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Return of Private Foundation

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

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

2013

Open to Public Inspection

For calendar year 2013 or tax year beginning

, and ending

Name of foundation STANLEY & LUCY LOPATA FOUNDATION C/O LOPATA, FLEGEL & CO LLP		A Employer identification number 43-6099972
Number and street (or P.O. box number if mail is not delivered to street address) 600 MASON RIDGE CENTER DRIVE	Room/suite 100	B Telephone number 314-514-8881
City or town, state or province, country, and ZIP or foreign postal code ST. LOUIS, MO 63141		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 ☐
H Check type of organization: ☒ Section 501(c)(3) exempt private foundation ☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here ☐
I Fair market value of all assets at end of year (from Part II, col. (c), line 16) \$ 11,020,768. (Part I, column (d) must be on cash basis.)	J Accounting method: ☒ Cash ☐ Accrual ☐ Other (specify) _____	F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐

Part II 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	122,375.		N/A	
	2 Check ☐ if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments	89,473.	89,473.		STATEMENT 1
	4 Dividends and interest from securities	188,156.	188,156.		STATEMENT 2
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	366,599.			
	b Gross sales price for all assets on line 6a	4,555,666.			
	7 Capital gain net income (from Part IV, line 2)		366,599.		
	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	25.	25.		STATEMENT 3	
12 Total. Add lines 1 through 11	766,628.	644,253.			
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc	0.	0.		0.
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees				
	b Accounting fees	11,700.	7,020.		4,860.
	c Other professional fees	40,906.	40,906.		0.
	17 Interest				
	18 Taxes	3,164.	3,164.		0.
	19 Depreciation and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses	365.	300.		65.
	24 Total operating and administrative expenses. Add lines 13 through 23	56,135.	51,390.		4,925.
	25 Contributions, gifts, grants paid	445,575.			445,575.
26 Total expenses and disbursements. Add lines 24 and 25	501,710.	51,390.		450,500.	
27 Subtract line 26 from line 12:					
a Excess of revenue over expenses and disbursements	264,918.				
b Net investment income (if negative, enter -0-)		592,863.			
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	35,850.	31,752.	31,752.
	2 Savings and temporary cash investments	84,406.	29,048.	29,048.
	3 Accounts receivable ▶			
	Less: allowance for doubtful accounts ▶			
	4 Pledges receivable ▶			
	Less: allowance for doubtful accounts ▶			
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons			
	7 Other notes and loans receivable ▶			
	Less: allowance for doubtful accounts ▶			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10a Investments - U.S. and state government obligations			
	b Investments - corporate stock STMT 10	4,326,289.	3,863,347.	6,353,171.
	c Investments - corporate bonds STMT 11	1,927,533.	1,680,298.	1,753,614.
	11 Investments - land, buildings, and equipment: basis ▶			
Less: accumulated depreciation ▶				
12 Investments - mortgage loans				
13 Investments - other STMT 12	1,743,000.	2,773,143.	2,853,183.	
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)	8,117,078.	8,377,588.	11,020,768.	
Liabilities	17 Accounts payable and accrued expenses			
	18 Grants payable			
	19 Deferred revenue			
	20 Loans from officers, directors, trustees, and other disqualified persons			
	21 Mortgages and other notes payable			
	22 Other liabilities (describe ▶)			
23 Total liabilities (add lines 17 through 22)	0.	0.		
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ☐ and complete lines 24 through 26 and lines 30 and 31.			
	24 Unrestricted			
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here ☒ and complete lines 27 through 31.			
	27 Capital stock, trust principal, or current funds	8,117,078.	8,377,588.	
	28 Paid-in or capital surplus, or land, bldg., and equipment fund	0.	0.	
	29 Retained earnings, accumulated income, endowment, or other funds	0.	0.	
30 Total net assets or fund balances	8,117,078.	8,377,588.		
31 Total liabilities and net assets/fund balances	8,117,078.	8,377,588.		

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	8,117,078.
2 Enter amount from Part I, line 27a	2	264,918.
3 Other increases not included in line 2 (itemize) ▶ SEE STATEMENT 8	3	1,306.
4 Add lines 1, 2, and 3	4	8,383,302.
5 Decreases not included in line 2 (itemize) ▶ SEE STATEMENT 9	5	5,714.
6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	8,377,588.

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				
b SEE ATTACHED STATEMENT				
c				
d				
e				
(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)	
a				
b				
c				
d				
e 4,555,666.		4,189,067.	366,599.	
Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69				
(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))	
a				
b				
c				
d				
e			366,599.	
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	366,599.
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter -0- in Part I, line 8			3	N/A

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

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

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

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

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2012	462,768.	9,502,859.	.048698
2011	457,397.	9,253,300.	.049431
2010	364,660.	9,114,405.	.040009
2009	481,437.	7,282,450.	.066109
2008	463,700.	9,820,127.	.047219
2 Total of line 1, column (d)			2 .251466
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 .050293
4 Enter the net value of noncharitable-use assets for 2013 from Part X, line 5			4 10,141,682.
5 Multiply line 4 by line 3			5 510,056.
6 Enter 1% of net investment income (1% of Part I, line 27b)			6 5,929.
7 Add lines 5 and 6			7 515,985.
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.			8 450,500.

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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 ☐ 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

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-)

3 Add lines 1 and 2

4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)

5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-

6 Credits/Payments:

a 2013 estimated tax payments and 2012 overpayment credited to 2013

b Exempt foreign organizations - tax withheld at source

c Tax paid with application for extension of time to file (Form 8868)

d Backup withholding erroneously withheld

7 Total credits and payments. Add lines 6a through 6d

8 Enter any penalty for underpayment of estimated tax. Check here ☒ if Form 2220 is attached

9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed

10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid

11 Enter the amount of line 10 to be: Credited to 2014 estimated tax

8,055. Refunded

Part VII-A Statements Regarding Activities

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?

b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for the definition)?

If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.

c Did the foundation file Form 1120-POL for this year?

d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year:

(1) On the foundation. \$ 0. (2) On foundation managers. \$ 0.

e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. \$ 0.

2 Has the foundation engaged in any activities that have not previously been reported to the IRS?

If "Yes," attach a detailed description of the activities.

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

4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?

b If "Yes," has it filed a tax return on Form 990-T for this year?

5 Was there a liquidation, termination, dissolution, or substantial contraction during the year?

If "Yes," attach the statement required by General Instruction T.

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?

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

8a Enter the states to which the foundation reports or with which it is registered (see instructions)

MO

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

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

10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses

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Part VII-A Statements Regarding Activities (continued)

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)	11		X
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► <u>N/A</u>	13	X	
14	The books are in care of ► <u>LOPATA, FLEGEL & COMPANY, LLP</u> Telephone no. ► <u>314-514-8881</u> Located at ► <u>600 MASON RIDGE CENTER DR, STE 100, ST. LOUIS, MO</u> ZIP+4 ► <u>63141</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	N/A	
16	At any time during calendar year 2013, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? See the instructions for exceptions and filing requirements for Form TD F 90-22.1. If "Yes," enter the name of the foreign country ►	16	Yes	No
				X

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

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

	Yes	No
1a During the year did the foundation (either directly or indirectly):		
(1) Engage in the sale or exchange, or leasing of property with a disqualified person?	☐ Yes ☒ No	
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?	☐ Yes ☒ No	
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?	☐ Yes ☒ No	
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?	☐ Yes ☒ No	
(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)?	☐ Yes ☒ No	
(6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.)	☐ Yes ☒ No	
b If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? Organizations relying on a current notice regarding disaster assistance check here	N/A	
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?		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(i)(3) or 4942(i)(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? If "Yes," list the years ►	☐ Yes ☒ No	
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	
c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. ►		
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?	☐ Yes ☒ No	
b If "Yes," did it have excess business holdings in 2013 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969; (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest; or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2013.)	N/A	
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?		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?		X

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

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

(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?

☐ Yes ☒ No

(2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive?

☐ Yes ☒ No

(3) Provide a grant to an individual for travel, study, or other similar purposes?

☐ Yes ☒ No

(4) Provide a grant to an organization other than a charitable, etc., organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)?

☐ Yes ☒ No

(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?

☐ Yes ☒ No

b If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)?

N/A

Organizations relying on a current notice regarding disaster assistance check here

☒

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

N/A

☐ Yes ☐ No

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

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

☐ Yes ☒ No

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

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

☐ Yes ☒ No

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

N/A

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

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
JAMES R. LOPATA	TRUSTEE			
ONE E SCHILLER STREET, APT 22A				
CHICAGO, IL 60610	5.00	0.	0.	0.
LUSETTE SMITH	TRUSTEE			
9602 TACKROOM LANE				
GREAT FALLS, VA 22066	1.00	0.	0.	0.
ROGER LOPATA	TRUSTEE			
1300 MEDFORD ROAD				
WYNNEWOOD, PA 19096	1.00	0.	0.	0.
STEVEN LOPATA	TRUSTEE			
13000 RIVERCREST DRIVE				
LITTLE ROCK, AR 72212	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	10,203,961.
b	Average of monthly cash balances	1b	92,163.
c	Fair market value of all other assets	1c	
d	Total (add lines 1a, b, and c)	1d	10,296,124.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	0.
2	Acquisition indebtedness applicable to line 1 assets	2	0.
3	Subtract line 2 from line 1d	3	10,296,124.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	154,442.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	10,141,682.
6	Minimum investment return. Enter 5% of line 5	6	507,084.

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	507,084.
2a	Tax on investment income for 2013 from Part VI, line 5	2a	11,857.
b	Income tax for 2013. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	11,857.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	495,227.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	495,227.
6	Deduction from distributable amount (see instructions)	6	0.
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	495,227.

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	450,500.
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	450,500.
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	450,500.

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

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Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2012	(c) 2012	(d) 2013
1 Distributable amount for 2013 from Part XI, line 7				495,227.
2 Undistributed income, if any, as of the end of 2013				
a Enter amount for 2012 only			424,873.	
b Total for prior years:		0.		
3 Excess distributions carryover, if any, to 2013:				
a From 2008				
b From 2009				
c From 2010				
d From 2011				
e From 2012				
f Total of lines 3a through e	0.			
4 Qualifying distributions for 2013 from Part XII, line 4: ▶ \$ 450,500.				
a Applied to 2012, but not more than line 2a			424,873.	
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				25,627.
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		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				469,600.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3)	0.			
8 Excess distributions carryover from 2008 not applied on line 5 or line 7	0.			
9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a	0.			
10 Analysis of line 9:				
a Excess from 2009				
b Excess from 2010				
c Excess from 2011				
d Excess from 2012				
e Excess from 2013				

N/A

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

- (4) Gross investment income**

Form 990-PF (2013)

STANLEY & LUCY LOPATA FOUNDATION

Form 990-PF (2013)

C/O LOPATA, FLEGEL & CO LLP

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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				
AARP FOUNDATION 3470 HAMPTON AVENUE ST LOUIS, MO 63139		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	100.
AMERICAN CANCER SOCIETY 5 SCHIBER COURT MARYVILLE, IL 62062		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	100.
AMERICAN DIABETES ASSOCIATION 1701 N BEAUREGARD STREET ALEXANDRIA, VA 22311		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	50.
AMERICAN HEART ASSOCIATION 7272 GREENVILLE AVENUE DALLAS, TX 75231		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	100.
AMERICAN RED CROSS 10195 CORPORATE SQUARE ST LOUIS, MO 63132		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	100.
Total	SEE CONTINUATION SHEET(S)			445,575.
b Approved for future payment				
NONE				
Total				0.

Schedule B(Form 990, 990-EZ,
or 990-PF)Department of the Treasury
Internal Revenue Service**Schedule of Contributors**

- ▶ Attach to Form 990, Form 990-EZ, or Form 990-PF.
▶ Information about Schedule B (Form 990, 990-EZ, or 990-PF) and
its instructions is at www.irs.gov/form990.

OMB No 1545-0047

2013

Name of the organization

STANLEY & LUCY LOPATA FOUNDATION
C/O LOPATA, FLEGEL & CO LLP

Employer identification number

43-6099972

Organization type (check one)

Filers of:

Section:

Form 990 or 990-EZ

☐

501(c)() (enter number) organization

☐

4947(a)(1) nonexempt charitable trust not treated as a private foundation

☐

527 political organization

Form 990-PF

☒

501(c)(3) exempt private foundation

☐

4947(a)(1) nonexempt charitable trust treated as a private foundation

☐

501(c)(3) taxable private foundation

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

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

Special Rules

- ☐ For a section 501(c)(3) organization filing Form 990 or 990-EZ that met the 33 1/3% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi) and received from any one contributor, during the year, a contribution of the greater of (1) \$5,000 or (2) 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1. Complete Parts I and II.
- ☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than \$1,000 for use *exclusively* for religious, charitable, scientific, literary, or educational purposes, or the prevention of cruelty to children or animals. Complete Parts I, II, and III.
- ☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions for use *exclusively* for religious, charitable, etc., purposes, but these contributions did not total to more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Do not complete any of the parts unless the **General Rule** applies to this organization because it received *nonexclusively* religious, charitable, etc., contributions of \$5,000 or more during the year. ▶ \$ _____

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

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

Name of organization

STANLEY & LUCY LOPATA FOUNDATION
C/O LOPATA, FLEGEL & CO LLP

Employer identification number

43-6099972

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

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	LUCY LOPATA 8% OK 1 CRUT ART 4 SEC A 1971 TRUST VIA WU & STATE STREET BANK 1 LINCOLN STREET SSFC 24 BOSTON, MA 02111	\$ 122,375.	Person ☒ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)

Name of organization

STANLEY & LUCY LOPATA FOUNDATION
C/O LOPATA, FLEGEL & CO LLP

Employer identification number

43-6099972

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

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	

Name of organization

Employer identification number

STANLEY & LUCY LOPATA FOUNDATION
C/O LOPATA, FLEGEL & CO LLP

43-6099972

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

Use duplicate copies of Part III if additional space is needed.

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

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

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

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

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 SHORT-TERM COVERED (SEE ATTACHED)		P	01/01/13	12/31/13
b LONG-TERM COVERED (SEE ATTACHED)		P	01/01/12	12/31/13
c LONG-TERM NON-COVERED (SEE ATTACHED)		P	01/01/12	12/31/13
d SPDR GOLD TRUST ETF (SEE ATTACHED)		P	01/01/13	12/31/13
e PFIZER, INC. ADJUSTMENT		D	01/01/13	10/02/13
f NUVEEN ADJUSTMENT		D	01/01/12	03/13/13
g CAPITAL GAINS DIVIDENDS				
h				
i				
j				
k				
l				
m				
n				
o				

(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 1,267,356.		1,307,831.	<40,475.>
b 1,153,252.		1,113,185.	40,067.
c 2,086,517.		1,744,751.	341,766.
d 31,904.		23,300.	8,604.
e 665.			665.
f 5,050.			5,050.
g 10,922.			10,922.
h			
i			
j			
k			
l			
m			
n			
o			

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) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			<40,475.>
b			40,067.
c			341,766.
d			8,604.
e			665.
f			5,050.
g			10,922.
h			
i			
j			
k			
l			
m			
n			
o			

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	366,599.
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

STANLEY & LUCY LOPATA FOUNDATION
C/O LOPATA, FLEGEL & CO LLP

43-6099972

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
AMERICAN SOCIETY OF YAD VASHEM 500 FIFTH AVENUE, 42ND FLOOR NEW YORK, NY 10110		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	200.
ARTS AND EDUCATION COUNCIL 3547 OLIVE STREET ST LOUIS, MO 63103		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	2,000.
B'NAI BRITH 2020 K STREET, NW, 7TH FLOOR WASHINGTON, DC 20006		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	100.
BOY SCOUTS OF AMERICA 4568 WEST PINE BOULEVARD ST LOUIS, MO 63108		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	1,000.
BOYS & GIRLS CLUB OF GREATER ST LOUIS 2901 N GRAND BOULEVARD ST LOUIS, MO 63107		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	500.
CAMPBELL HOUSE MUSEUM 1508 LOCUST STREET ST LOUIS, MO 63103		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	50.
CENTER FOR LITERACY 399 MARKET ST, STE 201 PHILADELPHIA, PA 19106		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	5,000.
CHANNEL NINE KETC 3655 OLIVE STREET ST LOUIS, MO 63108		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	1,000.
CHURCHILL SCHOOL 1021 MUNICIPAL CENTER DRIVE TOWN & COUNTRY, MO 63131		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	1,000.
CONGREGATION B'NAI AMOONA 324 SOUTH MASON ROAD CREVE COEUR, MO 63141		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	500.
Total from continuation sheets				445,125.

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
CONGREGATION SHAARE EMETH 11645 LADUE ROAD ST LOUIS, MO 63141		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	1,000.
CONGREGATION TEMPLE ISRAEL - JEWISH PARENTS AS TEACHERS 1 RABBI ALAN D RUBIN DRIVE ST LOUIS, MO 63141		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	5,000.
CRISIS NURSERY 11710 ADMINISTRATION DRIVE, #18 ST LOUIS, MO 63146		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	100.
CROWN CENTER FOR SENIORS 8350 DELCREST DRIVE ST LOUIS, MO 63124		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	2,500.
DC ARTS AND HUMANITIES EDUCATION COLLABORATIVE INC 1001 G ST, NW, STE 1000W WASHINGTON, DC 20001		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	5,000.
DONALD DANFORTH PLANT SCIENCE CENTER 7425 FORSYTH BOULEVARD, SUITE 262 ST LOUIS, MO 63105		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	5,000.
DREXEL UNIVERSITY CENTER FOR HUNGER FREE COMMUNITIES 1505 RACE ST, 11TH FLOOR, MAIL STOP 1035 PHILADELPHIA, PA 19102		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	5,000.
FAMILIES FORWARD PHILADELPHIA 111 N 49TH ST PHILADELPHIA, PA 19139		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	5,000.
FOREST PARK FOREVER 5595 GRAND DRIVE, FOREST PARK ST LOUIS, MO 63112		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	5,000.
GIRLS INC OF ST LOUIS 3801 NELSON DRIVE ST LOUIS, MO 63121		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	1,000.
Total from continuation sheets				

STANLEY & LUCY LOPATA FOUNDATION
C/O LOPATA, FLEGEL & CO LLP

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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
GRAND CENTER 3526 WASHINGTON AVENUE, 2ND FLOOR ST LOUIS, MO 63103		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	1,000.
GREATER CHICAGO FOOD DEPOSITORY 4100 WEST ANN LURIE PL CHICAGO, IL 60680		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	10,000.
HIGHER ACHIEVEMENT 1701 K ST NW, STE 625 WASHINGTON, DC 20006		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	5,000.
HOLOCAUST MUSEUM 12 MILLSTONE CAMPUS DRIVE ST LOUIS, MO 63146		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	2,500.
HUMANE SOCIETY 2400 DRILLING SERVICE ROAD MARYLAND HEIGHTS, MO 63043		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	100.
JEWISH COMMUNITY CENTER 2 MILLSTONE CAMPUS DRIVE ST LOUIS, MO 63146		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES GENERAL CHARITABLE PURPOSES	2,500.
JEWISH FAMILY & CHILDREN'S SERVICE 10950 SCHUETZ ROAD ST LOUIS, MO 63146		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	10,100.
JEWISH FEDERATION 12 MILLSTONE CAMPUS DRIVE ST LOUIS, MO 63146		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	50,200.
JEWISH LIGHT 6 MILLSTONE CAMPUS DRIVE ST LOUIS, MO 63146		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	250.
LANDMARK ASSOCIATION OF ST. LOUIS 911 WASHINGTON AVENUE ST LOUIS, MO 63101		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	100.
Total from continuation sheets				

STANLEY & LUCY LOPATA FOUNDATION
C/O LOPATA, FLEGEL & CO LLP

43-6099972

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
LEUKEMIA AND LYMPHOMA SOCIETY 77 WEST PORT PLAZA DRIVE, #480 ST LOUIS, MO 63146		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	100.
LIFE SKILLS 10176 CORPORATE SQUARE DRIVE, SUITE 100 ST LOUIS, MO 63132		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	1,000.
LUPUS FOUNDATION 4640 SHENANDOAH AVENUE ST LOUIS, MO 63110		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	100.
MARY INSTITUTE AND ST. LOUIS COUNTRY DAY SCHOOLS 101 N WARSON RD ST LOUIS, MO 63124		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	250.
MIRIAM FOUNDATION 501 BACON AVENUE ST LOUIS, MO 63119		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	40,075.
MISSOURI BOTANICAL GARDENS - BUTTERFLY HOUSE PO BOX 299 ST LOUIS, MO 63124-1984		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	20,000.
MISSOURI HISTORY MUSEUM PO BOX 11940 ST LOUIS, MO 63112		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	50,000.
NAMI ST LOUIS 1750 SOUTH BRENTWOOD BOULEVARD, SUITE 511 ST LOUIS, MO 63144		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	200.
NATIONAL COUNCIL OF JEWISH WOMEN 295 N LINDBERGH BOULEVARD ST LOUIS, MO 63141		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	10,000.
NATURE CONSERVANCY 4245 NORTH FAIRFAX DRIVE ARLINGTON, VA 22203		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	100.
Total from continuation sheets				

STANLEY & LUCY LOPATA FOUNDATION
C/O LOPATA, FLEGEL & CO LLP

43-6099972

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
OASIS 7710 CARONDELET AVENUE, SUITE 125 ST LOUIS, MO 63105		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	25,000.
OLDER WOMEN'S LEAGUE 11710 ADMINISTRATION DRIVE, SUITE 6 MARYLAND HEIGHTS, MO 63146		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	500.
OPERA THEATRE OF ST. LOUIS PO BOX 191910 ST LOUIS, MO 63119-7910		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	1,000.
PETER AND PAUL COMMUNITY SERVICES 1025 PARK AVENUE ST LOUIS, MO 63104		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	5,000.
PHILABUNDANCE 3616 S GALLOWAY ST PHILADELPHIA, PA 19148		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	5,000.
PHSYCHOANALYTIC INSTITUTE OF ST LOUIS 8820 LADUE RD ST LOUIS, MO 63124		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	100.
PLANNED PARENTHOOD 4251 FOREST PARK AVENUE ST LOUIS, MO 63108		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	6,000.
PROJECT HOME 1515 FAIRMOUNT AVE PHILADELPHIA, PA 19130		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	5,000.
RAINBOW VILLAGE 1240 DAUTEL LANE ST LOUIS, MO 63146		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	5,000.
REPERTORY THEATRE OF ST LOUIS 130 EDGAR ROAD ST LOUIS, MO 63119		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	2,750.
Total from continuation sheets				

STANLEY & LUCY LOPATA FOUNDATION
C/O LOPATA, FLEGEL & CO LLP

43-6099972

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
SALVATION ARMY - FOOD PANTRY 2618 NORTH EUCLID AVENUE ST LOUIS, MO 63113		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	500.
SCHOLARSHIP FOUNDATION OF ST LOUIS 8215 CLAYTON ROAD ST LOUIS, MO 63117		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	5,000.
SHELDON ARTS FOUNDATION 3648 WASHINGTON BOULEVARD ST LOUIS, MO 63108		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	1,000.
SMITH CENTER FOR HEALING AND THE ARTS 1632 U STREET NW WASHINGTON, DC 20009		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	5,000.
ST LOUIS AREA FOODBANK 70 CORPORATE WOODS DRIVE BRIDGETON, MO 63044		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	2,100.
ST LOUIS ART MUSEUM ONE FINE ARTS DRIVE, FOREST PARK ST LOUIS, MO 63110		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	5,000.
ST LOUIS PUBLIC RADIO 3651 OLIVE STREET ST LOUIS, MO 63108		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	1,000.
ST LOUIS SCIENCE CENTER 5050 OAKLAND AVENUE ST LOUIS, MO 63110		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	2,500.
ST LOUIS SYMPHONY 718 NORTH GRAND BOULEVARD ST LOUIS, MO 63103		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	5,000.
ST LOUIS ZOO ONE GOVERNMENT DRIVE ST LOUIS, MO 63110		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	1,000.
Total from continuation sheets				

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
THE JOFFREY BALLET OF CHICAGO - RUDOLF NUREYEV DANCE FOUNDATION 10 E RANDOLPH ST CHICAGO, IL 60601		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	5,000.
THE PATRICIAN SOCIETY - NEIGHBORS HELPING NEIGHBORS 121 E CHESTNUT ST NORRISTOWN, PA 19401		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	10,000.
THE READING CONNECTION 4001 N 9TH ST, STE 226 ARLINGTON, VA 22203		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	5,000.
UNITED STATES HOLOCAUST MEMORIAL MUSEUM 100 15TH ST SW WASHINGTON, DC 20024		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	100.
UNITED WAY OF CHICAGO 560 WEST LAKE ST CHICAGO, IL 60661		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	10,000.
UNITED WAY OF ST LOUIS 910 NORTH 11TH STREET ST LOUIS, MO 63101		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	15,000.
UNIVERSITY OF MISSOURI - ST LOUIS 308 WOODS HALL, ONE UNIVERSITY BOULEVARD ST LOUIS, MO 63121		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	30,000.
VOLUNTEER FAIRFAX 10530 PAGE AVE FAIRFAX, VA 22030		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	5,000.
WASHINGTON UNIVERSITY - FRIENDS OF MUSIC ONE BROOKING DRIVE ST LOUIS, MO 63130		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	1,000.
WASHINGTON UNIVERSITY ONE BROOKING DRIVE ST LOUIS, MO 63130		CHARITABLE ORGANIZATION	GENERAL CHARITABLE PURPOSES	30,000.
Total from continuation sheets				

43-6099972

3' Grants and Contributions Paid During the Year (Continuation)

323631
05-01-13

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

SOURCE	(A) REVENUE PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME
US BANK CHECKING INTEREST	42.	42.	
US BANK TRUST	89,431.	89,431.	
TOTAL TO PART I, LINE 3	89,473.	89,473.	

FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 2

SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
US BANK TRUST	188,156.	0.	188,156.	188,156.	
US BANK TRUST	10,922.	10,922.	0.	0.	
TO PART I, LINE 4	199,078.	10,922.	188,156.	188,156.	

FORM 990-PF OTHER INCOME STATEMENT 3

DESCRIPTION	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
MISCELLANEOUS	25.	25.	
TOTAL TO FORM 990-PF, PART I, LINE 11	25.	25.	

FORM 990-PF ACCOUNTING FEES STATEMENT 4

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
LOPATA, FLEGEL & COMPANY LLP	11,700.	7,020.		4,860.
TO FORM 990-PF, PG 1, LN 16B	11,700.	7,020.		4,860.

FORM 990-PF	OTHER PROFESSIONAL FEES			STATEMENT	5
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES	
US BANK INVESTMENT FEES	40,906.	40,906.			0.
TO FORM 990-PF, PG 1, LN 16C	40,906.	40,906.			0.

FORM 990-PF	TAXES			STATEMENT	6
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES	
FOREIGN TAX PAID	3,164.	3,164.			0.
TO FORM 990-PF, PG 1, LN 18	3,164.	3,164.			0.

FORM 990-PF	OTHER EXPENSES			STATEMENT	7
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES	
BANK SERVICE CHARGES	365.	300.			65.
TO FORM 990-PF, PG 1, LN 23	365.	300.			65.

FORM 990-PF	OTHER INCREASES IN NET ASSETS OR FUND BALANCES			STATEMENT	8
DESCRIPTION					AMOUNT
COST ADJUSTMENTS REFLECTED IN 1099-B TAX BASIS					1,306.
TOTAL TO FORM 990-PF, PART III, LINE 3					1,306.

FORM 990-PF	OTHER DECREASES IN NET ASSETS OR FUND BALANCES	STATEMENT	9
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DESCRIPTION	AMOUNT
BOOK/TAX DIFFERENCE - REALIZED GAINS & LOSSES	5,714.
TOTAL TO FORM 990-PF, PART III, LINE 5	5,714.

FORM 990-PF	CORPORATE STOCK	STATEMENT	10
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DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
DOMESTIC STOCKS	2,690,169.	4,914,423.
FOREIGN STOCKS	1,173,178.	1,438,748.
TOTAL TO FORM 990-PF, PART II, LINE 10B	3,863,347.	6,353,171.

FORM 990-PF	CORPORATE BONDS	STATEMENT	11
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DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
CORPORATE BONDS	1,680,298.	1,753,614.
TOTAL TO FORM 990-PF, PART II, LINE 10C	1,680,298.	1,753,614.

FORM 990-PF	OTHER INVESTMENTS	STATEMENT	12
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DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
FIXED INCOME FUNDS	COST	1,100,000.	1,103,728.
EQUITY FUNDS	COST	1,673,143.	1,749,455.
TOTAL TO FORM 990-PF, PART II, LINE 13		2,773,143.	2,853,183.

2013 Tax Information Statement

Page 4 of 30

Payer's Name and Address:
U.S. BANK N.A. TRUST SERVICES
P O BOX 387
ST LOUIS, MO 63166

Account Number:
42328190
Recipient's Tax ID Number:
XX-XX9872
Payer's Federal ID Number:
43-6300400
Payer's State ID Number:
MO

Recipient's Name and Address:
LOPATA FOUNDATION
C/O JAMES LOPATA
1 E SCHILLER ST APT 22A
CHICAGO, IL 60610-5099

☐ Corrected ☐ 2nd TIN notice

2013 Form 1099-B: Proceeds from Broker and Barter Exchange Transactions

OMB No. 1545-0715

Reported to the IRS is Sales Price of stocks, bonds etc., less commissions and option premiums.
Covered (Box 6a is not checked)

Cusip		Description (Box 8)		Stock or Other Symbol (Box 1d)		Stocks Bonds, etc. (Box 2a)		Cost or Other Basis (Box 3)		Wash Sale Loss Disallowed (Box 5)		Net Gain or Loss (Box 4)		Federal Income Tax Withheld (Box 15)	
Quantity Sold (Box 1e)	Date of Sale or Exchange (Box 1a)	Date of Acquisition (Box 1b)													
Short Term Sales Reported on 1099-B															
651639106	NEWMONT MINING CORP														
1000.0000	01/08/2013	04/10/2012				44,729.49		49,389.50		0.00		-4,660.01		0.00	0.00
670678234	NUVEEN HIGH INCOME BOND FD CLI														
10881.8420	03/13/2013	01/14/2013				101,201.13		100,857.04		0.00		344.09		0.00	0.00
670678234	NUVEEN HIGH INCOME BOND FD CLI														
5334.3740	04/03/2013	01/14/2013				49,683.02		49,342.96		0.00		340.06		0.00	0.00
693390700	PIMCO TOTAL RETURN FUND INST														
13345.1960	06/04/2013	01/14/2013				147,484.42		150,000.00		0.00		-2,515.58		0.00	0.00
81369Y888	UTILITIES SELECT SECTOR S P D R														
1000.0000	06/21/2013					35,459.36		35,982.31		0.00		-522.95		0.00	0.00
037833100	APPLE INC														
37.0000	07/10/2013	09/06/2012				15,842.49		24,928.98		0.00		-9,086.49		0.00	0.00
356710857	FREEMONT MCMORAN COPPER GOLD														
250.0000	07/10/2013	11/13/2012				8,847.50		9,715.00		0.00		-867.50		0.00	0.00
037411105	APACHE CORP														
337.0000	09/16/2013	03/13/2013				29,454.29		25,392.81		0.00		4,061.48		0.00	0.00

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2013 Tax Information Statement

Page 5 of 30

Payer's Name and Address:
U.S. BANK N.A. TRUST SERVICES
P O BOX 387
ST LOUIS, MO 63166

Account Number: 42328190
Recipient's Tax ID Number: XX-XX9972
Payer's Federal ID Number: 43-8300400
Payer's State ID Number: MO

Recipient's Name and Address:
LOPATA FOUNDATION
C/O JAMES LOPATA
1 E SCHILLER ST APT 22A
CHICAGO, IL 60610-5099

☐ Corrected ☐ 2nd TIN notice

Reported to the IRS is Sales Price of stocks, bonds etc., less commissions and option premiums.
Covered (Box 6a is not checked)

Cusip	Description (Box 8)	Stock or Other Symbol (Box 1d)	Quantity Sold	Date of Sale or Exchange (Box 1a)	Date of Acquisition (Box 1b)	Stocks Bonds, etc (Box 2a)	Cost or Other Basis (Box 3)	Wash-Sale Loss Disallowed (Box 5)	Net Gain or Loss (Box 4)	Federal Income Tax Withhold (Box 4)	State Tax Withhold (Box 15)
19765N518	COLUMBIA INCOME FD CL Z	SRINX	24850.8950	09/16/2013		250,248.51	202,959.54	0.00	-12,711.03	0.00	0.00
98978V103	ZOETIS INC	ZTS	1500.0000	09/26/2013	03/13/2013	46,957.13	51,134.85	0.00	-4,177.72	0.00	0.00
19765N518	COLUMBIA INCOME FD CL Z	SRINX	4916.4210	10/02/2013	06/04/2013	50,098.93	51,229.11	0.00	-1,130.78	0.00	0.00
19765N518	COLUMBIA INCOME FD CL Z	SRINX	4901.9610	10/09/2013	06/04/2013	49,950.98	51,078.43	0.00	-1,127.45	0.00	0.00
92276F100	VENTAS INC	VTR	250.0000	10/14/2013	04/02/2013	15,817.22	18,522.48	0.00	-2,705.26	0.00	0.00
19765N518	COLUMBIA INCOME FD CL Z	SRINX	10530.9900	10/15/2013	06/04/2013	107,310.79	108,732.92	0.00	-2,422.13	0.00	0.00
002824100	ABBOTT LABORATORIES	ABT	200.0000	10/18/2013	01/08/2013	7,388.07	8,634.00	0.00	754.07	0.00	0.00
459200101	INTERNATIONAL BUSINESS MACHINES CORP	IBM	100.0000	10/18/2013	01/08/2013	17,375.36	19,192.80	0.00	-1,817.54	0.00	0.00
92276F100	VENTAS INC	VTR	500.0000	10/18/2013		32,813.98	35,592.22	0.00	-2,778.24	0.00	0.00

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2013 Tax Information Statement

Page 6 of 30

Payer's Name and Address:
U.S. BANK N.A. TRUST SERVICES
P O BOX 387
ST LOUIS, MO 63166

Account Number:
42328190
Recipient's Tax ID Number:
XX-XXX9972
Payer's Federal ID Number:
43-6300400
Payer's State ID Number:
MO

Recipient's Name and Address:
LOPATA FOUNDATION
C/O JAMES LOPATA
1 E SCHILLER ST APT 22A
CHICAGO, IL 60610-5099

☐ Corrected ☐ 2nd TIN notice

Reported to the IRS is Sales Price of stocks, bonds etc., less commissions and option premiums.
Covered (Box 6a is not checked)

Cusip	Description (Box 8)	Stock or Other Symbol (Box 1d)	Quantity Sold	Date of Sale or Exchange	Date of Acquisition	Stocks, Bonds, etc. (Box 2a)	Cost or Other Basis (Box 3)	Wash Sale Loss Disallowed (Box 5)	Net Gain or Loss	Federal Income Tax Withheld (Box 4)	State Tax Withheld (Box 15)
053484101	(Box 1e) AVALONBAY CMINTY'S INC		(Box 1e)	(Box 1b)							
1000.0000	11/21/2013		117,870.44			130,814.13	0.00	0.00	-12,843.69	0.00	0.00
767204100	RIO TINTO PLC A D R										
2500.0000	11/21/2013		131,083.20			125,542.16	0.00	0.00	5,541.54	0.00	0.00
714290103	PERRIGO CO										
250.0000	12/19/2013		8,779.50			0.00	0.00	0.00	8,779.50	0.00	0.00
Total Short Term Sales Reported on 1099-B											
			1,287,355.71			1,307,830.74	0.00	0.00	-40,475.03	0.00	0.00
Report on Form 8949, Part I, with Box A checked											
Long Term Sales Reported on 1099-B											
693390700	PIMCO TOTAL RETURN FUND INST										
22123.8940	04/10/2013		249,557.52			245,796.46	0.00	0.00	3,761.06	0.00	0.00
693390700	PIMCO TOTAL RETURN FUND INST										
378.3560	06/04/2013		4,180.83			4,203.54	0.00	0.00	-22.71	0.00	0.00
423074103	HJ HEINZ CO										
750.0000	06/07/2013		54,375.90			39,667.43	0.00	0.00	14,707.57	0.00	0.00
760267205	REPSOL S.A.										
1557.0000	06/21/2013		33,054.53			48,778.47	0.00	0.00	-15,723.94	0.00	0.00

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2013 Tax Information Statement

Page 7 of 30

Payer's Name and Address:
U.S. BANK N.A. TRUST SERVICES
P O BOX 387
ST LOUIS, MO 63166

Account Number:
42328190
Recipient's Tax ID Number:
XX-XXX9972
Payer's Federal ID Number:
43-6300400
Payer's State ID Number:
MO

Recipient's Name and Address:
LOPATA FOUNDATION
C/O JAMES LOPATA
1 E SCHILLER ST APT 22A
CHICAGO, IL 60610-5098

☐ Corrected ☐ 2nd TIN notice

Reported to the IRS is Sales Price of stocks, bonds etc., less commissions and option premiums.
Covered (Box 6a is not checked)

Cusip	Description (Box 8)	Stock or Other Symbol (Box 1d)	Quantity Sold (Box 1e)	Date of Sale or Exchange (Box 1a)	Date of Acquisition (Box 1b)	Stocks Bonds, etc. (Box 2a)	Cost or Other Basis (Box 3)	Wash Sale Loss Disallowed (Box 5)	Net Gain or Loss (Box 4)	Federal Income Tax Withheld (Box 15)	State Tax Withheld (Box 15)
35671D857	FREEPORT MC MORAN COPPER GOLD	FCX	648.0000	07/10/2013		18,007.92	24,212.84	0.00	-6,205.92	0.00	0.00
26138E109	DR PEPPER SNAPPLE GROUP	DPS	276.0000	09/11/2013	02/07/2012	12,228.41	10,638.77	0.00	1,589.64	0.00	0.00
67065W639	NUVEEN SANTA BARBARA DIV GROWTH FDI	NSBRX	3266.9060	09/30/2013		88,987.25	85,451.06	0.00	12,536.19	0.00	0.00
872407101	TFS MARKET NEUTRAL FUND	TFSMX	6309.1480	10/02/2013	05/03/2012	99,432.17	95,151.41	0.00	3,280.76	0.00	0.00
67065W639	NUVEEN SANTA BARBARA DIV GROWTH FDI	NSBRX	1480.9430	10/14/2013	04/11/2012	45,479.76	38,548.94	0.00	6,930.82	0.00	0.00
674599105	OCCIDENTAL PETROLEUM CORPORATION	OXY	281.0000	10/16/2013	09/08/2012	27,138.54	23,433.40	0.00	3,705.14	0.00	0.00
98310W108	WYNDHAM WORLDWIDE CORP	WYN	624.0000	10/17/2013	03/15/2011	39,261.40	18,758.63	0.00	20,502.77	0.00	0.00
002824100	ABBOTT LABORATORIES	ABT	184.0000	10/18/2013	09/01/2011	6,797.03	4,623.90	0.00	2,173.23	0.00	0.00
009158106	AIR PRODS CHEMICALS INC	APD	137.0000	10/18/2013	09/01/2011	15,077.86	11,238.71	0.00	3,839.85	0.00	0.00

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2013 Tax Information Statement

Page 8 of 30

Payer's Name and Address:
U.S. BANK N.A. TRUST SERVICES
P.O. BOX 387
ST. LOUIS, MO 63166

Account Number:
42328190
Recipient's Tax ID Number:
XX-XX-9972
Payer's Federal ID Number:
43-6300400
Payer's State ID Number:
MO

Recipient's Name and Address:
LOPATA FOUNDATION
C/O JAMES LOPATA
1 E SCHILLER ST. APT. 22A
CHICAGO, IL 60610-5099

☐ Corrected

☐ 2nd TIN notice

Reported to the IRS is Sales Price of stocks, bonds etc., less commissions and option premiums.
Covered (Box 6a is not checked)

Cusip Description (Box 8)

Stock or Other Symbol (Box 1d)

Quantity Sold (Box 1e)	Date of Sale or Exchange (Box 1a)	Date of Acquisition (Box 1b)	Stocks, Bonds, etc. (Box 2a)	Cost or Other Basis (Box 3)	Wash Sale Loss Disallowed (Box 5)	Net Gain or Loss (Box 4)	Federal Income Tax Withheld (Box 15)	State Tax Withheld (Box 15)
459200101	10/19/2013		INTERNATIONAL BUSINESS MACHINES CORP					
400.0000	10/19/2013		IBM	89,501.44	0.00	-8,885.94	0.00	0.00
149123101	10/19/2013		CATERPILLAR INC	78,367.36	0.00	-8,885.94	0.00	0.00
750.0000	11/21/2013		CAT	69,619.00	0.00	-2,195.08	0.00	0.00
22544R305	11/21/2013		CREDIT SUISSE COMM RET ST CO					
66577900	11/21/2013	05/06/2012	CRSOX	50,000.00	0.00	-2,728.68	0.00	0.00
670678507	11/21/2013		NUVEEN REAL ESTATE SECS I					
122132780	11/21/2013		FARCO	266,694.33	0.00	-9,039.84	0.00	0.00
714290103	12/19/2013	09/22/2011	PRGO					
199.0000	12/19/2013	09/22/2011		11,704.19	0.00	11,704.19	0.00	0.00
Total Long Term Sales Reported on 1099-B				1,153,252.47	0.00	40,067.90	0.00	0.00

Report on Form 9949, Part II, with Box D checked

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2013 Tax Information Statement

Page 9 of 30

Recipient's Name and Address:
LOPATA FOUNDATION
C/O JAMES LOPATA
1 E SCHILLER ST APT 22A
CHICAGO, IL 60610-5099

Account Number: 42328190
Recipient's Tax ID Number: XX-XXX9972
Payer's Federal ID Number: 43-6300400

Payer's State ID Number: MO
State: ☐ Corrected ☐ 2nd TIN notice

Payer's Name and Address:
U.S. BANK N.A. TRUST SERVICES
P O BOX 387
ST LOUIS, MO 63166

2013 Form 1099-B: Proceeds from Broker and Barter Exchange Transactions

OMB No. 1545-0715

Reported to the IRS is Sales Price of stocks, bonds, etc., less commissions and option premiums.
For noncovered securities (Box 6a is checked) shown on this statement, cost basis information including wash sale disallowed loss is not being reported to the IRS.

Cusip	Description (Box 8)	Quantity Sold (Box 1e)	Date of Sale or Exchange (Box 1a)	Date of Acquisition	Stock or Other Symbol (Box 1d)	Cost or Other Basis (Box 2a)	Wash Sale Loss Disallowed	Net Gain or Loss (Box 4)	Federal Income Tax Withheld (Box 15)
Long Term Sales Reported on 1099-B									
749121109L	QWEST COMMUNICATIONS INTL INC SECURITY LITIGATION	.0000	01/02/2013			22.79	0.00	22.79	0.00
055921100	B M C SOFTWARE INC				BMC				
500.0000	01/08/2013 12/23/2010					23,908.90	0.00	3,708.56	0.00
125896100	C M S ENERGY CORP				CMS				
1000.0000	01/08/2013 12/23/2010					18,150.00	0.00	5,489.94	0.00
268648102	E M C CORPORATION				EMC				
1500.0000	01/08/2013 12/23/2010					39,542.00	0.00	842.35	0.00
87612EAT3	TARGET CORP 5.125% 1/15/13				UNK				
250000.0000	01/15/2013 12/15/2008					250,000.00	0.00	0.00	0.00
17275R102	CISCO SYS INC				CSCO				
1250.0000	03/13/2013 12/23/2010					24,643.75	0.00	2,459.27	0.00
315616102	F5 NETWORKS INC				FFV				
321.0000	03/13/2013 12/23/2010					43,528.84	0.00	-13,689.32	0.00

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2013 Tax Information Statement

Page 10 of 30

Account Number: 42328190
 Recipient's Tax ID Number: XX-XX9972
 Payer's Federal ID Number: 43-6300400
 Payer's State ID Number: MO
 State: ☐ Corrected ☐ 2nd TIN notice

Payer's Name and Address:
 U.S. BANK N.A. TRUST SERVICES
 P O BOX 387
 ST LOUIS, MO 63166

For noncovered securities (Box 6a is checked) shown on this statement, cost basis information including wash sale disallowed loss is not being reported to the IRS.

Cusip	Description (Box 8)	Date of Sale or Exchange (Box 1a)	Quantity Sold (Box 1e)	Stock or Other Symbol (Box 1d)	Cost or Other Basis (Box 2a)	Wash Sale Loss Disallowed	Net Gain or Loss	Federal Income Tax Withheld (Box 4)	State Tax Withheld (Box 15)
670878234	NUVEEN HIGH INCOME BOND FD CL I	03/13/2013	5247.1900	FJ5YX	48,788.87	0.00	-1,533.63	0.00	0.00
316773100	FIFTH THIRD BANCORP	04/02/2013	2500.0000	FTB	36,173.26	0.00	3,998.34	0.00	0.00
677862104	LUKOIL SPON A D R	04/02/2013	204.0000	LUKOY	10,308.20	0.00	2,614.92	0.00	0.00
693390700	PIMCO TOTAL RETURN FUND INST	06/04/2013	4970.7720	PTTRX	53,535.21	0.00	1,381.82	0.00	0.00
883556102	THERMO FISHER SCIENTIFIC INC	06/21/2013	500.0000	TMO	30,790.00	0.00	10,723.27	0.00	0.00
H89128104L	TYCO INTERNATIONAL LTD SECURITY LITIGATION	06/24/2013	.0000	AAPI	0.00	0.00	59.69	0.00	0.00
037833100	APPLE INC	07/10/2013	63.0000	BHKL	25,524.52	0.00	21,268.79	0.00	0.00
096813209	BOC HONG KONG HLDGS LTD A D R	07/10/2013	262.0000	CONCHO RES INC	16,085.66	0.00	5,584.39	0.00	0.00
20605P101	EDWARDS LIFESCIENCES CORP	07/10/2013	764.0000	EW	66,943.64	0.00	55.49	0.00	0.00
28176E108		07/10/2013	428.0000		28,047.16	0.00	-6,770.64	0.00	0.00

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2013 Tax Information Statement

Page 11 of 30

Account Number: 42328180
 Recipient's Tax ID Number: XX-XXX9972
 Payer's Federal ID Number: 43-6300400
 Payer's State ID Number: MO
 State: ☐ 2nd TIN notice

Payer's Name and Address:
 U.S. BANK N.A. TRUST SERVICES
 P O BOX 387
 ST LOUIS, MO 63166

For noncovered securities (Box 6a is checked) shown on this statement, cost basis information including wash sale disallowed loss is not being reported to the IRS.

Cusip	Description (Box 8)	Quantity Sold (Box 1e)	Date of Sale or Exchange (Box 1d)	Stock or Other Symbol (Box 1d)	Stocks, Bonds, etc. (Box 2a)	Cost or Other Basis	Wash Sale Loss Disallowed	Net Gain or Loss	Federal Income Tax Withheld (Box 4)	State Tax Withheld (Box 15)
35671D857	FREEPORT MCMORAN COPPER/GOLD	102.0000	07/10/2013	06/08/2009	2,634.58	2,812.24	0.00	22.34	0.00	0.00
606827202	MITSUI & CO LTD SPSP ADR	55.0000	07/10/2013	12/15/80	13,997.58	2,18.04	0.00	2,18.04	0.00	0.00
008916108	AGRIUM INC	244.0000	07/18/2013	21,818.44	18,679.54	2,138.90	0.00	2,138.90	0.00	0.00
049255805	ATLAS COPCO AB ADR CL B	623.0000	07/18/2013	14,018.50	8,801.10	5,217.40	0.00	5,217.40	0.00	0.00
055262505	BASF AG ADR	209.0000	07/18/2013	19,342.61	14,359.53	4,983.08	0.00	4,983.08	0.00	0.00
438128308	HONDA MOTOR CO LTD ADR	353.0000	07/18/2013	13,888.27	12,387.81	1,280.46	0.00	1,280.46	0.00	0.00
458140100	INTEL CORP	2000.0000	08/05/2013	45,884.80	41,792.20	3,872.50	0.00	3,872.50	0.00	0.00
05577E101	BT GROUP PLC ADR	518.0000	08/14/2013	28,418.61	14,309.48	12,139.13	0.00	12,139.13	0.00	0.00
H89128104L	TYCO INTERNATIONAL LTD SECURITY LITIGATION	0000	08/27/2013	1.84	0.00	1.94	0.00	1.94	0.00	0.00
00206R102	ATT INC	1500.0000	09/11/2013	50,804.26	39,328.29	11,475.97	0.00	11,475.97	0.00	0.00

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2013 Tax Information Statement

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Payer's Name and Address: U.S. BANK N.A. TRUST SERVICES P O BOX 387 ST LOUIS, MO 63166	Account Number: 42328190 Recipient's Tax ID Number: XX-XXX9972 Payer's Federal ID Number: 43-6300400 Payer's State ID Number: MO ☐ Corrected ☐ 2nd TIN notice	Recipient's Name and Address: LOPATA FOUNDATION C/O JAMES LOPATA 1 E SCHILLER ST APT 22A CHICAGO, IL 60610-5099
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For noncovered securities (Box 6a is checked) shown on this statement, cost basis information including wash sale disallowed loss is not being reported to the IRS.

Cusip	Description (Box 8)		Stock or Other Symbol (Box 1d)					Federal Income Tax Withheld (Box 4)	State Tax Withheld (Box 15)
	Date of Sale or Exchange	Date of Acquisition	Stocks Bonds, etc. (Box 2a)	Cost or Other Basis	Wash Sale Loss Disallowed	Net Gain or Loss			
Quantity Sold	(Box 1a)		(Box 2a)						
12541W209	C H ROBINSON WORLDWIDE INC		CHRW						
600.0000	09/11/2013	11/19/2008	35,802.17	29,955.03	0.00	5,647.14	0.00	0.00	0.00
26138E109	DR PEPPER SNAPPLE GROUP		DPS						
724.0000	09/11/2013	12/23/2010	32,234.81	26,265.70	0.00	5,969.11	0.00	0.00	0.00
369804103	GENERAL ELECTRIC CO		GE						
1000.0000	09/11/2013	12/23/2010	23,841.08	18,109.80	0.00	5,731.28	0.00	0.00	0.00
693506107	P P G INDS INC		PPG						
450.0000	09/11/2013	12/23/2010	73,573.78	37,318.85	0.00	36,257.11	0.00	0.00	0.00
032095101	AMPHENOL CORP CL A		APH						
750.0000	09/16/2013	12/23/2010	58,789.05	39,459.16	0.00	19,249.91	0.00	0.00	0.00
037411105	APACHE CORP		APA						
413.0000	09/16/2013	12/23/2010	36,096.81	48,927.18	0.00	12,830.35	0.00	0.00	0.00
260543103	DOW CHEM CO		DOW						
298.0000	09/16/2013	12/23/2010	11,905.49	10,295.57	0.00	1,639.92	0.00	0.00	0.00
156782104	CERNER CORPORATION		CERN						
932.0000	09/26/2013	12/23/2010	45,827.87	22,148.98	0.00	23,478.99	0.00	0.00	0.00
133428105	CAMERON INTERNATIONAL CORP		CAM						
700.0000	10/02/2013	12/23/2010	42,135.08	35,289.01	0.00	6,866.05	0.00	0.00	0.00
231021106	CUMMINS INC		CMI						
458.0000	10/02/2013	12/23/2010	61,193.42	50,805.48	0.00	10,377.94	0.00	0.00	0.00

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2013 Tax Information Statement

Page 13 of 30

Recipient's Name and Address:

LOPATA FOUNDATION
C/O JAMES LOPATA
1 E-SCHILLER ST APT 22A
CHICAGO, IL 60610-5099

Account Number:

42328190
XX-XXX9972
43-6300400

Recipient's Tax ID Number:

43-6300400

Payer's Federal ID Number:

Payer's State ID Number:

MO

State:

☐ Corrected

☐ 2nd TIN notice

Payer's Name and Address:
U.S. BANK N.A. TRUST SERVICES
P O BOX 387
ST LOUIS, MO 63166

For noncovered securities (Box 6a is checked) shown on this statement, cost basis information including wash sale disallowed loss is not being reported to the IRS.

Cusip	Quantity Sold (Box 1e)	Date of Sale or Exchange (Box 1a)	Description (Box 8)	Date of Acquisition	Stock or Other Symbol (Box 1d)			Wash Sale Loss Disallowed	Net Gain or Loss	Federal Income Tax Withheld (Box 4)	State Tax Withheld (Box 15)
					Stocks, Bonds, etc. (Box 2a)	Cost or Other Basis	Loss Disallowed				
31428X106	404.0000	10/02/2013	FED EX CORP	12/23/2010	FDX	37,548.50	0.00	0.00	8,659.41	0.00	0.00
369604103	2000.0000	10/02/2013	GENERAL ELECTRIC CO	12/23/2010	GE	36,219.60	0.00	0.00	12,288.55	0.00	0.00
717081103	764.0000	10/02/2013	PFIZER INC	12/23/2010	PFE	20,791.84	0.00	0.00	1,181.46	0.00	0.00
949746101	1000.0000	10/02/2013	WELLS FARGO CO	12/23/2010	WFC	31,018.70	0.00	0.00	10,122.08	0.00	0.00
88389X105	1453.0000	10/09/2013	ORACLE CORPORATION	12/23/2010	ORCL	45,849.41	0.00	0.00	853.87	0.00	0.00
037833100	150.0000	10/15/2013	APPLE INC	02/01/2007	AAPL	12,780.31	0.00	0.00	52,253.38	0.00	0.00
46625H100	1500.0000	10/15/2013	J P MORGAN CHASE CO	08/12/2008	JPM	58,949.40	0.00	0.00	19,904.37	0.00	0.00
674599105	219.0000	10/16/2013	OCCIDENTAL PETROLEUM CORPORATION	12/23/2010	OXY	21,425.43	0.00	0.00	-274.76	0.00	0.00
747525103	1000.0000	10/17/2013	QUALCOMM INC	12/23/2010	QCOM	49,555.90	0.00	0.00	18,822.91	0.00	0.00
002824100	116.0000	10/18/2013	ABBOTT LABORATORIES	03/24/2004	ABT	2,092.92	0.00	0.00	2,192.16	0.00	0.00

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2013 Tax Information Statement

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Account Number: 42328190
 Recipient's Tax ID Number: XX-XXX9972
 Payer's Federal ID Number: 43-6300400
 Payer's State ID Number: MO
 State: ☐ Corrected ☐ 2nd TIN notice

Recipient's Name and Address:
 LOPATA FOUNDATION
 C/O JAMES LOPATA
 1 E SCHILLER ST APT 22A
 CHICAGO, IL 60610-5099

Payer's Name and Address:
 U.S. BANK N.A. TRUST SERVICES
 P O BOX 387
 ST LOUIS, MO 63166

Cusip	Description (Box 8)	Quantity Sold	Date of Sale or Exchange (Box 1a)	Date of Acquisition	Stock or Other Symbol (Box 1d)	Cost or Other Basis (Box 2a)	Wash Sale Loss Disallowed	Net Gain or Loss (Box 4)	Federal Income Tax Withheld (Box 15)
009158108	AIR PRODS CHEMICALS INC	163.0000	10/18/2013	07/13/2009	17,838.47	10,291.00	0.00	7,649.47	0.00
22544R305	CREDIT SUISSE COMM RET ST CO				GRSOX				
19310.5960	11/21/2013				137,105.23	175,000.00	0.00	-37,894.77	0.00
79466L302	SALESFORCE COM INC				CRM				
1856.0000	11/21/2013				99,976.33	62,657.17	0.00	37,319.16	0.00
714290103	PERRIGO CO				PRGO				
301.0000	12/19/2013				26,246.87	0.00	0.00	26,246.87	0.00
Total Long Term Sales Reported on 1099-B					2,088,516.78	1,744,750.73	0.00	341,766.05	0.00

Report on Form 8949, Part II, with Box E checked

Long Term 28% Sales Reported on 1099-B									
78463V107	SPDR GOLD SHARES ETF				GLD				
250.0000	06/21/2013				31,234.45	22,863.67	0.00	8,370.78	0.00
78463V107	SPDR GOLD SHARES ETF				GLD				
.0000	12/31/2013				79.49	49.19	0.00	30.30	0.00
78463V107	SPDR GOLD SHARES ETF				GLD				
.0000	12/31/2013				284.89	190.67	0.00	104.22	0.00
78463V107	SPDR GOLD SHARES ETF				GLD				
.0000	12/31/2013				284.89	185.13	0.00	99.76	0.00
Total Long Term 28% Sales Reported on 1099-B					31,903.72	23,288.66	0.00	8,604.06	0.00

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2013 Tax Information Statement

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Recipient's Name and Address:
 LOPATA FOUNDATION
 C/O JAMES LOPATA
 1 E SCHILLER ST APT 22A
 CHICAGO, IL 60610-5099

Account Number: 42328190
Recipient's Tax ID Number: XXX-XX-9922
Payer's Federal ID Number: 43-6300400
Payer's State ID Number: MO
State: MO

Payer's Name and Address:
 U.S. BANK N.A. TRUST SERVICES
 P O BOX 387
 ST LOUIS, MO 63166

☐ Corrected ☐ 2nd TIN notice

For noncovered securities (Box 6a is checked) shown on this statement, cost basis information including wash sale disallowed loss is not being reported to the IRS.

Cusip	Description (Box 8)	Quantity Sold (Box 1a)	Date of Sale or Exchange (Box 1a)	Stock or Other Symbol (Box 1d)	Wash Sale Loss Disallowed		Net Gain or Loss	Federal Income Tax Withheld (Box 4)	State Tax Withheld (Box 15)
					Cost or Other Basis (Box 2a)	Loss Disallowed			

Report on Form 8949, Part II, with Box E checked

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Application for Extension of Time To File an Exempt Organization Return

OMB No. 1545-1709

Department of the Treasury
Internal Revenue Service

► File a separate application for each return.

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

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

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

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

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

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

Part I only

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

Type or print	Name of exempt organization or other filer, see instructions. STANLEY & LUCY LOPATA FOUNDATION C/O LOPATA, FLEGEL & CO LLP	Employer identification number (EIN) or 43-6099972
File by the due date for filing your return. See instructions.	Number, street, and room or suite no. If a P.O. box, see instructions. 600 MASON RIDGE CENTER DRIVE, NO. 100	Social security number (SSN)
	City, town or post office, state, and ZIP code. For a foreign address, see instructions. ST. LOUIS, MO 63141	

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

04

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

LOPATA, FLEGEL & COMPANY, LLP

- The books are in the care of ► **600 MASON RIDGE CENTER DR, STE 100 - ST. LOUIS, MO 63141**
Telephone No. ► **314-514-8881** Fax No. ► **314-514-8872**

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

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

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

3a If this application is for Forms 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions.	3a	\$	19,936.
b If this application is for Forms 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit.	3b	\$	9,936.
c Balance due. Subtract line 3b from line 3a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions.	3c	\$	10,000.

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