYF 4812C0803		11/21/08 07/09/13	2,353.482	18,922.00	13,038.29		5,883.71
FUND 3580								
JPM HIGH YIELD FD - SEL	OHYF 4812C0803		11/21/08 10/25/13	2,931.940	24,188.51	16,242.95		7,945.56
FUND 3580								
JPM INTL CURR INCOME FD - SEL	JCIS 4812A3296		Various 09/06/13	1,287.159	14,107.26	13,986.48		120.78
FUND 3831								
JPM MKT EXP ENH INDEX FD - SEL	PGMI 4812C1637		Various 12/11/13	1,473.489	20,201.54	13,690.08		6,511.46
FUND 3708								
MANNING & NAPIER FUND INC	EXEY 563821602		Various 02/15/13	2,134.400	39,763.87	36,347.53		3,416.34
EQUITY SERIES								
PRAXAIR INC	PX 74005P104		03/17/09 03/28/13	52.000	5,796.31	3,256.23		2,540.08
QUALCOMM INC	QQOM 747525103		11/18/08 03/28/13	400.000	26,699.44	12,614.12		14,085.32



# Capital Gain and Loss Schedule

THE FIELD-STEPHEN FDN

Account Number: V 18979-00-1

## Long-Term Non Covered

\* Code W indicates Wash Sale

L indicates a Nondeductible Loss other than a Wash Sale

\*\* Ordinary Income O indicates Ordinary Income gain or loss

F indicates Foreign Exchange gain or loss on Capital transactions

Stock and  
other symbol

Description	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
SPDR GOLD TRUST	GLD 78463V107	Various 06/06/13	152.000	20,560.27	16,090.04		4,470.23
SPDR GOLD TRUST		00/00/00	152.000	7.98	.00		7.98
COST BASIS ALLOC. RATE 0.000329643	78463V107	01/07/13					
SPDR GOLD TRUST		00/00/00	165.000	8.96	.00		8.96
COST BASIS ALLOC. RATE 0.000355489	78463V107	02/21/13					
SPDR GOLD TRUST		00/00/00	165.000	8.70	.00		8.70
COST BASIS ALLOC. RATE 0.000341809	78463V107	03/12/13					
SPDR GOLD TRUST		00/00/00	165.000	8.91	.00		8.91
COST BASIS ALLOC. RATE 0.000353866	78463V107	04/09/13					
SPDR GOLD TRUST		00/00/00	165.000	9.20	.00		9.20
COST BASIS ALLOC. RATE 0.000403935	78463V107	05/10/13					
SPDR S&P 500 ETF TRUST	SPY 78462F103	07/21/11 12/12/13	71.000	12,679.31	9,558.01		3,121.30

**Total Long-Term Non Covered**

**726,857.47 586,830.93**

**140,026.54**