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Form **990-PF**

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

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

▶ **Do not enter Social Security numbers on this form as it may be made public. By law, the IRS cannot redact the information on the form.**

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

OMB No 1545-0052

2013

Open to Public Inspection

For calendar year 2013, or tax year beginning 01-01-2013 , and ending 12-31-2013

Name of foundation
The Doering Family Foundation

% ROBERT E DOERING

A Employer identification number
39-1805495

Number and street (or P O box number if mail is not delivered to street address)
622 Julpun Loop
Suite

Room/suite

B Telephone number (see instructions)
(760) 777-8394

City or town, state or province, country, and ZIP or foreign postal code
Clayton, CA 94517

C If exemption application is pending, check here ▶ ☐

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

D 1. Foreign organizations, check here ▶ ☐

2. Foreign organizations meeting the 85% test, check here and attach computation ▶ ☐

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

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)* ▶$ 1,778,438

J Accounting method ☐ Cash ☑ Accrual ☐ Other (specify) ________ *(Part I, column (d) must be on cash basis.)*

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

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

			(a) Revenue and expenses per books	**(b)** Net investment income	**(c)** Adjusted net income	**(d)** Disbursements for charitable purposes (cash basis only)
Revenue	1	Contributions, gifts, grants, etc , received (attach schedule)	0			
	2	Check ▶ ☑ if the foundation is **not** required to attach Sch B				
	3	Interest on savings and temporary cash investments				
	4	Dividends and interest from securities	34,507	34,507		
	5a	Gross rents				
	b	Net rental income or (loss) ________				
	6a	Net gain or (loss) from sale of assets not on line 10	118,344			
	b	Gross sales price for all assets on line 6a 779,863				
	7	Capital gain net income (from Part IV, line 2)		118,344		
	8	Net short-term capital gain				
	9	Income modifications				
	10a	Gross sales less returns and allowances				
	b	Less Cost of goods sold				
	c	Gross profit or (loss) (attach schedule)				
	11	Other income (attach schedule)				
	12	**Total.** Add lines 1 through 11	152,851	152,851		
Operating and Administrative Expenses	13	Compensation of officers, directors, trustees, etc	0			
	14	Other employee salaries and wages				
	15	Pension plans, employee benefits				
	16a	Legal fees (attach schedule)	221	88	0	133
	b	Accounting fees (attach schedule)	14,820	5,928	0	8,892
	c	Other professional fees (attach schedule)	12,503	12,503		
	17	Interest				
	18	Taxes (attach schedule) (see instructions)	1,343			
	19	Depreciation (attach schedule) and depletion				
	20	Occupancy				
	21	Travel, conferences, and meetings				
	22	Printing and publications				
	23	Other expenses (attach schedule)	10			
	24	**Total operating and administrative expenses.** Add lines 13 through 23	28,897	18,519	0	9,025
	25	Contributions, gifts, grants paid	90,000			90,000
	26	**Total expenses and disbursements.** Add lines 24 and 25	118,897	18,519	0	99,025
	27	Subtract line 26 from line 12				
	a	**Excess of revenue over expenses and disbursements**	33,954			
	b	**Net investment income** (if negative, enter -0-)		134,332		
	c	**Adjusted net income** (if negative, enter -0-)				

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

			Beginning of year	End of year	
			(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash—non-interest-bearing			
	2	Savings and temporary cash investments	29,457	23,881	23,881
	3	Accounts receivable ▶			
		Less allowance for doubtful accounts ▶			
	4	Pledges receivable ▶			
		Less allowance for doubtful accounts ▶			
	5	Grants receivable			
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
	7	Other notes and loans receivable (attach schedule) ▶			
		Less allowance for doubtful accounts ▶			
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges	2,074	731	731
	10a	Investments—U S and state government obligations (attach schedule)			
	b	Investments—corporate stock (attach schedule)	963,199	1,160,894	1,160,894
	c	Investments—corporate bonds (attach schedule)	650,686	588,232	588,232
	11	Investments—land, buildings, and equipment basis ▶			
		Less accumulated depreciation (attach schedule) ▶			
	12	Investments—mortgage loans			
	13	Investments—other (attach schedule)			
	14	Land, buildings, and equipment basis ▶			
		Less accumulated depreciation (attach schedule) ▶			
	15	Other assets (describe ▶)	4,091	4,700	4,700
	16	**Total assets** (to be completed by all filers—see the instructions Also, see page 1, item I)	1,649,507	1,778,438	1,778,438
Liabilities	17	Accounts payable and accrued expenses			
	18	Grants payable			
	19	Deferred revenue			
	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable (attach schedule)			
	22	Other liabilities (describe ▶)			
	23	**Total liabilities** (add lines 17 through 22)		0	
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			
	28	Paid-in or capital surplus, or land, bldg , and equipment fund			
	29	Retained earnings, accumulated income, endowment, or other funds	1,649,507	1,778,438	
	30	**Total net assets or fund balances** (see page 17 of the instructions)	1,649,507	1,778,438	
	31	**Total liabilities and net assets/fund balances** (see page 17 of the instructions)	1,649,507	1,778,438	

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	1,649,507
2	Enter amount from Part I, line 27a	2	33,954
3	Other increases not included in line 2 (itemize) ▶	3	94,977
4	Add lines 1, 2, and 3	4	1,778,438
5	Decreases not included in line 2 (itemize) ▶	5	
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	1,778,438

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 Additional Data Table			
b				
c				
d				
e				

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

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

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

2	Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 / If (loss), enter -0- in Part I, line 7 }	2	118,344
3	Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) (see instructions) If (loss), enter -0- in Part I, line 8	3	

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

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

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

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

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

1 Enter the appropriate amount in each column for each year, see page 18 of 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	92,217	1,635,134	0 056397
2011	85,156	1,669,030	0 051021
2010	90,372	1,635,622	0 055252
2009	93,815	1,532,951	0 061199
2008	98,504	1,868,438	0 05272

2	**Total** of line 1, column (d)	2	0 276589
3	Average distribution ratio for the 5-year base period—divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years	3	0 055318
4	Enter the net value of noncharitable-use assets for 2013 from Part X, line 5	4	1,718,746
5	Multiply line 4 by line 3	5	95,078
6	Enter 1% of net investment income (1% of Part I, line 27b)	6	1,343
7	Add lines 5 and 6	7	96,421
8	Enter qualifying distributions from Part XII, line 4	8	99,025

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 page 18 of the 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	1,343
c	All other domestic foundations enter 2% of line 27b Exempt foreign organizations enter 4% of Part I, line 12, col (b)		
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)	2	
3	Add lines 1 and 2	3	1,343
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)	4	
5	**Tax based on investment income.** Subtract line 4 from line 3 If zero or less, enter -0-	5	1,343
6	Credits/Payments		
a	2013 estimated tax payments and 2012 overpayment credited to 2013 — 6a: 2,074		
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	2,074
8	Enter any **penalty** for underpayment of estimated tax Check here ☐ if Form 2220 is attached	8	
9	**Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ▶	9	
10	**Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶	10	731
11	Enter the amount of line 10 to be **Credited to 2014 estimated tax** ▶ 731 **Refunded** ▶	11	

Part VII-A Statements Regarding Activities

			Yes	No
1a	During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?	1a		No
b	Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see page 19 of the instructions for definition)?	1b		No
	*If the answer is "Yes" to **1a** or **1b**, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.*			
c	Did the foundation file **Form 1120-POL** for this year?	1c		No
d	Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year **(1)** On the foundation ▶ $ ________ **(2)** On foundation managers ▶ $ ________			
e	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ▶ $ ________			
2	Has the foundation engaged in any activities that have not previously been reported to the IRS? *If "Yes," attach a detailed description of the activities.*	2		No
3	Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? *If "Yes," attach a conformed copy of the changes*	3		No
4a	Did the foundation have unrelated business gross income of $1,000 or more during the year?	4a		No
b	If "Yes," has it filed a tax return on **Form 990-T** for this year?	4b		
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year? *If "Yes," attach the statement required by General Instruction T.*	5		No
6	Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either ● By language in the governing instrument, or ● By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	6	Yes	
7	Did the foundation have at least $5,000 in assets at any time during the year? *If "Yes," complete Part II, col. (c), and Part XV.*	7	Yes	
8a	Enter the states to which the foundation reports or with which it is registered (see instructions) ▶WI			
b	If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? *If "No," attach explanation*	8b	Yes	
9	Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2013 or the taxable year beginning in 2013 (see instructions for Part XIV)? *If "Yes," complete Part XIV*	9		No
10	Did any persons become substantial contributors during the tax year? *If "Yes," attach a schedule listing their names and addresses.*	10		No

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		No
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		No
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	Yes	

Website address ▶N/A

14 The books are in care of ▶ROBERT E DOERING Telephone no ▶(925) 672-9404

Located at ▶622 JULPUN LOOP Clayton CA ZIP+4 ▶94517

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

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

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

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

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

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

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

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

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

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

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

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

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

c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? ☐ Yes ☐ No

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

6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? ☐ Yes ☑ No

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? **6b** 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? **7b**

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

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

(a) Name and address	**(b)** Title, and average hours per week devoted to position	**(c)** Compensation **(If not paid, enter -0-)**	**(d)** Contributions to employee benefit plans and deferred compensation	**(e)** Expense account, other allowances
Robert E Doering 622 Julpun Loop Clayton, CA 94517	President, Treasurer,Director 2 0	0	0	0
Margaret P Doering 622 Julpun Loop Clayton, CA 94517	Vice Pres Secretary, Director 2 0	0	0	0
Rick R Doering 189 Oldcastle Lane Alameda, CA 94502	Director 1 0	0	0	0
Jayne D Sungail 3349 Oak Knoll Redwood City, CA 94062	Director 1 0	0	0	0

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

(a) Name and address of each employee paid more than $50,000	**(b)** Title, and average hours per week devoted to position	**(c)** Compensation	**(d)** Contributions to employee benefit plans and deferred compensation	**(e)** Expense account, other allowances

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

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

3 Five highest-paid independent contractors for professional services (see instructions). If none, enter "NONE".

(a) Name and address of each person paid more than $50,000	**(b)** Type of service	**(c)** Compensation
Total number of others receiving over $50,000 for professional services. . . . . ▶		

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

List the foundation's four largest direct charitable activities during the tax year Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc	Expenses
1 N/A	
2	
3	
4	

Part IX-B **Summary of Program-Related Investments** (see instructions)

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2	Amount
1	
2	
All other program-related investments See page 24 of the instructions	
3	
Total. Add lines 1 through 3 . . . . ▶	

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc , purposes		
a	Average monthly fair market value of securities	1a	1,709,311
b	Average of monthly cash balances	1b	31,214
c	Fair market value of all other assets (see instructions)	1c	4,395
d	**Total** (add lines 1a, b, and c)	1d	1,744,920
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) — 1e		
2	Acquisition indebtedness applicable to line 1 assets	2	0
3	Subtract line 2 from line 1d	3	1,744,920
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	26,174
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3 Enter here and on Part V, line 4	5	1,718,746
6	**Minimum investment return.** Enter 5% of line 5	6	85,937

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	85,937
2a	Tax on investment income for 2013 from Part VI, line 5	2a	1,343		
b	Income tax for 2013 (This does not include the tax from Part VI)	2b			
c	Add lines 2a and 2b			2c	1,343
3	Distributable amount before adjustments Subtract line 2c from line 1			3	84,594
4	Recoveries of amounts treated as qualifying distributions			4	
5	Add lines 3 and 4			5	84,594
6	Deduction from distributable amount (see instructions)			6	
7	**Distributable amount** as adjusted Subtract line 6 from line 5 Enter here and on Part XIII, line 1			7	84,594

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	99,025
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	0
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required)	3a	0
b	Cash distribution test (attach the required schedule)	3b	0
4	**Qualifying distributions.** Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4	4	99,025
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income Enter 1% of Part I, line 27b (see instructions)	5	1,343
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	97,682

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

Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2012	(c) 2012	(d) 2013
1 Distributable amount for 2013 from Part XI, line 7				84,594
2 Undistributed income, if any, as of the end of 2013				
a Enter amount for 2012 only.			44,731	
b Total for prior years 2011 , 2010 , 2009				
3 Excess distributions carryover, if any, to 2013				
a From 2008.				
b From 2009.				
c From 2010.				
d From 2011.				
e From 2012. 0				
f Total of lines 3a through e.	0			
4 Qualifying distributions for 2013 from Part XII, line 4 ▶ $ 99,025				
a Applied to 2012, but not more than line 2a			44,731	
b Applied to undistributed income of prior years (Election required—see instructions).				
c Treated as distributions out of corpus (Election required—see instructions).				
d Applied to 2013 distributable amount.				54,294
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:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	0			
b Prior years' undistributed income Subtract line 4b from line 2b				
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed.				
d Subtract line 6c from line 6b Taxable amount —see instructions				
e Undistributed income for 2012 Subtract line 4a from line 2a Taxable amount—see instructions				
f Undistributed income for 2013 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2014				30,300
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions)				
8 Excess distributions carryover from 2008 not applied on line 5 or line 7 (see instructions) . . .				
9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a	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. . . . 0				

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

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

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

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

Part XV Supplementary Information (Complete this part only if the organization 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))

ROBERT E DOERING

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

THE DOERING FAMILY FOUNDATION
622 Julpun Loop
Clayton, CA 94517
(925) 672-9404

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

WRITTEN REQUEST PROVIDING INFORMATION ON ORGANIZATION AND USE OF FUNDS

c Any submission deadlines

NONE

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

NONE

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 Additional Data Table				
Total . . . . ▶ **3a**				90,000
b *Approved for future payment*				
Total . . . . ▶ **3b**				

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated	Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See instructions)
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	
1 Program service revenue					
a					
b					
c					
d					
e					
f					
g Fees and contracts from government agencies					
2 Membership dues and assessments. . . .					
3 Interest on savings and temporary cash investments					
4 Dividends and interest from securities. . . .			14	34,507	
5 Net rental income or (loss) from real estate					
a Debt-financed property.					
b Not debt-financed property.					
6 Net rental income or (loss) from personal property					
7 Other investment income.					
8 Gain or (loss) from sales of assets other than inventory			18	118,344	
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory. .					
11 Other revenue a					
b					
c					
d					
e					
12 Subtotal Add columns (b), (d), and (e). .				152,851	

13 **Total.** Add line 12, columns (b), (d), and (e). 13 152,851

(See worksheet in line 13 instructions to verify calculations)

Part XVI-B Relationship of Activities to the Accomplishment of Exempt Purposes

Line No. ▼	Explain below how each activity for which income is reported in column (e) of Part XVI-A contributed importantly to the accomplishment of the foundation's exempt purposes (other than by providing funds for such purposes) (See instructions)

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)		No
(2) Other assets	1a(2)		No
b Other transactions			
(1) Sales of assets to a noncharitable exempt organization	1b(1)		No
(2) Purchases of assets from a noncharitable exempt organization	1b(2)		No
(3) Rental of facilities, equipment, or other assets	1b(3)		No
(4) Reimbursement arrangements	1b(4)		No
(5) Loans or loan guarantees	1b(5)		No
(6) Performance of services or membership or fundraising solicitations	1b(6)		No
c Sharing of facilities, equipment, mailing lists, other assets, or paid employees	1c		No

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

(a) Line No	(b) Amount involved	(c) Name of noncharitable exempt organization	(d) Description of transfers, transactions, and sharing arrangements

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

b If "Yes," complete the following schedule

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

Sign Here

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

****** | 2014-05-07 | ******

Signature of officer or trustee | Date | Title

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

Paid Preparer Use Only

Print/Type preparer's name	Preparer's Signature	Date	Check if self-employed ☐	PTIN
Kenneth J McGrath				
Firm's name	Mowery & Schoenfeld LLC		Firm's EIN	
Firm's address	475 Half Day Road Suite 250 Lincolnshire, IL 60069		Phone no (847) 247-8959	

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

(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)
CLEARY GULL #1440 LT NONCOVERED SEE ATTACHED		2012-01-01	2013-12-31
CLEARY GULL #1440 ST COVERED SEE ATTACHED		2013-01-01	2013-12-31
CLEARY GULL #1440 LT COVERED SEE ATTACHED		2012-01-01	2013-12-31
AT&T 30,000 SHS		2013-02-13	2013-09-20
JP MORGAN CHASE 20,000 SHS		2011-05-11	2013-11-05
CLEARY GULL #01367 LT NONCOV		2012-01-01	2013-12-31
CLEARY GULL #01367 ST COVERED		2013-01-01	2013-12-31
CLEARY GULL #01367 LT COVERED		2012-01-01	2013-12-31
CAPITAL GAIN DIVIDENDS	P		

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

(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)
354,705		274,891	79,814
149,903		146,279	3,624
122,448		129,014	-6,566
29,959		30,236	-277
20,019		20,116	-97
38,778		22,088	16,690
10,318		9,451	867
33,729		29,444	4,285
			20,004

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

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) 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	
			79,814
			3,624
			-6,566
			-277
			-97
			16,690
			867
			4,285

Form 990PF Part XV Line 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*				
John Muir Health Foundation 1400 Treat Blvd Third Floor Walnut creek, CA 94596	None	501C-3	General Purpose	5,000
Boys and Girls Clubs of Coachella Valley 42-600 Cook Street Suite 120 Palm Desert, CA 92211	NONE	501C-3	General Purpose	3,500
Martha's Village and Kitchen 83791 Date Avenue Indio, CA 92201	NONE	501C-3	General Purpose	3,000
Eisenhower Medical Center Foundation 39000 Bob Hope Drive Rancho Mirage, CA 92270	NONE	501C-3	General Purpose	3,000
The Salvation Army 30-400 Landau Blvd Cathedral City, CA 922345182	NONE	501C-3	General Purpose	2,500
Coachella Valley Rescue Mission PO Box 10660 Indio, CA 92202	NONE	501C-3	General purpose	2,500
Habitat for Humanity International 121 Habitat Street Americus, GA 31709	NONE	501C-3	General purpose	2,000
Jeanne McCue - Bosnia Relief PO Box 17438 WhiteFish Bay, WI 53217	NONE	501C-3	General purpose	2,000
The Living Desert 900 Portola Avenue Palm Desert, CA 92260	NONE	501C-3	General purpose	2,000
Hidden Harvest PO Box 266 Coachella, CA 92236	NONE	5013-3	General purpose	2,000
Guide Dogs of the Desert International PO Box 1692 Palm Spring, CA 92263	NONE	501C-3	General purpose	2,000
Smile Train PO Box 96246 Washington, DC 200906246	NONE	501C-3	General purpose	2,000
FISH PO Box 116 Coachella, CA 92236	NONB	501C-3	General purpose	2,500
Mourning Star Center of VNAIC 42-600 Cook Street Ste 250A Palm Desert, CA 82211	NONE	501C-3	General purpose	1,500
Senior Gleaners Inc 1951 Bell Avenue Sacramento, CA 95838	NONE	501C-3	General purpose	1,500
Total . . . . ▶ **3a**				90,000

Form 990PF Part XV Line 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*				
Galilee Center PO Box 297 Thermal, CA 92274	NONE	501C-3	General purpose	2,000
ACMNP- A Christian Ministry in the National Parks 10 Justins Way Freeport, ME 04032	NONE	501C-3	General purpose	1,000
CROP - Wisconsin 4408 Winnequah Road Madison, WI 53717	NONE	501C-3	General purpose	1,000
Hass School of Business - UC Berkeley 545 Student Services Berkeley, CA 94720	NONE	501C-3	General purpose	3,000
Carol Ann Read Breast Health Center 3100 Summit St Oakland, CA 94609	NONE	501C-3	General purpose	1,000
Community Employment Services 1242 Market Street San Francisco, CA 94102	NONE	501C-3	General purpose	3,000
Building Futures with Women & Children 1395 Bancroft Avenue San Leandro, CA 94577	NONE	501C-3	General purpose	2,000
Wardrobe for Opportunity 570 14th Street Suite 5 Oakland, CA 94612	NONE	501C-3	General purpose	2,000
TransCen Inc Worklink 785 Market Street Ste 670 San Francisco, CA 94103	NONE	501C-3	General purpose	1,000
Alameda Boys and Girls Club Inc POBox 1069 Alameda, CA 94501	NONE	501C-3	General purpose	1,000
Cope Family Center 1340 4th Street Napa, CA 94559	NONE	501C-3	General purpose	1,000
Alameda County Community Food Center POBox 2599 Oakland, CA 94614	NONE	501C-3	General purpose	1,000
Alameda Meals on Wheels POBox 2534 Alameda, CA 94501	NONE	501C-3	General purpose	1,000
Square Meals Project 2607 Ellsworth Street Berkeley, CA 94704	NONE	501C-3	General purpose	1,000
If Given a Chance POBox 2607 Napa, CA 94558	NONE	501C-3	General purpose	1,000
Total . . . . ▶ **3a**				90,000

Form 990PF Part XV Line 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*				
Child Advocates of Silicon Valley 115 E Gish Road Suite 252 San Jose, CA 95112	NONE	501C-3	General purpose	2,000
Second Harvest Food Bank - San Mateo County 750 Curtner Avenue San Jose, CA 95125	NONE	501C-3	General purpose	2,000
Job Train 1200 OBrien Drive Menlo Park, CA 94025	NONE	501C-3	General purpose	1,500
Chronicle Season of Sharing 901 Mission Street San Francisco, CA 94103	NONE	501C-3	General purpose	1,500
EPAK-East Palo Alto Kids Foundation PO Box 50542 Palo Alto, CA 94303	NONE	501C-3	General purpose	1,500
Lucile Packard Children's Fund 400 Hamilton Avenue Suite 340 Palo Alto, CA 94301	NONE	501C-3	General purpose	1,500
Hope house 707 N Anaheim Blvd Anaheim, CA 92805	NONE	501C-3	General purpose	1,000
Marine Science Institute 500 Discovery Parkway Redwood City, CA 94063	NONE	501C-3	General purpose	1,000
Redwood City Library Foundation 1044 Middlefield Road Redwood City, CA 94063	NONE	501C-3	General purpose	2,000
Pacific Skyline Council - BSA 1150 Chess Drive Foster City, CA 94404	NONE	501C-3	General purpose	1,000
Girls Scout of Northern California 1650 Harbor Bay Parkway Ste 100 Alameda, CA 94502	NONE	501C-3	General purpose	1,000
North Star Academy Parents Club 400 Duane Street Redwood City, CA 94062	NONE	501C-3	General purpose	1,000
Family Connections PO Box 358 San Carloa, CA 94070	NONE	501C-3	General purpose	1,000
Sequoia HSEducation Foundation 1201 Brewster Avenue Redwood City, CA 94062	NONE	501C-3	General purpose	1,500
Boys & Girls Club of Napa Valley 1515 Pueblo Street Napa, CA 94558	NONE	501C- 3	General purpose	1,000
Total . . . . ▶ **3a**				90,000

Form 990PF Part XV Line 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*				
Community Resources for Children 3299 Claremont Way - Suite 1 Napa, CA 94558	NONE	501C-3	General purpose	1,000
Wounded Warrior Project PO Box 758517 Topeka, KS 66675	NONE	501C-3	General purpose	2,000
CuriOdyssey at Coyote Point 1651 Coyote Point Drive San Mateo, CA 94401	NONE	501C-3	General purpose	1,000
Pacific Diversified Services 223 San Anselmo Ave 1 San Anselmo, CA 94960	none- 501(c)(3)		General Purpose	3,000
My New Red Shoes 330 Twin Dolphin Drive Ste 135 Redwood City, CA 94065	none- 501(c)(3)		General Purpose	2,000
Redwood City Education Fund PO Box 3046 Redwood City, CA 94064	none- 501(c)(3)		General Purpose	1,500
Total . . . . ▶ **3a**				90,000

TY 2013 Accounting Fees Schedule

Name: The Doering Family Foundation

EIN: 39-1805495

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
ACCOUNTING FEES	14,820	5,928		8,892

Note: To capture the full content of this document, please select landscape mode (11" x 8.5") when printing.

TY 2013 Depreciation Schedule

Name: The Doering Family Foundation

EIN: 39-1805495

Description of Property	Date Acquired	Cost or Other Basis	Prior Years' Depreciation	Computation Method	Rate / Life (# of years)	Current Year's Depreciation Expense	Net Investment Income	Adjusted Net Income	Cost of Goods Sold Not Included

TY 2013 Investments - Land Schedule

Name: The Doering Family Foundation

EIN: 39-1805495

TY 2013 Land, Etc. Schedule

Name: The Doering Family Foundation

EIN: 39-1805495

TY 2013 Legal Fees Schedule

Name: The Doering Family Foundation

EIN: 39-1805495

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
LEGAL FEES	221	88		133

efile GRAPHIC print - DO NOT PROCESS	As Filed Data -	DLN: 93491135022064

TY 2013 Other Assets Schedule

Name: The Doering Family Foundation

EIN: 39-1805495

Description	Beginning of Year - Book Value	End of Year - Book Value	End of Year - Fair Market Value
ACCRUED INTEREST RECEIVABLE	4,091	4,700	4,700

TY 2013 Other Expenses Schedule

Name: The Doering Family Foundation

EIN: 39-1805495

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
LICENSES AND FEES	10			

TY 2013 Other Increases Schedule

Name: The Doering Family Foundation

EIN: 39-1805495

Description	Amount
UNREALIZED GAIN ON SECURITIES	94,977

TY 2013 Other Professional Fees Schedule

Name: The Doering Family Foundation

EIN: 39-1805495

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
INVESTMENT ADVISORY FEES	12,503	12,503		

TY 2013 Taxes Schedule

Name: The Doering Family Foundation

EIN: 39-1805495

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
EXCISE TAX	1,343			

THE DOERING FAMILY FOUNDATION
622 JULPUN LOOP
CLAYTON CA 94517-1226

RECIPIENT'S ACCOUNT NUMBER
802-01440

1099-DIV (con't) RBC Capital Markets, LLC - Dividends

BOXES 6 & 7 -- Foreign tax paid and country (con't)

SECURITY ID & DESCRIPTION

DATE	NOTES	COUNTRY	AMOUNT	DATE	NOTES	COUNTRY	AMOUNT
649280823	NEW WORLD FD INC NEW CL F-2 SHS						
12/27/13	F		$135.93				
				TOTAL			**$135.93**
413838509	OAKMARK INTERNATIONAL SMALL CAP FUND						
12/20/13	M		$47.25				
				TOTAL			**$47.25**
880208400	TEMPLETON GLOBAL BOND FUND ADVISOR CL						
08/19/13	F		$22 50				
				TOTAL			**$22.50**

Boxes 6 & 7 Total Amount $513.34

C Long-term capital gain distribution
F This income is subject to possible reallocation into other types of income. If the issuer reallocates this income, a revised Tax Information Summary will be mailed to you on or about March 15, 2014.
M Payments received were reclassified into other type(s) of income, therefore the totals may not equal the amounts as originally detailed on your monthly statements.
N Non-qualified dividend
S Short-term capital gain distribution

1099-B RBC Capital Markets, LLC - Sales, Redemptions, and Returns of Principal

Please note that items that are checked in the 'Non-Cvrd. Sec.' column are noncovered securities and cost basis information for these items is not reported to the IRS. Cost basis information for items that are checked in the 'Basis Rptd. To IRS' column is reported to the IRS. Please see enclosed insert for additional information.

BOXES 1a, 1b, 1c, 1d, 1e, 2a, 3, 5, 6a, 6b & 8 -- Stocks, bonds etc.

SECURITY ID, SYMBOL (Box 1d) & DESCRIPTION (Box 8)

DATE OF SALE (Box 1a)	NOTES	QUANTITY (Box 1e)	NET PROCEEDS (Box 2a)	DATE OF ACQUISITION (Box 1b)	NET COST (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	NON-CVRD SEC (6a)	BASIS RPTD TO IRS (6b)	TERM (Box 1c)
00080Y728	ALSOX	ABN AMRO FDS ASTON/LAKE PRTNS LASSO ALT C							
11/12/13		745.712	9,991.00	5/10/2013	9,889.41		☐	☑	SHORT
52469H594	SOPYX	CLEARBRIDGE EQUITY INCOME FUND CLASS I							
02/01/13		1,565.435	24,991.00						
		1,435.724	*22,920 26*	*7/21/2011*	*19,735 73*		☑	☐	*LONG*
		129 711	*2,070.74*	*VARIOUS*	*1,922.08*		☐	☑	*SHORT*
11/06/13		1,378.170	24,991.00						
		1,316 997	*23,881 71*	*VARIOUS*	*17,395.62*		☑	☐	*LONG*
		61 173	*1,109 28*	*VARIOUS*	*1,032 92*		☐	☑	*SHORT*
256206103	DODFX	DODGE & COX FUNDS INTERNATIONAL STOCK FUND							
06/10/13		266.312	9,991.00						
		202 841	*7,609.82*	*VARIOUS*	*6,398 59*		☑	☐	*LONG*
		63 471	*2,381 19*	*12/21/2012*	*2,192.28*		☐	☑	*SHORT*
11/06/13		353.941	14,991.00	7/29/2010	11,133.72		☑	☐	LONG

THE DOERING FAMILY FOUNDATION
622 JULPUN LOOP
CLAYTON CA 94517-1226

RECIPIENT'S ACCOUNT NUMBER
802-01440

1099-B (con't) RBC Capital Markets, LLC - Sales, Redemptions, and Returns of Principal

BOXES 1a, 1b, 1c, 1d, 1e, 2a, 3, 5, 6a, 6b & 8 -- Stocks, bonds etc. (con't)

SECURITY ID, SYMBOL (Box 1d) & DESCRIPTION (Box 8)

DATE OF SALE (Box 1a)	NOTES	QUANTITY (Box 1e)	NET PROCEEDS (Box 2a)	DATE OF ACQUISITION (Box 1b)	NET COST (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	NON-CVRD SEC (6a)	BASIS RPTD TO IRS (6b)	TERM (Box 1c)
256210105	DODIX	DODGE & COX INCOME FUND							
06/10/13		4,795.156	65,876.44	VARIOUS	65,018 00		☐	☑	LONG
302933106		FMI FOCUS FUND							
02/01/13		295 683	9,991.00	VARIOUS	8,662.01		☐	☑	SHORT
08/22/13		254 194	9,991.00						
		132 972	*5,226 41*	*VARIOUS*	*3,739 33*		☑	☐	*LONG*
		61.595	*2,420 97*	*11/2/2012*	*1,796 72*		☐	☑	*SHORT*
		59.627	*2,343 62*	*VARIOUS*	*1,739 00*		☐	☑	*LONG*
09/25/13		615.460	24,991.00	8/11/2011	16,989.52		☑	☐	LONG
30254T759	FPACX	FPA FDS TR FPA CRESCENT PORTFOLIO INSTL							
02/01/13		846 597	24,991.00						
		730 074	*21,551 31*	*VARIOUS*	*19,732 97*		☑	☐	*LONG*
		116 523	*3,439 68*	*VARIOUS*	*3,310 11*		☐	☑	*SHORT*
422352856	HNSVX	HEARTLAND GROUP INC SELECT VALUE FD INSTL CL							
02/01/13		314 762	9,991 00						
		214 871	*6,820 32*	*7/29/2010*	*5,388 04*		☑	☐	*LONG*
		99.891	*3,170 68*	*12/28/2012*	*2,888 85*		☐	☑	*SHORT*
06/10/13		291.206	9,991.00	7/29/2010	7,302.20		☑	☐	LONG
11/22/13		193.598	7,491.00	7/29/2010	4,854.61		☑	☐	LONG
464288612	GVI	ISHARES BARCLAYS INTERMEDIATE GOVERNMENT CREDIT BOND ETF							
05/10/13		650 000	72,881.73	VARIOUS	73,003 25		☐	☑	SHORT
543069108	LLPFX	LONGLEAF PARTNERS FUND							
02/01/13		688.231	19,991.00						
		381 125	*11,070 51*	*1/28/2010*	*8,887 22*		☑	☐	*LONG*
		307.106	*8,920 48*	*VARIOUS*	*7,920.40*		☐	☑	*SHORT*
543495840	LSBDX	LOOMIS SAYLES INVT TR BD FD INSTL CL							
06/10/13		2,247.473	34,467.24	VARIOUS	23,750.55		☑	☐	LONG
649280823	NFFFX	NEW WORLD FD INC NEW CL F-2 SHS							
11/06/13		169.492	9,991.00						
		31 739	*1,870 91*	*12/27/2012*	*1,707 24*		☐	☑	*SHORT*
		137.753	*8,120 09*	*10/31/2012*	*7,238 67*		☐	☑	*LONG*
413838509	OAKEX	OAKMARK INTERNATIONAL SMALL CAP FUND							
08/22/13		609.385	9,991.00						
		554.702	*9,094 46*	*9/2/2010*	*6,779 52*		☑	☐	*LONG*
		54 683	*896 54*	*12/17/2012*	*747.51*		☐	☑	*SHORT*
72201M842	PCRPX	PIMCO COMMODITY REAL RETURN STRAT P							
12/03/13		8,972 729	49,879.37						
		1,950 257	*10,841 47*	*VARIOUS*	*11,197.32*		☐	☑	*SHORT*
		7,022 472	*39,037 90*	*10/5/2012*	*50,009 00*		☐	☑	*LONG*

THE DOERING FAMILY FOUNDATION
622 JULPUN LOOP
CLAYTON CA 94517-1226

RECIPIENT'S ACCOUNT NUMBER
802-01440

1099-B (con't)RBC Capital Markets, LLC - Sales, Redemptions, and Returns of Principal

BOXES 1a, 1b, 1c, 1d, 1e, 2a, 3, 5, 6a, 6b & 8 -- Stocks, bonds etc. (con't)

SECURITY ID, SYMBOL (Box 1d) & DESCRIPTION (Box 8)

DATE OF SALE (Box 1a)	NOTES	QUANTITY (Box 1e)	NET PROCEEDS (Box 2a)	DATE OF ACQUISITION (Box 1b)	NET COST (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	NON-CVRD SEC (6a)	BASIS RPTD TO IRS (6b)	TERM (Box 1c)
74160Q202	POAGX	PRIMECAP ODYSSEY FDS AGGRESSIVE GROWTH FD							
06/10/13		405.844	9,991.00						
		118 653	*2,920 98*	*1/12/2011*	*2,025 77*		☑	☐	*LONG*
		287.191	*7,070 02*	*5/16/2012*	*5,009 00*		☐	☑	*LONG*
09/25/13		2,869.722	80,314.52	VARIOUS	48,921.31		☑	☐	LONG
76628T439	SIGVX	RIDGEWORTH FDS US GOVT SECS ULTRA SHORT BD FD							
08/22/13		990.099	9,991.00	6/10/2013	10,044.12		☐	☑	SHORT
11/12/13		1,978.239	19,991.00						
		995 951	*10,064.53*	*10/26/2011*	*10,056 72*		☑	☐	*LONG*
		982 288	*9,926 46*	*6/10/2013*	*9,964 88*		☐	☑	*SHORT*
12/10/13		2,797 661	28,303.33	VARIOUS	28,222.08		☑	☐	LONG
959802AB5		WESTERN UN CO NT							
02/13/13		30,000 000	32,995.80	3/2/2011	33,577.20		☑	☐	LONG

	NET PROCEEDS	NET COST	WASH SALE LOSS DISALLOWED	NON-CVRD SEC	BASIS RPTD TO IRS	TERM
Boxes 2a, 3 & 5 SUBTOTALS	**$0.00**	**$0.00**	**$0.00**	☑	☐	UNKNOWN
	$0.00	**$0.00**	**$0.00**	☑	☐	SHORT
	$354,705.20	**$274,890.70**	**$0.00**	☑	☐	LONG
	$149,903.13	**$146,279.10**	**$0.00**	☐	☑	SHORT
	$122,448.07	**$129,013.67**	**$0.00**	☐	☑	LONG
Boxes 2a, 3 & 5 TOTAL	**$627,056.40**	**$550,183.47**	**$0.00**			

Please note items that are checked in the "Non-Cvrd. Sec.' column are noncovered securities and cost basis information for these items is not reported to the IRS. Cost basis information for items that are checked in the 'Basis Rptd. To IRS' column is reported to the IRS. Please see enclosed insert for additional information.

The following information is provided for your use in preparing tax returns for this and subsequent years; it is not furnished to the IRS.

1099-DIV (con't) RBC Capital Markets, LLC - Dividends

BOX 3 -- Nontaxable distributions

SECURITY ID & DESCRIPTION

DATE	NOTES	AMOUNT	DATE	NOTES	AMOUNT
G29183103 EATON CORPORATION PLC					
03/22/13	M R	$12.32	08/23/13	M R	$24.07
05/24/13	M R	$24.07	11/22/13	M R	$24.07
			TOTAL		**$84.53**
466313103 JABIL CIRCUIT INC					
03/01/13	M R	$29.20	09/03/13	M R	$29.20
06/03/13	M R	$29.20	12/02/13	M R	$29.20
			TOTAL		**$116.80**

Box 3 Total Amount $201.33

F This income is subject to possible reallocation into other types of income. If the issuer reallocates this income, a revised Tax Information Summary will be mailed to you on or about March 15, 2014.
M Payments received were reclassified into other type(s) of income; therefore the totals may not equal the amounts as originally detailed on your monthly statements.
N Non-qualified dividend
R Return of capital

1099-B RBC Capital Markets, LLC - Sales, Redemptions, and Returns of Principal

Please note that items that are checked in the 'Non-Cvrd. Sec.' column are noncovered securities and cost basis information for these items is not reported to the IRS. Cost basis information for items that are checked in the 'Basis Rptd. To IRS' column is reported to the IRS. Please see enclosed insert for additional information.

BOXES 1a, 1b, 1c, 1d, 1e, 2a, 3, 5, 6a, 6b & 8 -- Stocks, bonds etc.

SECURITY ID, SYMBOL (Box 1d) & DESCRIPTION (Box 8)

DATE OF SALE (Box 1a)	NOTES	QUANTITY (Box 1e)	NET PROCEEDS (Box 2a)	DATE OF ACQUISITION (Box 1b)	NET COST (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	NON-CVRD SEC (6a)	BASIS RPTD TO IRS (6b)	TERM (Box 1c)
018490102	AGN	ALLERGAN INC							
05/01/13		60.000	5,950.35	7/23/2010	3,720.63		☑	☐	LONG
020002101	ALL	ALLSTATE CORP							
06/04/13		115.000	5,354.93						
		60 000	*2,793 88*	*12/5/2012*	*2,504.83*		☐	☑	*SHORT*
		55 000	*2,561 05*	*5/8/2012*	*1,898 48*		☐	☑	*LONG*
037833100	AAPL	APPLE INC							
07/02/13		15.000	6,198.13	1/26/2012	6,680.63		☐	☑	LONG
09062X103	BIIB	BIOGEN IDEC INC							
01/04/13		40.000	5,837.86	7/23/2010	2,191.34		☑	☐	LONG
235851102	DHR	DANAHER CORP							
11/11/13		9.000	660.14	7/23/2010	341.00		☑	☐	LONG
278642103	EBAY	EBAY INC							
03/14/13		45.000	2,312.08	7/23/2010	945.86		☑	☐	LONG
07/18/13		130.000	6,935.69	7/23/2010	2,732.47		☑	☐	LONG

THE DOERING FAMILY FOUNDATION
PCG/ARGENT
622 JULPUN LOOP
CLAYTON CA 94517-1226

RECIPIENT'S ACCOUNT NUMBER
802-03167

1099-B (con't)RBC Capital Markets, LLC - Sales, Redemptions, and Returns of Principal

BOXES 1a, 1b, 1c, 1d, 1e, 2a, 3, 5, 6a, 6b & 8 -- Stocks, bonds etc. (con't)

SECURITY ID, SYMBOL (Box 1d) & DESCRIPTION (Box 8)

DATE OF SALE (Box 1a)	NOTES	QUANTITY (Box 1e)	NET PROCEEDS (Box 2a)	DATE OF ACQUISITION (Box 1b)	NET COST (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	NON-CVRD SEC (6a)	BASIS RPTD TO IRS (6b)	TERM (Box 1c)
29264F205	ENDP	ENDO HEALTH SOLUTIONS INC							
11/11/13		17.000	1,037.47	6/3/2013	633.97		☐	☑	SHORT
354613101	BEN	FRANKLIN RESOURCES INC							
07/10/13		55.000	7,564 05	VARIOUS	6,591.67		☐	☑	LONG
375558103	GILD	GILEAD SCIENCES INC							
11/05/13		15.000	1,031.10	7/23/2010	249.07		☑	☐	LONG
458140100	INTC	INTEL CORP							
08/01/13		285.000	6,589.08	7/23/2010	6,152.87		☑	☐	LONG
466313103	JBL	JABIL CIRCUIT INC							
11/22/13		365.000	7,099.12						
		335.000	*6,515.63*	*10/29/2010*	*4,787.72*		☑	☐	*LONG*
		30.000	*583.49*	*3/2/2011*	*615.77*		☐	☑	*LONG*
469814107	JEC	JACOBS ENGINEERING GROUP INC							
11/21/13		140.000	8,386.19	VARIOUS	7,020.96		☐	☑	LONG
57636Q104	MA	MASTERCARD INCORPORATED							
11/11/13		4.000	2,945.94	7/23/2010	849.80		☑	☐	LONG
867914103	STI	SUNTRUST BANKS INC							
11/11/13		19.000	669.24	8/16/2012	482.84		☐	☑	LONG
917047102	URBN	URBAN OUTFITTERS INC							
09/11/13		170.000	6,486 25	10/11/2012	6,312.56		☐	☑	SHORT
969904101	WSM	WILLIAMS SONOMA INC							
10/22/13		145.000	7,767.07	9/5/2012	6,153.63		☐	☑	LONG

	NET PROCEEDS	NET COST	WASH SALE LOSS DISALLOWED	NON-CVRD SEC	BASIS RPTD TO IRS	TERM
Boxes 2a, 3 & 5 SUBTOTALS	**$0.00**	**$0.00**	**$0.00**	☑	☐	UNKNOWN
	$0.00	**$0.00**	**$0.00**	☑	☐	SHORT
	$38,777.87	**$21,970.76**	**$0.00**	☑	☐	LONG
	$10,317.60	**$9,451.36**	**$0.00**	☐	☑	SHORT
	$33,729.22	**$29,443.98**	**$0.00**	☐	☑	LONG
Boxes 2a, 3 & 5 TOTAL	**$82,824.69**	**$60,866.10**	**$0.00**			

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