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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
HERMES FAMILY FOUNDATION
C/O PERKINSON LAW PLLC
% JOHN R PERKINSON JR

A Employer identification number
51-0172567

Number and street (or P O box number if mail is not delivered to street address)
C/O PERKINSON LAW PLLC
4622 COUNTRY CLUB ROAD STE 270 Sui

Room/suite

B Telephone number (see instructions)
(336) 794-6020

City or town, state or province, country, and ZIP or foreign postal code
WINSTONSALEM, NC 27104

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)*▶$ 1,117,330

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.	15,357	15,357		
	5a	Gross rents				
	b	Net rental income or (loss) ________				
	6a	Net gain or (loss) from sale of assets not on line 10	122,556			
	b	Gross sales price for all assets on line 6a 499,185				
	7	Capital gain net income (from Part IV, line 2) . . .		122,556		
	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	137,913	137,913		
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).	7,659	0	0	7,659
	b	Accounting fees (attach schedule).	4,824	2,412	0	2,412
	c	Other professional fees (attach schedule)	7,702	7,702		
	17	Interest				
	18	Taxes (attach schedule) (see instructions)	1,000			
	19	Depreciation (attach schedule) and depletion . . .				
	20	Occupancy				
	21	Travel, conferences, and meetings				
	22	Printing and publications				
	23	Other expenses (attach schedule)	45	23		22
	24	**Total operating and administrative expenses.** Add lines 13 through 23	21,230	10,137	0	10,093
	25	Contributions, gifts, grants paid	100,000			100,000
	26	**Total expenses and disbursements.** Add lines 24 and 25	121,230	10,137	0	110,093
	27	Subtract line 26 from line 12				
	a	**Excess of revenue over expenses and disbursements**	16,683			
	b	**Net investment income** (if negative, enter -0-)		127,776		
	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)

		Line	Description	Beginning of year (a) Book Value	End of year (b) Book Value	(c) Fair Market Value
Assets	1		Cash—non-interest-bearing	5,143	8,615	8,615
	2		Savings and temporary cash investments	5,214	85,340	85,340
	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			
	10a		Investments—U S and state government obligations (attach schedule)			
		b	Investments—corporate stock (attach schedule)	725,430	658,515	1,023,375
		c	Investments—corporate bonds (attach schedule)			
	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 ▶)			
	16		**Total assets** (to be completed by all filers—see the instructions Also, see page 1, item I)	735,787	752,470	1,117,330
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	735,787	752,470	
	28		Paid-in or capital surplus, or land, bldg , and equipment fund			
	29		Retained earnings, accumulated income, endowment, or other funds			
	30		**Total net assets or fund balances** (see page 17 of the instructions)	735,787	752,470	
	31		**Total liabilities and net assets/fund balances** (see page 17 of the instructions)	735,787	752,470	

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	735,787
2	Enter amount from Part I, line 27a	2	16,683
3	Other increases not included in line 2 (itemize) ▶	3	
4	Add lines 1, 2, and 3	4	752,470
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	752,470

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)
1 a	UBS FINANCIAL SERVICES - SEE ATTACHED	P		
b	UBS FINANCIAL SERVICES - SEE ATTACHED	P		
c	UBS FINANCIAL SERVICES - SEE ATTACHED	P		
d	UBS FINANCIAL SERVICES - SEE ATTACHED	P		
e	CAPITAL GAIN DISTRIBUTION	P		

	(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	113,448		112,637	811
b	189,250		169,708	19,542
c	183,821		82,028	101,793
d	12,655		12,256	399
e	11			11

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				811
b				19,542
c				101,793
d				399
e				11

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	122,556
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	108,779	1,006,699	0 108055
2011	104,802	1,007,556	0 104016
2010	113,339	970,707	0 116759
2009	99,625	1,004,390	0 09919
2008	112,822	925,448	0 121911

2	**Total** of line 1, column (d).	2	0 549931
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 109986
4	Enter the net value of noncharitable-use assets for 2013 from Part X, line 5.	4	1,056,019
5	Multiply line 4 by line 3.	5	116,147
6	Enter 1% of net investment income (1% of Part I, line 27b).	6	1,278
7	Add lines 5 and 6.	7	117,425
8	Enter qualifying distributions from Part XII, line 4.	8	110,093

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	2,556
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	2,556
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	2,556
6	Credits/Payments		
a	2013 estimated tax payments and 2012 overpayment credited to 2013 — 6a: 1,120		
b	Exempt foreign organizations—tax withheld at source — 6b:		
c	Tax paid with application for extension of time to file (Form 8868) — 6c: 4,500		
d	Backup withholding erroneously withheld — 6d:		
7	Total credits and payments Add lines 6a through 6d	7	5,620
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	3,064
11	Enter the amount of line 10 to be **Credited to 2014 estimated tax** ▶ 3,064 **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) ▶VA			
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)*

		Line	Yes	No
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 ▶NONE

14 The books are in care of ▶JOHN R PERKINSON JR Telephone no ▶(336) 794-6020

Located at ▶4622 COUNTRY CLUB ROAD STE 270 WINSTONSALEM NC ZIP+4 ▶27104

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 |

		Line	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.

		Line	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
ADRIENNE HERMES C/O PERKINSON LAW PLLC WINSTONSALEM, NC 27104	SECRETARY 0	0	0	0
GWENDOLYN SMITH C/O PERKINSON LAW PLLC WINSTONSALEM, NC 27104	DIRECTOR 0	0	0	0
IRMA SMART C/O PERKINSON LAW PLLC WINSTONSALEM, NC 27104	VICE PRESIDENT 0	0	0	0
DORIS CRUMPLER C/O PERKINSON LAW PLLC WINSTONSALEM, NC 27104	DIRECTOR/PRESIDENT 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 NOT APPLICABLE	
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 NOT APPLICABLE	
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	1,001,628
b	Average of monthly cash balances	1b	70,473
c	Fair market value of all other assets (see instructions)	1c	0
d	**Total** (add lines 1a, b, and c)	1d	1,072,101
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	1,072,101
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	16,082
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3 Enter here and on Part V, line 4	5	1,056,019
6	**Minimum investment return.** Enter 5% of line 5	6	52,801

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	52,801
2a	Tax on investment income for 2013 from Part VI, line 5	2a	2,556		
b	Income tax for 2013 (This does not include the tax from Part VI)	2b			
c	Add lines 2a and 2b			2c	2,556
3	Distributable amount before adjustments Subtract line 2c from line 1			3	50,245
4	Recoveries of amounts treated as qualifying distributions			4	
5	Add lines 3 and 4			5	50,245
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	50,245

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	110,093
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	110,093
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	
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	110,093

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				50,245
2 Undistributed income, if any, as of the end of 2013				
a Enter amount for 2012 only.			0	
b Total for prior years 2011 , 2010 , 2009		0		
3 Excess distributions carryover, if any, to 2013				
a From 2008. 66,720				
b From 2009. 87,752				
c From 2010. 66,292				
d From 2011. 56,504				
e From 2012. 60,512				
f **Total** of lines 3a through e.	337,780			
4 Qualifying distributions for 2013 from Part XII, line 4 ▶ $ 110,093				
a Applied to 2012, but not more than line 2a			0	
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.				50,245
e Remaining amount distributed out of corpus	59,848			
5 Excess distributions carryover applied to 2013 *(If an amount appears in column (d), the same amount must be shown in column (a).)*				
6 **Enter the net total of each column as indicated below:**				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	397,628			
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.				
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 instructions			0	
f Undistributed income for 2013 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2014				0
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions)				
8 Excess distributions carryover from 2008 not applied on line 5 or line 7 (see instructions) . . .	66,720			
9 **Excess distributions carryover to 2014.** Subtract lines 7 and 8 from line 6a	330,908			
10 Analysis of line 9				
a Excess from 2009. . . . 87,752				
b Excess from 2010. . . . 66,292				
c Excess from 2011. . . . 56,504				
d Excess from 2012. . . . 60,512				
e Excess from 2013. . . . 59,848				

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))

NA

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

NA

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

MS DONNIE JONES PERKINSON LAW
4622 COUNTRY CLUB ROAD STE 270
WINSTONSALEM,NC 27104
(336) 794-6020

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

LETTER SPECIFYING REASONS FOR APPLICATION (I E , HOW FUNDS ARE TO BE USED)

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

ONLY SEC 501(C)(3) AND SEC 170(C) ENTITIES ARE CONSIDERED

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**				100,000
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	15,357	
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	122,556	
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). .				137,913	

13 **Total.** Add line 12, columns (b), (d), and (e). 13 137,913

(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

******	2014-08-12	******
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
JOHN R PERKINSON JR				

Firm's name	PERKINSON LAW PLLC	Firm's EIN
Firm's address	4622 COUNTRY CLUB ROAD 270 WINSTONSALEM, NC 27104	Phone no (336) 794-6020

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*				
AMERICAN DIABETES ASSOCIATION 1081 SPRUCE STREET MARTINSVILLE,VA 24112	NONE	PC	CHARITABLE	1,000
AMERICAN RED CROSS-GREENSBORO CHAPTER 1501 YANCEYVILLE STREET GREENSBORO,NC 27415	NONE	PC	CHARITABLE	2,000
BLOWING ROCK CHARITY HORSE SHOW PO BOX 650 BLOWING ROCK,NC 28605	NONE	PC	CHARITABLE	1,000
BOYS AND GIRLS CLUB - MARTINSVILLEHENRY COUNTY 6 EAST MAIN STREET SUITE A MARTINSVILLE,VA 24112	NONE	PC	CHARITABLE	2,500
CARLISLE SCHOOL - ANNUAL GIVING PO BOX 5388 MARTINSVILLE,VA 24115	NONE	PC	CHARITABLE	8,200
CRISIS CONTROL MINISTRY 200 E 10TH ST WINSTONSALEM,NC 27101	NONE	PC	CHARITBLE	1,000
DANVILLE SCIENCE CENTER PO BOX 167 DANVILLE,VA 24543	NONE	PC	CHARITABLE	750
DEACON CLUB - WAKE FOREST UNIVERSITY ATHLECTIC DEV 499 DEACON BOULEVARD WINSTONSALEM,NC 27105	NONE	PC	CHARITABLE	500
DUKE ENDOWMENT FUND DEVELOPMENT OFFICE - DUKE UNIVERSIT DURHAM,NC 27706	NONE	PC	CHARITABLE	3,000
DUKE UNIVERSITY IRON DUKES BOX 90542 116 CAMERON INDOOR STADI DURHAM,NC 27708	NONE	PC	CHARITABLE	8,500
DUKE UNIVERSITY MEDICAL SCHOOL BOX 90581 DURHAM,NC 27701	NONE	PC	CHARITABLE	1,500
DYER'S STORE FIRE DEPARTMENT 3230 CHATHAM ROAD MARTINSVILLE,VA 24112	NONE	PC	CHARTIABLE	250
EP PEARCE ELEMENTARY SCHOOL 2006 PLEASANT RIDGE ROAD GREENSBORO,NC 27410	NONE	NC	CHARITABLE	2,000
FERRUM COLLEGE SCHOLARSHIP FUND FERRUM,VA 24088	NONE	PC	CHARITABLE	4,000
FORK MOUNTAIN FIRE DEPARTMENT 2889 FORM MOUNTAIN ROAD BASSETT,VA 24055	NONE	PC	CHARITABLE	750
Total . . . . ▶ **3a**				100,000

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*				
FORK MOUNTAIN RESCUE SQUAD 2805 VIRGIL H GOODE HIGHWAY ROCKY MOUNT, VA 24151	NONE	PC	CHARITABLE	750
FRANKLIN COUNTY PUBLIC LIBRARY 355 FRANKLIN COUNTY ROCKY MOUNT, VA 24151	NONE	NC	CHARITABLE	500
FRANKLIN COUNTRY HIGH SCHOOL 700 TANYARD ROAD ROCKY MOUNT, VA 24151	NONE	NC	CHARITABLE	10,000
HOLY TRINITY LUTHERAN CHURCH PO BOX 5184 MARTINSVILLE, VA 24115	NONE	PC	CHARITABLE	500
HORSEPOWER INC 8001 LEABOURNE ROAD COLFAX, NC 27235	NONE	PC	CHARITABLE	1,000
HUMANE SOCIETY OF THE PIEDMONT 4527 W WENDOVER AVENUE GREENSBORO, NC 27409	NONE	PC	CHARITABLE	1,000
KENTUCKY STATE FAIR HORSE SHOW C/O EXPOSITION CENTER 937 PHILLIPS LANE LOUISVILLE, KY 40209	NONE	NC	CHARITABLE	4,000
MARTINSVILLE AREA COMMUNITY FOUNDATION PO BOX 1124 MARTINSVILLE, VA 24114	NONE	PF	CHARITABLE	3,500
MARTINSVILLE CEMETARY ASSOCIATION PO BOX 246 MARTINSVILLE, VA 24114	NONE	NC	CHARITABLE	500
MORAVIAN CHURCH PO BOX 730 CLEMMONS, NC 27012	NONE	PC	CHARITABLE	750
OAK RIDGE PRESBYTERIAN CHURCH 2614 OAK RIDGE RD OAK RIDGE, NC 27310	NONE	PC	CHARITABLE	2,000
PATRICK HENRY COMMUNITY COLLEGE PO BOX 5311 MARTINSVILLE, VA 24115	NONE	PC	CHARITABLE	2,500
PIEDMONT ARTS ASSOCIATION 215 STARLING AVENUE MARTINSVILLE, VA 24115	NONE	PC	CHARITABLE	1,000
RIVERWOOD THERAPEUTIC RIDING CENTER 6825 ROLLING VIEW DRIVE TOBACCOVILLE, NC 27050	NONE	PC	CHARITABLE	500
ROANOKE COLLEGE 211 COLLEGE LANE SALEM, VA 24153	NONE	PC	CHARITABLE	3,000
Total . . . . ▶ **3a**				100,000

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*				
SALVATION ARMY BOYS & GIRLS CLUB OF GREENSBORO 1311 S EUGENE STREET GREENSBORO,NC 27406	NONE	PC	CHARITABLE	1,000
SOUTHERN AREA AGENCY ON AGING 204 CLEVELAND AVENUE MARTINSVILLE,VA 24112	NONE	PC	CHARITABLE	1,000
SPCA 132 JOSEPH MARTIN HIGHWAY MARTINSVILLE,VA 24078	NONE	PC	CHARITABLE	4,000
ST JUDE'S CHILDREN'S HOSPITAL 262 DANNY THOMAS PLACE MEMPHIS,TN 38105	NONE	PC	CHARITABLE	2,000
SUMMERFIELD FIRE DEPARTMENT 7400 SUMMERFIELD ROAD SUMMERFIELD,NC 27358	NONE	PC	CHARITABLE	1,000
THE CHILDREN'S CENTER 2315 COLISEUM DRIVE WINSTONSALEM,NC 27106	NONE	PC	CHARITABLE	1,000
THE SUMMIT SCHOOL 2100 REYNOLDA ROAD WINSTONSALEM,NC 27106	NONE	PC	CHARITABLE	3,500
VIRGINIA MUSEUM OF NATURAL HISTORY 21 STARLING AVENUE MARTINSVILLE,NC 24112	NONE	PC	CHARITABLE	4,000
VIRGINIA TECH ATHLECTIC FUND-HOKIE CLUB POK BOX 10307 BLACKSBURG,VA 24062	NONE	PC	CHARITABLE	2,000
VOICE OF THE BLUE RIDGE 3435 MELROSE AVENUE ROANOKE,VA 24017	NONE	PC	CHARITABLE	750
WAKE FOREST UNIVERSITY BAPTIST MEDICAL CENTER MEDICAL CENTER BOULEVARD WINSTONSALEM,NC 27157	NONE	PC	CHARITABLE	8,000
WALNUT COVE VFD & RESUE SQUAD PO BOX 532 WALNUT COVE,NC 27052	NONE	PC	CHARITABLE	500
WALNUT COVE PUBLIC LIBRARY PO BOX 706 WALNUT COVE,NC 27052	NONE	NC	CHARITABLE	500
WOUNDED WARRIOR PROJECT PO BOX 758517 TOPEKA,KS 66675	NONE	PC	CHARITABLE	1,500
YMCA MARTINSVILLEHENRY COUNTY 3 STARLING AVENUE MARTINSVILLE,NC 24112	NONE	PC	CHARITABLE	300
Total . . . . ▶ **3a**				100,000

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*				
BLUE RIDGE MOUNTAINS COUNCIL BSA 2131 VALLEY VIEW BLVD NW ROANOKE,VA 24012	NONE	PC	CHARITABLE	500
Total . . . . ▶ **3a**				100,000

TY 2013 Accounting Fees Schedule

Name: HERMES FAMILY FOUNDATION
C/O PERKINSON LAW PLLC
EIN: 51-0172567

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
PERKINSON LAW PLLC	4,824	2,412		2,412

TY 2013 All Other Program Related Investments Schedule

Name: HERMES FAMILY FOUNDATION
C/O PERKINSON LAW PLLC

EIN: 51-0172567

Category	Amount
NONE	

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

TY 2013 Depreciation Schedule

Name: HERMES FAMILY FOUNDATION
C/O PERKINSON LAW PLLC

EIN: 51-0172567

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 Corporate Stock Schedule

Name: HERMES FAMILY FOUNDATION
C/O PERKINSON LAW PLLC

EIN: 51-0172567

Name of Stock	End of Year Book Value	End of Year Fair Market Value
UBS FINANCIAL-SEE ATTACHED	658,515	1,023,375

TY 2013 Investments - Land Schedule

Name: HERMES FAMILY FOUNDATION
C/O PERKINSON LAW PLLC

EIN: 51-0172567

TY 2013 Land, Etc. Schedule

Name: HERMES FAMILY FOUNDATION
C/O PERKINSON LAW PLLC

EIN: 51-0172567

TY 2013 Legal Fees Schedule

Name: HERMES FAMILY FOUNDATION
C/O PERKINSON LAW PLLC

EIN: 51-0172567

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
PERKINSON LAW PLLC	7,659			7,659

TY 2013 Other Expenses Schedule

Name: HERMES FAMILY FOUNDATION
C/O PERKINSON LAW PLLC

EIN: 51-0172567

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
BANK FEES	45	23		22

TY 2013 Other Professional Fees Schedule

Name: HERMES FAMILY FOUNDATION
C/O PERKINSON LAW PLLC

EIN: 51-0172567

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
MANAGEMENT FEES	7,702	7,702		

TY 2013 Taxes Schedule

Name: HERMES FAMILY FOUNDATION
C/O PERKINSON LAW PLLC

EIN: 51-0172567

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FEDERAL TAX PAYMENT	1,000			

UBS Financial Services Inc.
1000 Harbor Boulevard
Weehawken, NJ 07086-6790
Federal ID 13-2638166

Your Financial Advisor:
JEFF KOBERNICK/ROB SECHAN
212-821-7000/800-308-3140

Payer:
HERMES FAMILY FOUNDATION
ATTN PERKINSON LAW, PLLC
4622 COUNTRY CLUB ROAD
SUITE 270
WINSTON SALEM NC 27104-3775

2013 Informational Statement

Account Number: Y1 08023 4C
Tax Identification Number: 51-0172567

Proceeds from Broker Transactions

Short-term transactions for covered securities; included in Box 2a.

Activity type	Quantity / face value (Box 1e)	Original cost basis ($)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) ($)	Cost or other basis (Box 3) ($)	Wash sale loss disallowed (Box 5) ($)	Federal income tax withheld (Box 4) ($)	Loss not allowed (Box 2b)	Gain/Loss ($)
Description (Box 8): AMERICAN TOWER CORP REIT					*CUSIP:* 03027X100	*Symbol (Box 1d):* AMT				
Sell	100 0000		11/13/12	08/05/13	7,080.42	7,461.68				(381 26)
Sell	1.0000		04/25/13	08/05/13	70.81	81.44				(10.63)
Sell	1.0000		07/16/13	08/05/13	70.80	75.95				(5.15)
Sub Total	**102.0000**				**7,222.03**	**7,619.07**				**(397.04)**
Description (Box 8): BOEING COMPANY					*CUSIP.* 097023105	*Symbol (Box 1d):* BA				
Sell	2.0000		03/08/13	08/19/13	209 69	162 99				46.70
Sell	1.0000		06/07/13	08/19/13	104.84	100.13				4.71
Sub Total	**3.0000**				**314.53**	**263.12**				**51.41**
Description (Box 8): BROADCOM CORP CL A					*CUSIP:* 111320107	*Symbol (Box 1d)·* BRCM				
Sell	2.0000		03/04/13	03/26/13	68.83	67.34				1.49
Description (Box 8): CISCO SYSTEMS INC					*CUSIP:* 17275R102	*Symbol (Box 1d):* CSCO				
Sell	1,200.0000		06/18/13	12/16/13	24,887 57	29,964.00				(5,076.43)
Sell	7.0000		07/24/13	12/16/13	145 17	179 67				(34.50)
Sell	9.0000		10/23/13	12/16/13	186.66	202.05				(15.39)
Sub Total	**1,216.0000**				**25,219.40**	**30,345.72**				**(5,126.32)**

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Proceeds from Broker Transactions (continued)

Short-term transactions for covered securities; included in Box 2a. (continued)

Activity type	Quantity / face value (Box 1e)	Original cost basis ($)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) ($)	Cost or other basis (Box 3) ($)	Wash sale loss disallowed (Box 5) ($)	Federal income tax withheld (Box 4) ($)	Loss not allowed (Box 2b)	Gain/Loss ($)
Description (Box 8): DEERE AND CO					*CUSIP.* 244199105	*Symbol (Box 1d):* DE				
Sell	200 0000		05/17/12	04/12/13	17,212.20	14,467.45				2,744.75
Sell	1.0000		05/01/13	07/25/13	82.08	88.86				(6.78)
Sub Total	**201.0000**				**17,294.28**	**14,556.31**				**2,737.97**
Description (Box 8): INTEL CORP					*CUSIP:* 458140100	*Symbol (Box 1d):* INTC				
Sell	12.0000		03/01/13	10/22/13	289.00	250.30				38.70
Sell	10.0000		06/01/13	10/22/13	240 82	250 48				(9.66)
Sell	12.0000		09/01/13	10/22/13	289 00	265.45				23 55
Sub Total	**34.0000**				**818.82**	**766.23**				**52.59**
Description (Box 8). KLA -TENCOR CORP					*CUSIP:* 482480100	*Symbol (Box 1d):* KLAC				
Sell	**100.0000**		02/22/13	08/05/13	**5,840.90**	**5,442.13**				**398.77**
Description (Box 8): OCCIDENTAL PETROLEUM CRP					*CUSIP:* 674599105	*Symbol (Box 1d):* OXY				
Sell	3.0000		04/15/13	11/19/13	291.42	247.21				44.21
Sell	2.0000		07/15/13	11/19/13	194.29	179.99				14.30
Sell	2.0000		10/15/13	11/19/13	194.28	190.66				3.62
Sub Total	**7.0000**				**679.99**	**617.86**				**62.13**

continued next page

Proceeds from Broker Transactions (continued)

Short-term transactions for covered securities; included in Box 2a. (continued)

Activity type	Quantity / face value (Box 1e)	Original cost basis ($)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) ($)	Cost or other basis (Box 3) ($)	Wash sale loss disallowed (Box 5) ($)	Federal income tax withheld (Box 4) ($)	Loss not allowed (Box 2b)	Gain/Loss ($)
Description (Box 8): ORACLE CORP					CUSIP: 68389X105		*Symbol (Box 1d):* ORCL			
Sell	500.0000		01/09/13	06/18/13	17,234.71	17,368.26				(133.55)
Sell	300.0000		02/22/13	06/18/13	10,340.82	10,284.00				56.82
Sub Total	800.0000				27,575.53	27,652.26				(76.73)
Description (Box 8): ROCKWELL COLLINS INC					CUSIP: 774341101		*Symbol (Box 1d):* COL			
Sell	400.0000		04/12/13	10/18/13	28,279.50±	25,189.67				3,089.83
Description (Box 8): STARBUCKS CORP					CUSIP: 855244109		*Symbol (Box 1d).* SBUX			
Sell	1.0000		02/22/13	07/25/13	66.89	53 85				13.04
Sell	1.0000		05/24/13	07/25/13	66.88	62.77				4.11
Sub Total	2.0000				133.77	116.62				17.15
Total	2,867.0000				$113,447.58	$112,636.33				$811.25

Long-term transactions for covered securities; included in Box 2a.

Activity type	Quantity / face value (Box 1e)	Original cost basis ($)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) ($)	Cost or other basis (Box 3) ($)	Wash sale loss disallowed (Box 5) ($)	Federal income tax withheld (Box 4) ($)	Loss not allowed (Box 2b)	Gain/Loss ($)
Description (Box 8): AMERICAN TOWER CORP REIT					CUSIP. 03027X100		*Symbol (Box 1d).* AMT			
Sell	300.0000		03/22/12	08/05/13	21,241.25	18,620.07				2,621.18

continued next page

Proceeds from Broker Transactions (continued)

Long-term transactions for covered securities; included in Box 2a. (continued)

Activity type	Quantity / face value (Box 1e)	Original cost basis ($)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) ($)	Cost or other basis (Box 3) ($)	Wash sale loss disallowed (Box 5) ($)	Federal income tax withheld (Box 4) ($)	Loss not allowed (Box 2b)	Gain/Loss ($)
Description (Box 8): BOEING COMPANY					*CUSIP:* 097023105	*Symbol (Box 1d):* BA				
Sell	400.0000		09/28/11	08/06/13	33,775.41±	25,292.44				8,482.97
Description (Box 8): BROADCOM CORP CL A					*CUSIP:* 111320107	*Symbol (Box 1d):* BRCM				
Sell	300.0000		08/24/11	02/22/13	10,232.77	9,943.85				288.92
Description (Box 8): HUMANA INC					*CUSIP:* 444859102	*Symbol (Box 1d):* HUM				
Sell	200.0000		08/24/11	01/09/13	13,344 53	14,386.08				(1,041.55)
Sell	100.0000		08/30/11	01/09/13	6,672.27	7,713 78				(1,041.51)
Sub Total	300.0000				20,016.80	22,099.86				(2,083.06)
Description (Box 8): INTEL CORP					*CUSIP:* 458140100	*Symbol (Box 1d):* INTC				
Sell	1,200.0000		05/16/11	10/18/13	27,155.52±	28,383.60				(1,228.08)
Description (Box 8): KLA -TENCOR CORP					*CUSIP:* 482480100	*Symbol (Box 1d):* KLAC				
Sell	400.0000		06/21/12	08/05/13	23,363.59	19,506.53				3,857.06
Description (Box 8): MICROSOFT CORP					*CUSIP:* 594918104	*Symbol (Box 1d):* MSFT				
Sell	700.0000		12/14/11	01/09/13	18,640.58	17,983.00				657.58
Description (Box 8): MONSTER BEVERAGE CORP COM					*CUSIP:* 611740101	*Symbol (Box 1d):* MNST				
Sell	400.0000		02/02/12	10/16/13	22,640.11	21,263.25				1,376.86

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Proceeds from Broker Transactions (continued)

Long-term transactions for covered securities; included in Box 2a. (continued)

Activity type	Quantity / face value (Box 1e)	Original cost basis ($)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) ($)	Cost or other basis (Box 3) ($)	Wash sale loss disallowed (Box 5) ($)	Federal income tax withheld (Box 4) ($)	Loss not allowed (Box 2b)	Gain/Loss ($)
Description (Box 8): STARBUCKS CORP					CUSIP: 855244109	Symbol (Box 1d): SBUX				
Sell	200.0000		02/09/11	07/19/13	12,183.79±	6,615.26				5,568.53
Total	4,200.0000				$189,249.82	$169,707.86				$19,541.96

Long-term transactions for noncovered securities; included in Box 2a.

Activity type	Quantity / face value (Box 1e)	Original cost basis ($)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) ($)	Cost or other basis (Box 3) ($)	Wash sale loss disallowed (Box 5) ($)	Federal income tax withheld (Box 4) ($)	Loss not allowed (Box 2b)	Gain/Loss ($)
Description (Box 8) BROADCOM CORP CL A					CUSIP: 111320107	Symbol (Box 1d): BRCM				
Sell	500.0000		06/22/10	02/22/13	17,054.62	17,723.17				(668.55)
Description (Box 8)· CELGENE CORP					CUSIP: 151020104	Symbol (Box 1d): CELG				
Sell	200.0000		11/18/10	10/18/13	32,167 44±	12,273.75				19,893.69
Sell	200.0000		12/03/10	10/18/13	32,167.44±	12,089.44				20,078.00
Sub Total	400.0000				64,334.88	24,363.19				39,971.69
Description (Box 8). GOOGLE INC CL A					CUSIP: 38259P508	Symbol (Box 1d): GOOG				
Sell	20.0000		06/03/10	11/15/13	20,662.64	10,107.57				10,555.07
Description (Box 8): OCCIDENTAL PETROLEUM CRP					CUSIP: 674599105	Symbol (Box 1d): OXY				
Sell	400.0000		06/02/05	11/15/13	38,483.33±	14,632.00				23,851.33

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Proceeds from Broker Transactions (continued)

Long-term transactions for noncovered securities; included in Box 2a. (continued)

Activity type	Quantity / face value (Box 1e)	Original cost basis ($)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) ($)	Cost or other basis (Box 3) ($)	Wash sale loss disallowed (Box 5) ($)	Federal income tax withheld (Box 4) ($)	Loss not allowed (Box 2b)	Gain/Loss ($)
Description (Box 8). SCHLUMBERGER LTD NETHERLANDS ANTILLES					*CUSIP:* 806857108	*Symbol (Box 1d).* SLB				
Sell	200.0000		11/27/96	06/18/13	14,909.59	4,706.15				10,203.44
Description (Box 8): STARBUCKS CORP					*CUSIP.* 855244109	*Symbol (Box 1d).* SBUX				
Sell	300.0000		08/25/10	07/19/13	18,275.68±	7,037.26				11,238.42
Description (Box 8): THERMO FISHER SCIENTIFIC INC					*CUSIP·* 883556102	*Symbol (Box 1d):* TMO				
Sell	100.0000		11/26/08	11/15/13	10,100.44	3,458.66				6,641.78
Total	1,920.0000				$183,821.18	$82,028.00				$101,793.18
Total					$486,518.58					

Proceeds from Broker Transactions

Short-term transactions; not included in Box 2a.

Activity type	Quantity / face value (Box 1e)	Original cost basis ($)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) ($)	Cost or other basis (Box 3) ($)	Wash sale loss disallowed (Box 5) ($)	Federal income tax withheld (Box 4) ($)	Loss not allowed (Box 2b)	Gain/Loss ($)
Description (Box 8): CALL ANADARKO PETROLEUM DUE 05/18/13 90.000 032123										
Shortcover	4.0000		04/15/13	02/22/13	727.98	368.00				359.98

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Proceeds from Broker Transactions (continued)

Short-term transactions; not included in Box 2a. (continued)

Activity type	Quantity / face value (Box 1e)	Original cost basis ($)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) ($)	Cost or other basis (Box 3) ($)	Wash sale loss disallowed (Box 5) ($)	Federal income tax withheld (Box 4) ($)	Loss not allowed (Box 2b)	Gain/Loss ($)
Description (Box 8): CALL ANADARKO PETROLEUM DUE 08/17/13 95.000 032123										
Shortcover	1.0000		06/20/13	05/17/13	294 07	100.00				194.07
Shortcover	3.0000		06/20/13	05/17/13	882 22	312.89				569.33
Sub Total	**4.0000**				**1,176.29**	**412.89**				**763.40**
Description (Box 8)· CALL APPLE INC DUE 06/22/13 480.000 030911										
Shortcover	1.0000		04/17/13	04/12/13	651.99	365.00				286.99
Description (Box 8) CALL APPLE INC DUE 06/22/13 500 000 030911										
Shortcover	1.0000		04/12/13	02/22/13	1,009.98	390.00				619.98
Description (Box 8): CALL APPLE INC DUE 10/19/13 480.000 030911										
Shortcover	1.0000		10/17/13	06/18/13	869.98	2,250.00				(1,380.02)
Description (Box 8): CALL APPLE INC DUE 10/19/13 500.000 030911										
Shortcover	1.0000		06/18/13	05/20/13	1,039.98	550.00				489.98
Description (Box 8): CALL CSX CORPORATION DUE 11/16/13 27.500 066036										
Shortcover	8.0000		06/24/13	06/18/13	431.99	120.00				311.99
Shortcover	1.0000		06/24/13	06/18/13	54 99	15.00				39.99
Shortcover	9.0000		10/18/13	07/17/13	269 99	36.00				233.99
Sub Total	**18.0000**				**756.97**	**171.00**				**585.97**

continued next page

Proceeds from Broker Transactions (continued)

Short-term transactions; not included in Box 2a. (continued)

Activity type	Quantity / face value (Box 1e)	Original cost basis ($)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) ($)	Cost or other basis (Box 3) ($)	Wash sale loss disallowed (Box 5) ($)	Federal income tax withheld (Box 4) ($)	Loss not allowed (Box 2b)	Gain/Loss ($)
Description (Box 8): CALL INTERCONTINENTALEXC DUE 12/21/13 210.000 2181L8										
Sell	**2.0000**		12/19/13	06/18/13	**659.99**	**2,940.00**				**(2,280.01)**
Description (Box 8): CALL OCCIDENTAL PETROLEU DUE 05/18/13 85.000 346497										
Shortcover	**4.0000**		03/27/13	11/21/12	**716.37**	**152.00**				**564.37**
Description (Box 8): CALL OCCIDENTAL PETROLEU DUE 11/16/13 105.000 346497										
Shortcover	**4.0000**		08/09/13	05/17/13	**719.98**	**90.81**				**629.17**
Description (Box 8): CALL PHILLIPS 66 DUE 11/16/13 65.000 3655C0										
Shortcover	**3.0000**		11/07/13	07/17/13	**539.99**	**180.00**				**359.99**
Description (Box 8): CALL PHILLIPS 66 DUE 11/16/13 75.000 3655C0										
Shortcover	2.0000		07/17/13	06/18/13	349.99	110.00				239.99
Shortcover	1.0000		07/17/13	06/18/13	164.99	55.00				109.99
Sub Total	**3.0000**				**514.98**	**165.00**				**349.98**
Description (Box 8): CALL SCHLUMBERGER LTD DUE 11/16/13 82.500 411957										
Shortcover	**3.0000**		11/14/13	06/18/13	**527.99**	**3,183.31**				**(2,655.32)**

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UBS Financial Services Inc.
1000 Harbor Boulevard
Weehawken, NJ 07086-6790
Federal ID 13-2638166

Your Financial Advisor:
JEFF KOBERNICK/ROB SECHAN
212-821-7000/800-308-3140

Payer:
HERMES FAMILY FOUNDATION
ATTN PERKINSON LAW, PLLC
4622 COUNTRY CLUB ROAD
SUITE 270
WINSTON SALEM NC 27104-3775

2013 Informational Statement

Account Number: Y1 08023 4C
Tax Identification Number: 51-0172567

Proceeds from Broker Transactions (continued)

Short-term transactions; not included in Box 2a. (continued)

Activity type	Quantity / face value (Box 1e)	Original cost basis ($)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) ($)	Cost or other basis (Box 3) ($)	Wash sale loss disallowed (Box 5) ($)	Federal income tax withheld (Box 4) ($)	Loss not allowed (Box 2b)	Gain/Loss ($)
Description (Box 8): CALL STARBUCKS CORP DUE 04/20/13		55.000 509736								
Shortcover	2.0000		02/22/13	11/21/12	305.12	260.00				45.12
Shortcover	3.0000		02/22/13	11/21/12	457.69	399.00				58.69
Sub Total	5.0000				762.81	659.00				103.81
Description (Box 8): CALL WHOLE FOODS MARKET DUE 01/18/14		60 000 458333								
Shortcover	6.0000		12/16/13	11/12/13	959.98	150.00				809.98
Description (Box 8): CALL WHOLE FOODS MARKET DUE 08/17/13		60.000 458333								
Shortcover	3.0000		08/05/13	07/17/13	239.99	9.00				230.99
Description (Box 8): CALL WHOLE FOODS MARKET DUE 11/16/13		60.000 458333								
Shortcover	3.0000		11/07/13	08/05/13	390.00	103 02				286.98
Shortcover	3.0000		11/07/13	08/05/13	389.99	117 00				272.99
Sub Total	6.0000				779.99	220.02				559.97
Total	69.0000				$12,655.24	$12,256.03				$399.21

Your assets

Some prices, income and current values shown may be approximate As a result, gains and losses may not be accurately reflected See *Important information about your statement* at the end of this document for more information.

Cash

Cash and money balances

Cash and money balances may include available cash balances, UBS Bank USA deposit account balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances.

UBS Bank USA deposit account balances are insured by the FDIC within applicable limits, but are not protected by SIPC UBS AG Stamford Branch deposit account balances are not insured by FDIC and are not protected by SIPC Money market sweep balances are protected by SIPC but are not insured by the FDIC See the *Important information about your statement* at the end of this document for details about those balances.

Holding	Opening balance on Dec 1 ($)	Closing balance on Dec 31 ($)	Price per share on Dec 31 ($)	Average rate	Dividend/Interest period	Days in period	Cap amount ($)
Cash	942.15	0.00					
UBS BANK USA BUS ACCT	60,316 09	85,339.55					250,000.00
Total	**$61,258.24**	**$85,339.55**					

Equities

Common stock

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 31 ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
ANADARKO PETROLEUM CORP								
Symbol· APC Exchange· NYSE								
EAI $288 Current yield. 0.91%	Nov 12, 09	300.000	62.436	18,730 83	79.320	23,796 00	5,065.17	LT
	May 4, 10	100.000	63.666	6,366.64	79.320	7,932 00	1,565.36	LT
Security total		400.000	62.744	25,097.47		31,728 00	6,630.53	
APPLE INC								
Symbol· AAPL Exchange. OTC								
EAI· $1,220 Current yield: 2.17%	Nov 24, 09	100.000	205.046	20,504.69	561.020	56,102.00	35,597.31	LT
CHUBB CORP								
Symbol: CB Exchange NYSE								
EAI· $711 Current yield: 1.82%	Dec 12, 05	200.000	47.418	9,483 65	96 630	19,326.00	9,842.35	LT
	Jan 12, 06	200.000	49.125	9,825 00	96 630	19,326 00	9,501.00	LT

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Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 31 ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
	Earnings	4.000	87 797	351.19	96.630	386.52	35 33	
Security total		404.000	48 663	19,659.84		39,038.52	19,378 68	
COCA COLA CO COM Symbol. KO Exchange' NYSE EAI. $573 Current yield. 2.71%	Oct 21, 10	100 000	30.790	3,079.00	41.310	4,131.00	1,052.00	LT
	Nov 18, 10	400.000	31 799	12,719.99	41 310	16,524.00	3,804.01	LT
	Earnings	12 000	39.575	474.90	41.310	495.72	20.82	
Security total		512.000	31.785	16,273.89		21,150.72	4,876 83	
COMCAST CORP NEW CL A Symbol. CMCSA Exchange. OTC EAI: $395 Current yield· 1 50%	Mar 1, 11	500.000	25 788	12,894 21	51 965	25,982.50	13,088.29	LT
	Earnings	6 000	44.541	267.25	51.965	311.79	44.54	
Security total		506 000	26.011	13,161.46		26,294.29	13,132 83	
CSX CORPORATION Symbol. CSX Exchange· NYSE EAI $551 Current yield. 2.08%	Aug 16, 12	900.000	23.183	20,865.39	28.770	25,893 00	5,027.61	LT
	Earnings	19 000	25.480	484 12	28 770	546.63	62 51	
Security total		919 000	23.231	21,349.51		26,439.63	5,090.12	
CVS CAREMARK CORP Symbol. CVS Exchange· NYSE EAI· $891 Current yield· 1.54%	Feb 23, 12	700.000	43.965	30,776 03	71.570	50,099 00	19,322.97	LT
	Oct 5, 12	100.000	49.008	4,900.82	71.570	7,157.00	2,256 18	LT
	Earnings	10 000	58 168	581 68	71.570	715 70	134.02	
Security total		810 000	44 764	36,258 53		57,971 70	21,713.17	
DANAHER CORP Symbol. DHR Exchange· NYSE EAI. $30 Current yield 0.13%	Aug 3, 04	100.000	25 387	2,538 78	77 200	7,720 00	5,181 22	LT
	Nov 21, 06	200.000	36.597	7,319.52	77 200	15,440.00	8,120.48	LT
Security total		300.000	32 861	9,858.30		23,160.00	13,301.70	
FIFTH THIRD BANCORP Symbol· FITB Exchange· OTC EAI. $579 Current yield: 2.28%	Sep 19, 13	1,200.000	18.438	22,126.59	21 030	25,236 00	3,109.41	ST
	Earnings	7.000	18 698	130.89	21.030	147.21	16.32	

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Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 31 ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
Security total		1,207.000	18 440	22,257.48		25,383.21	3,125.73	
GOOGLE INC CL A								
Symbol· GOOG Exchange. OTC	Jun 3, 10	30.000	505 378	15,161.35	1,120.710	33,621.30	18,459.95	LT
	Aug 30, 11	50.000	542 550	27,127.50	1,120.710	56,035.50	28,908.00	LT
Security total		80.000	528 611	42,288.85		89,656 80	47,367.95	
HOME DEPOT INC								
Symbol HD Exchange. NYSE								
EAI. $635 Current yield 1.89%	Jun 21, 12	400.000	51.685	20,674 07	82.340	32,936.00	12,261 93	LT
	Earnings	7.000	75.234	526 64	82.340	576.38	49 74	
Security total		407.000	52 090	21,200.71		33,512.38	12,311.67	
INTERCONTINENTALEXCHANGE GROUP COM								
Symbol· ICE Exchange· NYSE								
EAI· $520 Current yield· 1 16%	Feb 18, 11	100.000	128 030	12,803 00	224.920	22,492.00	9,689 00	LT
	Apr 27, 11	100.000	121 104	12,110 48	224.920	22,492.00	10,381.52	LT
Security total		200.000	124 567	24,913 48		44,984 00	20,070 52	
INTL BUSINESS MACH								
Symbol. IBM Exchange NYSE								
EAI· $380 Current yield. 2.03%	Nov 21, 06	100.000	93 202	9,320.22	187.570	18,757.00	9,436 78	LT
ITC HOLDINGS CORP								
Symbol. ITC Exchange. NYSE								
EAI $340 Current yield: 1.77%	Oct 16, 13	200.000	95.779	19,155 86	95.820	19,164.00	8.14	ST
JPMORGAN CHASE & CO								
Symbol· JPM Exchange· NYSE								
EAI $1,237 Current yield: 2.60%	Apr 30, 09	600.000	34 570	20,742 06	58 480	35,088 00	14,345 94	LT
	Oct 1, 09	200.000	42 624	8,524.97	58 480	11,696.00	3,171.03	LT
	Earnings	14 000	52 602	736.43	58.480	818.72	82.29	
Security total		814.000	36 859	30,003.46		47,602.72	17,599.26	
MCKESSON CORP								
Symbol: MCK Exchange NYSE								
EAI $192 Current yield: 0.59%	Apr 15, 10	200.000	64 774	12,954.88	161.400	32,280.00	19,325.12	LT

continued next page

Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 31 ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
MEDTRONIC INC								
Symbol. MDT Exchange: NYSE								
EAI· $670 Current yield: 1.95%	Jul 22, 10	400.000	37.009	14,803.97	57.390	22,956.00	8,152.03	LT
	Oct 30, 13	193.000	57 906	11,175.97	57.390	11,076.27	-99.70	ST
	Earnings	5.000	52.346	261.73	57.390	286.95	25.22	
Security total		598 000	43 882	26,241.67		34,319 22	8,077.55	
NEXTERA ENERGY INC COM								
Symbol NEE Exchange NYSE								
EAI. $813 Current yield. 3.08%	May 26, 10	100 000	48.838	4,883.84	85.620	8,562.00	3,678.16	LT
	Oct 21, 10	200.000	55 523	11,104.72	85.620	17,124.00	6,019.28	LT
	Earnings	8.000	79.472	635.78	85.620	684.96	49.18	
Security total		308.000	53.975	16,624.34		26,370.96	9,746 62	
PHILLIPS 66								
Symbol: PSX Exchange NYSE								
EAI· $471 Current yield 2.02%	Jun 18, 13	300 000	64.742	19,422.86	77.130	23,139.00	3,716.14	ST
	Earnings	2.000	64.265	128.53	77 130	154.26	25.73	
Security total		302.000	64.740	19,551 39		23,293.26	3,741 87	
QUALCOMM INC								
Symbol: QCOM Exchange. OTC								
EAI $561 Current yield. 1.88%	Oct 22, 13	400 000	69.080	27,632 00	74.250	29,700.00	2,068 00	ST
	Earnings	1 000	72.600	72 60	74 250	74.25	1.65	
Security total		401.000	69.089	27,704.60		29,774.25	2,069 65	
ROCKWELL COLLINS INC								
Symbol COL Exchange. NYSE								
EAI: $2 Current yield. 1.35%	Earnings	2.000	67 675	135 35	73 920	147 84	12 49	
SANDISK CORP								
Symbol SNDK Exchange. OTC								
EAI. $450 Current yield 1 28%	Aug 5, 13	422.000	57.369	24,210 05	70 540	29,767.88	5,557 83	ST
	Aug 5, 13	78 000	57.258	4,466.18	70 540	5,502.12	1,035 94	ST
Security total		500.000	57.352	28,676.23		35,270.00	6,593.77	
SCHLUMBERGER LTD NETHERLANDS ANTILLES								
Symbol. SLB Exchange NYSE								
EAI· $381 Current yield. 1.39%	Nov 27, 96	100.000	23.530	2,353.07	90.110	9,011.00	6,657.93	LT

continued next page

Your Financial Advisor:
JEFF KOBERNICK/ROB SECHAN
212-821-7000/800-308-3140

Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 31 ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
	Apr 30, 09	200 000	50.376	10,075.25	90.110	18,022.00	7,946 75	LT
	Earnings	5 000	78.882	394 41	90.110	450.55	56 14	
Security total		305.000	42.042	12,822 73		27,483.55	14,660.82	
SIMON PPTY GROUP INC SBI Symbol: SPG Exchange: NYSE EAI $480 Current yield 3.15%	Nov 21, 12	100.000	149.605	14,960.50	152.160	15,216.00	255 50	LT
STARBUCKS CORP Symbol: SBUX Exchange: OTC EAI $448 Current yield. 1.33%	Oct 22, 13	200.000	79.959	15,991 98	78.390	15,678 00	-313.98	ST
	Oct 30, 13	230 000	80.278	18,464 09	78 390	18,029.70	-434.39	ST
	Earnings	1 000	82.140	82.14	78.390	78 39	-3 75	
Security total		431 000	80.135	34,538.21		33,786.09	-752 12	
THERMO FISHER SCIENTIFIC INC Symbol TMO Exchange: NYSE EAI $240 Current yield 0.54%	Nov 26, 08	300.000	34.586	10,375.97	111.350	33,405 00	23,029.03	LT
	Feb 12, 09	100 000	38.457	3,845.72	111.350	11,135.00	7,289 28	LT
Security total		400.000	35.554	14,221 69		44,540 00	30,318.31	
TJX COS INC NEW Symbol: TJX Exchange: NYSE EAI: $350 Current yield: 0 91%	Aug 17, 12	600.000	45.187	27,112 46	63.730	38,238 00	11,125.54	LT
	Earnings	4 000	53.030	212.12	63.730	254.92	42 80	
Security total		604.000	45.239	27,324 58		38,492.92	11,168 34	
US BANCORP DEL (NEW) Symbol: USB Exchange NYSE EAI. $1,029 Current yield. 2 28%	Aug 12, 10	600.000	22.411	13,447.18	40.400	24,240.00	10,792.82	LT
	Mar 1, 11	300.000	27 419	8,225.92	40.400	12,120.00	3,894.08	LT
	Feb 2, 12	200.000	28.649	5,729.80	40 400	8,080.00	2,350.20	LT
	Earnings	18.000	36.131	650.37	40.400	727.20	76.83	
Security total		1,118.000	25 092	28,053.27		45,167.20	17,113.93	
VF CORP Symbol: VFC Exchange: NYSE EAI: $420 Current yield: 1 68%	Oct 16, 13	400.000	50 017	20,006.85	62 340	24,936.00	4,929.15	ST

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Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 31 ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
WALT DISNEY CO (HOLDING CO)								
DISNEY COM								
Symbol DIS Exchange: NYSE								
EAI $258 Current yield: 1.13%	Sep 19, 13	300 000	65.529	19,658.96	76 400	22,920 00	3,261.04	ST
WHOLE FOODS MARKET INC								
Symbol WFM Exchange: OTC								
EAI: $289 Current yield: 0.83%	Mar 22, 12	400 000	41.684	16,673 65	57 830	23,132.00	6,458.35	LT
	Oct 5, 12	200,000	50.705	10,141 01	57 830	11,566 00	1,424 99	LT
	Earnings	2.000	58.065	116.13	57 830	115.66	-0.47	
Security total		602.000	44 736	26,930 79		34,813 66	7,882 87	
Total				**$661,709.79**		**$1,029,755.92**	**$368,046.13**	

Total estimated annual income: $15,404

Short options

Holding	Trade date	Number of contracts	Sale price per contract ($)	Sale proceeds ($)	Price per contract on Dec 31 ($)	Contract premium ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
CALL SANDISK CORP									
DUE 01/18/14 67.500									
Expires Jan 14									
Symbol SNDK	Oct 01, 13	-1.000	1.379	-137.99	345.000	3.450	-345.00	-207.01	ST
	Oct 01, 13	-4.000	1.359	-543 99	345.000		-1,380.00	-836.01	ST
Security Total		-5.000		-681 98			-1,725 00	-1,043.02	
CALL INTL BUSINESS MACH									
DUE 01/18/14 185.000									
Expires. Jan 14									
Symbol IBM	Dec 23, 13	-1.000	1 199	-119 99	380 000	3.800	-380.00	-260.01	ST
CALL PHILLIPS 66									
DUE 01/18/14 70 000									
Expires Jan 14									
Symbol. PSX	Nov 14, 13	-3 000	1.899	-569 99	725.000	7.250	-2,175.00	-1,605.01	ST
CALL HOME DEPOT INC									
DUE 01/18/14 80.000									
Expires: Jan 14									
Symbol: HD	Nov 12, 13	-4.000	0 929	-371 99	270 500	2.705	-1,082 00	-710 01	ST

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Your assets › Equities › Short options (continued)

Holding	Trade date	Number of contracts	Sale price per contract ($)	Sale proceeds ($)	Price per contract on Dec 31 ($)	Contract premium ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
CALL SCHLUMBERGER LTD DUE 02/22/14 100.000 Expires: Feb 14 Symbol: SLB	Nov 14, 13	-3.000	1.369	-410.99	33.000	0.330	-99 00	311.99	ST
CALL INTERCONTINENTALEXC DUE 06/21/14 250.000 Expires: Jun 14 Symbol: ICE	Dec 23, 13	-2.000	5.199	-1,039 98	460.000	4.600	-920.00	119.98	ST
Total				**-$3,194.92**			**-$6,381.00**	**-$3,186.08**	

Your total assets

		Value on Dec 31 ($)	Percentage of your account	Cost basis ($)	Estimated annual income ($)	Unrealized gain or loss ($)
Cash	**Cash and money balances**	**85,339.55**	**7.70%**	**85,339.55**		
Equities	Common stock	1,029,755.92		661,709.79	15,404.00	368,046.13
	Short options	-6,381 00		-3,194.92		-3,186.08
	Total equities	**1,023,374.92**	**92.30%**	**658,514.87**	**15,404.00**	**364,860.05**
Total		**$1,108,714.47**	**100.00%**	**$743,854.42**	**$15,404.00**	**$364,860.05**