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.

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

OMB No 1545-0052 **2013** Open to Public Inspection

For calendar year 2013 or tax year beginning , and ending

| Name of foundation | A Employer identification number |
|---|---|
| Hogan Family Foundation, Inc. | 56-2255419 |
| Number and street (or P O box number if mail is not delivered to street address) / Room/suite: 10601 River Forest Drive | B Telephone number 919-846-1772 |
| City or town, state or province, country, and ZIP or foreign postal code: Raleigh, NC 27614 | 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: [X] 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) ▶$ 942,232.

J Accounting method: [X] 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).)

| | Line | (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 | | | N/A | |
| | 2 Check ▶ [X] if the foundation is not required to attach Sch B | | | | |
| | 3 Interest on savings and temporary cash investments | | | | |
| | 4 Dividends and interest from securities | 22,592. | 20,699. | | Statement 1 |
| | 5a Gross rents | | | | |
| | b Net rental income or (loss) | | | | |
| | 6a Net gain or (loss) from sale of assets not on line 10 | 80,656. | | | |
| | b Gross sales price for all assets on line 6a 485,337. | | | | |
| | 7 Capital gain net income (from Part IV, line 2) | | 80,656. | | |
| | 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 | 268. | 268. | | Statement 2 |
| | 12 **Total.** Add lines 1 through 11 | 103,516. | 101,623. | | |
| Operating and Administrative Expenses | 13 Compensation of officers, directors, trustees, etc | 2,916. | 0. | | 2,916. |
| | 14 Other employee salaries and wages | | | | |
| | 15 Pension plans, employee benefits | 220. | 0. | | 220. |
| | 16a Legal fees | | | | |
| | b Accounting fees | | | | |
| | c Other professional fees Stmt 3 | 11,813. | 11,813. | | 0. |
| | 17 Interest | | | | |
| | 18 Taxes Stmt 4 | 2,472. | 0. | | 0. |
| | 19 Depreciation and depletion | | | | |
| | 20 Occupancy | | | | |
| | 21 Travel, conferences, and meetings | 6,085. | 0. | | 6,085. |
| | 22 Printing and publications | | | | |
| | 23 Other expenses Stmt 5 | 973. | 0. | | 906. |
| | 24 **Total operating and administrative expenses.** Add lines 13 through 23 | 24,479. | 11,813. | | 10,127. |
| | 25 Contributions, gifts, grants paid | 48,000. | | | 48,000. |
| | 26 **Total expenses and disbursements.** Add lines 24 and 25 | 72,479. | 11,813. | | 58,127. |
| | 27 Subtract line 26 from line 12: | | | | |
| | a Excess of revenue over expenses and disbursements | 31,037. | | | |
| | b **Net investment income** (if negative, enter -0-) | | 89,810. | | |
| | 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 (a) Book Value | End of year (b) Book Value | End of year (c) Fair Market Value |
|---|---|---|---|
| **Assets** | | | |
| 1 Cash - non-interest-bearing | 694. | | |
| 2 Savings and temporary cash investments | 20,964. | 45,267. | 45,267. |
| 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 Stmt 7 | 146,036. | 161,532. | 170,583. |
| b Investments - corporate stock Stmt 8 | 425,651. | 396,474. | 550,427. |
| c Investments - corporate bonds Stmt 9 | 153,208. | 174,117. | 175,955. |
| 11 Investments - land, buildings, and equipment basis ▶ | | | |
| Less accumulated depreciation ▶ | | | |
| 12 Investments - mortgage loans | | | |
| 13 Investments - other | | | |
| 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 I) | 746,553. | 777,390. | 942,232. |
| **Liabilities** | | | |
| 17 Accounts payable and accrued expenses | 162. | 223. | |
| 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) | 162. | 223. | |
| **Net Assets or Fund Balances** | | | |
| **Foundations that follow SFAS 117, check here ▶ [X] and complete lines 24 through 26 and lines 30 and 31.** | | | |
| 24 Unrestricted | 746,391. | 777,167. | |
| 25 Temporarily restricted | | | |
| 26 Permanently restricted | | | |
| **Foundations that do not follow SFAS 117, check here ▶ [ ] and complete lines 27 through 31.** | | | |
| 27 Capital stock, trust principal, or current funds | | | |
| 28 Paid-in or capital surplus, or land, bldg., and equipment fund | | | |
| 29 Retained earnings, accumulated income, endowment, or other funds | | | |
| 30 **Total net assets or fund balances** | 746,391. | 777,167. | |
| 31 **Total liabilities and net assets/fund balances** | 746,553. | 777,390. | |

## 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 | 746,391. |
| 2 Enter amount from Part I, line 27a | 2 | 31,037. |
| 3 Other increases not included in line 2 (itemize) ▶ | 3 | 0. |
| 4 Add lines 1, 2, and 3 | 4 | 777,428. |
| 5 Decreases not included in line 2 (itemize) ▶ See Statement 6 | 5 | 261. |
| 6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30 | 6 | 777,167. |

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

| | (a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.) | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | see attached | P | Various | Various |
| b | see attached | P | Various | Various |
| c | see attached | P | Various | Various |
| d | Independent Portfolio Consultants | P | Various | Various |
| 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 | 287,674. | | 262,945. | 24,729. |
| b | 141,823. | | 106,131. | 35,692. |
| c | 55,809. | | 35,605. | 20,204. |
| d | 31. | | | 31. |
| e | | | | |

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

| | (i) F.M.V. as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of col. (i) over col. (j), if any | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h)) |
|---|---|---|---|---|
| a | | | | 24,729. |
| b | | | | 35,692. |
| c | | | | 20,204. |
| d | | | | 31. |
| e | | | | |

2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 / If (loss), enter -0- in Part I, line 7 } 2 80,656.

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 | 49,752. | 848,718. | .058620 |
| 2011 | 48,997. | 841,337. | .058237 |
| 2010 | 48,440. | 802,949. | .060328 |
| 2009 | 47,436. | 755,290. | .062805 |
| 2008 | 53,468. | 887,544. | .060243 |

| | | | |
|---|---|---|---|
| 2 | **Total** of line 1, column (d) | 2 | .300233 |
| 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 | .060047 |
| 4 | Enter the net value of noncharitable-use assets for 2013 from Part X, line 5 | 4 | 894,874. |
| 5 | Multiply line 4 by line 3 | 5 | 53,734. |
| 6 | Enter 1% of net investment income (1% of Part I, line 27b) | 6 | 898. |
| 7 | Add lines 5 and 6 | 7 | 54,632. |
| 8 | Enter qualifying distributions from Part XII, line 4 | 8 | 58,127. |

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

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

| | | | |
|---|---|---|---|
| 1a | Exempt operating foundations described in section 4940(d)(2), check here ▶ [ ] and enter "N/A" on line 1. Date of ruling or determination letter: ____ (attach copy of letter if necessary-see instructions) | | |
| b | Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ [X] and enter 1% of Part I, line 27b | 1 | 898. |
| c | All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b). | | |
| 2 | Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-) | 2 | 0. |
| 3 | Add lines 1 and 2 | 3 | 898. |
| 4 | Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-) | 4 | 0. |
| 5 | **Tax based on investment income.** Subtract line 4 from line 3. If zero or less, enter -0- | 5 | 898. |
| 6 | Credits/Payments: | | |
| a | 2013 estimated tax payments and 2012 overpayment credited to 2013 — 6a: 1,408. | | |
| b | Exempt foreign organizations - tax withheld at source — 6b | | |
| c | Tax paid with application for extension of time to file (Form 8868) — 6c | | |
| d | Backup withholding erroneously withheld — 6d | | |
| 7 | Total credits and payments. Add lines 6a through 6d | 7 | 1,408. |
| 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 | 510. |
| 11 | Enter the amount of line 10 to be: **Credited to 2014 estimated tax** ▶ 510. **Refunded** ▶ | 11 | 0. |

## Part VII-A Statements Regarding Activities

| | | | Yes | No |
|---|---|---|---|---|
| 1a | During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign? | 1a | | X |
| b | Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see instructions for the definition)? | 1b | | X |
| | *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 | | X |
| d | Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: **(1)** On the foundation. ▶ $ 0. **(2)** On foundation managers. ▶ $ 0. | | | |
| e | Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ▶ $ 0. | | | |
| 2 | Has the foundation engaged in any activities that have not previously been reported to the IRS? *If "Yes," attach a detailed description of the activities* | 2 | | X |
| 3 | Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? *If "Yes," attach a conformed copy of the changes* | 3 | | X |
| 4a | Did the foundation have unrelated business gross income of $1,000 or more during the year? | 4a | | X |
| b | If "Yes," has it filed a tax return on **Form 990-T** for this year? N/A | 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 | | X |
| 6 | Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument? | 6 | X | |
| 7 | Did the foundation have at least $5,000 in assets at any time during the year? *If "Yes," complete Part II, col. (c), and Part XV* | 7 | X | |
| 8a | Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ NC | | | |
| 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 | X | |
| 9 | Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2013 or the taxable year beginning in 2013 (see instructions for Part XIV)? *If "Yes," complete Part XIV* | 9 | | X |
| 10 | Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses | 10 | | X |



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## 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 | | 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? | 13 | X | |

Website address ▶ n/a

14 The books are in care of ▶ John C. Hogan, CPA PLLC Telephone no. ▶ 919-846-1772

Located at ▶ 10601 River Forest Drive, Raleigh, NC ZIP+4 ▶ 27614

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

| | | 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 | | X |

See the 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.**

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

| | | Line | 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)? | 1b | | X |
| | 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 | | X |

2 Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)):

a At the end of tax year 2013, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2013? ☐ Yes ☒ No

If "Yes," list the years ▶ ____, ____, ____, ____

| | | Line | 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 | 2b | | |

c If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here.

▶ ____, ____, ____, ____

3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☐ Yes ☒ No

| | | Line | Yes | No |
|---|---|---|---|---|
| b | If "Yes," did it have excess business holdings in 2013 as a result of **(1)** any purchase by the foundation or disqualified persons after May 26, 1969; **(2)** the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest; or **(3)** the lapse of the 10-, 15-, or 20-year first phase holding period? *(Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2013.)* N/A | 3b | | |
| 4a | Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? | 4a | | X |
| b | Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2013? | 4b | | X |



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

| | | | |
|---|---|---|---|
| **5a** During the year did the foundation pay or incur any amount to: | | | |
| (1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? | ☐ Yes ☒ No | | |
| (2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive? | ☐ Yes ☒ No | | |
| (3) Provide a grant to an individual for travel, study, or other similar purposes? | ☐ Yes ☒ No | | |
| (4) Provide a grant to an organization other than a charitable, etc., organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? | ☐ Yes ☒ No | | |
| (5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? | ☐ Yes ☒ No | | |
| **b** If any answer is "Yes" to 5a(1)-(5), did **any** of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)? | N/A | 5b | |
| Organizations relying on a current notice regarding disaster assistance check here | ▶ ☐ | | |
| **c** If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? N/A | ☐ Yes ☐ No | | |
| *If "Yes," attach the statement required by Regulations section 53.4945-5(d)* | | | |
| **6a** Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? | ☐ Yes ☒ No | | |
| **b** Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? | | 6b | X |
| *If "Yes" to 6b, file Form 8870* | | | |
| **7a** At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? | ☐ Yes ☒ No | | |
| **b** If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction? | N/A | 7b | |

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

**1 List all officers, directors, trustees, foundation managers and their compensation.**

| (a) Name and address | (b) Title, and average hours per week devoted to position | (c) Compensation (If not paid, enter -0-) | (d) Contributions to employee benefit plans and deferred compensation | (e) Expense account, other allowances |
|---|---|---|---|---|
| See Statement 10 | | 2,916. | 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

**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 | 884,464. |
| b | Average of monthly cash balances | | 1b | 24,038. |
| c | Fair market value of all other assets | | 1c | |
| d | **Total** (add lines 1a, b, and c) | | 1d | 908,502. |
| 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 | 908,502. |
| 4 | Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions) | | 4 | 13,628. |
| 5 | **Net value of noncharitable-use assets.** Subtract line 4 from line 3. Enter here and on Part V, line 4 | | 5 | 894,874. |
| 6 | **Minimum investment return.** Enter 5% of line 5 | | 6 | 44,744. |

## 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 | 44,744. |
| 2a | Tax on investment income for 2013 from Part VI, line 5 | 2a 898. | | |
| b | Income tax for 2013. (This does not include the tax from Part VI.) | 2b | | |
| c | Add lines 2a and 2b | | 2c | 898. |
| 3 | Distributable amount before adjustments. Subtract line 2c from line 1 | | 3 | 43,846. |
| 4 | Recoveries of amounts treated as qualifying distributions | | 4 | 0. |
| 5 | Add lines 3 and 4 | | 5 | 43,846. |
| 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 | 43,846. |

## 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 | 58,127. |
| 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 | 58,127. |
| 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 | 898. |
| 6 | **Adjusted qualifying distributions.** Subtract line 5 from line 4 | 6 | 57,229. |

**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 | | | | 43,846. |
| 2 Undistributed income, if any, as of the end of 2013 | | | | |
| a Enter amount for 2012 only | | | 0. | |
| b Total for prior years: ____ , ____ , ____ | | 0. | | |
| 3 Excess distributions carryover, if any, to 2013: | | | | |
| a From 2008 8,813. | | | | |
| b From 2009 9,871. | | | | |
| c From 2010 9,097. | | | | |
| d From 2011 7,788. | | | | |
| e From 2012 7,722. | | | | |
| f **Total** of lines 3a through e | 43,291. | | | |
| 4 Qualifying distributions for 2013 from Part XII, line 4: ▶ $ 58,127. | | | | |
| a Applied to 2012, but not more than line 2a | | | 0. | |
| b Applied to undistributed income of prior years (Election required - see instructions) | | 0. | | |
| c Treated as distributions out of corpus (Election required - see instructions) | 0. | | | |
| d Applied to 2013 distributable amount | | | | 43,846. |
| e Remaining amount distributed out of corpus | 14,281. | | | |
| 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 | 57,572. | | | |
| b Prior years' undistributed income Subtract line 4b from line 2b | | 0. | | |
| c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed | | 0. | | |
| d Subtract line 6c from line 6b. Taxable amount - see instructions | | 0. | | |
| e Undistributed income for 2012. Subtract line 4a from line 2a. Taxable amount - see instr. | | | 0. | |
| f Undistributed income for 2013. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2014 | | | | 0. |
| 7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) | 0. | | | |
| 8 Excess distributions carryover from 2008 not applied on line 5 or line 7 | 8,813. | | | |
| 9 **Excess distributions carryover to 2014.** Subtract lines 7 and 8 from line 6a | 48,759. | | | |
| 10 Analysis of line 9: | | | | |
| a Excess from 2009 9,871. | | | | |
| b Excess from 2010 9,097. | | | | |
| c Excess from 2011 7,788. | | | | |
| d Excess from 2012 7,722. | | | | |
| e Excess from 2013 14,281. | | | | |

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

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

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

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

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

1 **Information Regarding Foundation Managers:**

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

None

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

None

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

Check here ▶ [X] 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:

See Statement 11

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

c Any submission deadlines:

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

**Part XV Supplementary Information** (continued)

**3 Grants and Contributions Paid During the Year or Approved for Future Payment**

| Recipient Name and address (home or business) | If recipient is an individual, show any relationship to any foundation manager or substantial contributor | Foundation status of recipient | Purpose of grant or contribution | Amount |
|---|---|---|---|---|
| *a Paid during the year* | | | | |
| Caldwell Arts Council<br>601 College Avenue SW<br>Lenoir, NC 28645 | NONE | PC | funding for the expansion of the Junior Appalachian Music program | 1,000. |
| Caldwell County Habitat for Humanity<br>1216 Harper Avenue SW<br>Lenoir, NC 28645 | NONE | PC | funding for the materials needed to frame a "Habitat House" | 9,400. |
| Caldwell Memorial Hospital<br>407 Mulberry Street SW<br>Lenoir, NC 28645 | NONE | PC | funding for expansion of cardiac services | 2,685. |
| Caldwell People, Inc.<br>414 Stonecroft Drive SE<br>Lenoir, NC 28645 | NONE | PC | funding foster children's expenses | 2,209. |
| Caldwell Pregnancy Care Center<br>301 Connelly Springs Road SW<br>Lenoir, NC 28645 | NONE | PC | funding for clients' diapers | 675. |
| **Total** See continuation sheet(s) | | | ▶ 3a | 48,000. |
| *b Approved for future payment* | | | | |
| None | | | | |
| **Total** | | | ▶ 3b | 0. |

## Part XVI-A Analysis of Income-Producing Activities

| Enter gross amounts unless otherwise indicated. | Unrelated business income (a) Business code | Unrelated business income (b) Amount | Excluded by section 512, 513, or 514 (c) Exclusion code | Excluded by section 512, 513, or 514 (d) Amount | (e) Related or exempt function income |
|---|---|---|---|---|---|
| 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 | 22,592. | |
| 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 | | | 14 | 268. | |
| 8 Gain or (loss) from sales of assets other than inventory | | | 18 | 80,656. | |
| 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) | | 0. | | 103,516. | 0. |

**13 Total.** Add line 12, columns (b), (d), and (e) 13 103,516.

(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). |
|---|---|
| | |

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

| | | | Yes | No |
|---|---|---|---|---|
| 1 | Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations? | | | |
| a | Transfers from the reporting foundation to a noncharitable exempt organization of: | | | |
| | (1) Cash | 1a(1) | | X |
| | (2) Other assets | 1a(2) | | X |
| b | Other transactions: | | | |
| | (1) Sales of assets to a noncharitable exempt organization | 1b(1) | | X |
| | (2) Purchases of assets from a noncharitable exempt organization | 1b(2) | | X |
| | (3) Rental of facilities, equipment, or other assets | 1b(3) | | X |
| | (4) Reimbursement arrangements | 1b(4) | | X |
| | (5) Loans or loan guarantees | 1b(5) | | X |
| | (6) Performance of services or membership or fundraising solicitations | 1b(6) | | X |
| c | Sharing of facilities, equipment, mailing lists, other assets, or paid employees | 1c | | X |

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

| (a) Line no | (b) Amount involved | (c) Name of noncharitable exempt organization | (d) Description of transfers, transactions, and sharing arrangements |
|---|---|---|---|
| | | N/A | |

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

**b** If "Yes," complete the following schedule.

| (a) Name of organization | (b) Type of organization | (c) Description of relationship |
|---|---|---|
| N/A | | |

**Sign Here**

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

John C Hogan, PRESIDENT | 5/6 2014 | President

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 C. Hogan | John C Hogan | 5/6 2014 | | P00473078 |

Firm's name ▶ John C. Hogan, CPA PLLC — Firm's EIN ▶ 57-1212704

Firm's address ▶ 10601 River Forest Drive, Raleigh, NC 27614 — Phone no. 919-846-1772

# 2013 ENHANCED SUMMARY



**As of Date: 2/07/14**

HOGAN FAMILY FOUNDATION
10601 RIVER FOREST DR
RALEIGH NC 27614

**Your Financial Consultant :**
INDEPENDENT PORTFOLIO CONSULT
5002 T-REX AVE #225
BOCA RATON, FL 33431
(561) 912-1040

**Account Number· 4309-5143**

## Year-End Account Summary

**This information is NOT provided to the Internal Revenue Service, but is being provided to you for courtesy purposes. Please consult with your Financial Advisor or Tax Advisor regarding specific questions.**

For noncovered transactions, we provide supplemental cost basis information, when it is available, to assist you with completing your tax return, however, THIS INFORMATION IS NOT PROVIDED TO THE INTERNAL REVENUE SERVICE

### SHORT TERM GAINS OR LOSSES (Box 1c) FOR COVERED SECURITIES (Box 6)
### Proceeds from Broker and Barter Exchange Transactions for 2013

| 8-Description / CUSIP<br>1a-Date of Sale or Exchange | 1e-Quantity Sold | 1b-Date of Acquisition | 2a-Sales Price* | 3-Cost or Other Basis | Supplemental Information<br>Gain or Loss Amount | Additional Information | |
|---|---|---|---|---|---|---|---|
| ACCENTURE PLC IRELAND / G1151C101<br>SHARES CLASS A | | | | | | | |
| 03/22/13 | 34 0000 | 11/15/12 | 2,510 25 | 2,198 13 | 312 12 | SALE | |
| 08/09/13 | 69.0000 | 11/15/12 | 5,089 33 | 4,460 91 | 628 42 | SALE | |
| ACTAVIS INC / 00507K103 | | | | | | | |
| 02/14/13 | 38 0000 | 07/02/12 | 3,273 90 | 2,842.20 | 431 70 | SALE | |
| AKAMAI TECH INC / 00971T101 | | | | | | | |
| 01/10/13 | 84 0000 | 07/23/12 | 3,322 42 | 2,407 53 | 914.89 | SALE | |
| 03/08/13 | 98 0000 | 07/23/12 | 3,649 04 | 2,808 77 | 840 27 | SALE | |
| AMERICAN INTL GROUP INC / 026874784 | | | | | | | |
| 09/12/13 | 27.0000 | 10/09/12 | 1,333 77 | 964 79 | 368 98 | SALE | |
| ANADARKO PETROLEUM CORP / 032511107 | | | | | | | |
| 12/05/13 | 39 0000 | 08/09/13 | 3,431 74 | 3,504 03 | -72.29 | SALE | |
| APACHE CORP COMMON / 037411105 | | | | | | | |
| 02/26/13 | 78.0000 | 11/07/12 | 5,747.40 | 6,247.26 | -499 86 | SALE | |
| AT & T INC / 00206R102 | | | | | | | |
| | *18 0000* | *04/30/12* | *619.19* | *591.90* | *27.29* | | |
| | *143 0000* | *11/09/12* | *4,919 10* | *4,796 92* | *122 18* | | |
| 01/10/13 | 161 0000 | Various | 5,538.29 | 5,388 82 | 149 47 | SALE | TOTAL 2 LOTS |
| AVERY DENNISON CORP / 053611109 | | | | | | | |
| | *7 0000* | *05/02/13* | *309.09* | *288 93* | *20.16* | | |

INDEPENDENT PORTFOLIO CONSULTANTS

Securities offered through Managed Account Services LLC

# 2013 ENHANCED SUMMARY



**As of Date: 2/07/14**

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**Your Financial Consultant :**
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BOCA RATON, FL 33431
(561) 912-1040

**Account Number: 4309-5143**

## Year-End Account Summary

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**SHORT TERM GAINS OR LOSSES (Box 1c) FOR COVERED SECURITIES (Box 6)** *continued*

**Proceeds from Broker and Barter Exchange Transactions for 2013**

| 8-Description / CUSIP<br>1a-Date of Sale or Exchange | 1e-Quantity Sold | 1b-Date of Acquisition | 2a-Sales Price* | 3-Cost or Other Basis | Supplemental Information<br>Gain or Loss Amount | Additional Information | |
|---|---|---|---|---|---|---|---|
| | *66.0000* | *05/10/13* | *2,914.22* | *2,850 36* | *63 86* | | |
| 10/24/13 | 73.0000 | Various | 3,223.31 | 3,139.29 | 84 02 | SALE | TOTAL 2 LOTS |
| AVNET INC / 053807103 | | | | | | | |
| 11/20/13 | 146 0000 | 02/14/13 | 5,964.68 | 5,310.02 | 654 66 | SALE | |
| BLACKROCK INC / 09247X101 | | | | | | | |
| 08/22/13 | 27.0000 | 02/05/13 | 7,227.91 | 6,429.85 | 798.06 | SALE | |
| CAMPBELL SOUP COMPANY / 134429109 | | | | | | | |
| 09/05/13 | 130.0000 | 06/20/13 | 5,446 46 | 5,699.12 | -252.66 | SALE | |
| CARDINAL HEALTH INC / 14149Y108 | | | | | | | |
| 11/25/13 | 22.0000 | 08/09/13 | 1,433 15 | 1,137 16 | 295.99 | SALE | |
| CONAGRA FOODS INC / 205887102 | | | | | | | |
| 09/16/13 | 24 0000 | 10/10/12 | 769.66 | 669.33 | 100.33 | SALE | |
| 09/19/13 | 178 0000 | 10/10/12 | 5,493.26 | 4,964 17 | 529.09 | SALE | |
| CONSTELLATION BRANDS / 21036P108<br>INC CL A | | | | | | | |
| 02/14/13 | 83.0000 | 04/05/12 | 3,570 75 | 1,788.80 | 1,781.95 | SALE | |
| CORNING INC / 219350105 | | | | | | | |
| 09/06/13 | 477 0000 | 12/05/12 | 6,851.75 | 5,943.42 | 908.33 | SALE | |
| COVANTA HOLDING CORP / 22282E102 | | | | | | | |
| | *52.0000* | *07/09/12* | *996.12* | *883.89* | *112.23* | *Original Basis 891 63* | |
| | *36 0000* | *07/10/12* | *689.61* | *612.32* | *77.29* | *Original Basis 617 68* | |
| | *62.0000* | *09/25/12* | *1,187 66* | *1,054.64* | *133.02* | *Original Basis 1063 94* | |
| 01/08/13 | 150 0000 | Various | 2,873.39 | 2,550.85 | 322.54 | SALE | TOTAL 3 LOTS |



YT315039 005349 0391042 152 15

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## Year-End Account Summary

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**SHORT TERM GAINS OR LOSSES (Box 1c) FOR COVERED SECURITIES (Box 6)** ***continued***

**Proceeds from Broker and Barter Exchange Transactions for 2013**

| 8-Description / CUSIP<br>1a-Date of Sale or Exchange | 1e-Quantity Sold | 1b-Date of Acquisition | 2a-Sales Price* | 3-Cost or Other Basis | Supplemental Information<br>Gain or Loss Amount | Additional Information | |
|---|---|---|---|---|---|---|---|
| | *18 0000* | *07/09/12* | *343 69* | *305 95* | *37 74* | *Original Basis 308 63* | |
| | *65 0000* | *07/11/12* | *1,241.12* | *1,104.44* | *136.68* | *Original Basis 1114 12* | |
| | *56.0000* | *07/12/12* | *1,069 28* | *949 10* | *120 18* | *Original Basis 957 44* | |
| 01/25/13 | 139 0000 | Various | 2,654 09 | 2,359 49 | 294 60 | SALE | TOTAL 3 LOTS |
| DISCOVER FINANCIAL / 254709108 | | | | | | | |
| 09/16/13 | 17 0000 | 01/10/13 | 880.33 | 689 22 | 191.11 | SALE | |
| DOLLAR TREE STORES INC / 256746108 | | | | | | | |
| 12/20/13 | 118.0000 | 06/20/13 | 6,528.73 | 5,834.95 | 693.78 | SALE | |
| DOMTAR CORP NEW / 257559203 | | | | | | | |
| 02/11/13 | 8 0000 | 08/24/12 | 610 90 | 573 11 | 37 79 | SALE | |
| 02/12/13 | 28 0000 | 08/24/12 | 2,141 04 | 2,005 87 | 135 17 | SALE | |
| DR PEPPER SNAPPLE GROUP / 26138E109 INC | | | | | | | |
| 10/31/13 | 121 0000 | 05/10/13 | 5,730 18 | 5,912 92 | -182.74 | SALE | |
| ENERGIZER HOLDINGS INC / 29266R108 | | | | | | | |
| 06/20/13 | 32 0000 | 12/05/12 | 3,173.21 | 2,546 91 | 626.30 | SALE | |
| EXPEDIA INC / 30212P303 | | | | | | | |
| 05/10/13 | 87.0000 | 01/25/13 | 4,997 57 | 5,777.36 | -779 79 | SALE | |
| EXXON MOBIL CORP / 30231G102 | | | | | | | |
| | *37.0000* | *09/19/12* | *3,490.34* | *3,373.16* | *117.18* | | |
| | *52 0000* | *11/14/12* | *4,905.35* | *4,502.78* | *402 57* | | |
| 07/18/13 | 89.0000 | Various | 8,395 69 | 7,875 94 | 519 75 | SALE | TOTAL 2 LOTS |
| FRANKLIN RESOURCES INC / 354613101 | | | | | | | |
| | *69 0000* | *09/28/12* | *3,213.55* | *2,868.91* | *344.64* | | |

INDEPENDENT PORTFOLIO CONSULTANTS
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# 2013 ENHANCED SUMMARY



As of Date: 2/07/14

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**Account Number: 4309-5143**

## Year-End Account Summary

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**SHORT TERM GAINS OR LOSSES (Box 1c) FOR COVERED SECURITIES (Box 6)** *continued*
**Proceeds from Broker and Barter Exchange Transactions for 2013**

| 8-Description / CUSIP<br>1a-Date of Sale or Exchange | 1e-Quantity Sold | 1b-Date of Acquisition | 2a-Sales Price* | 3-Cost or Other Basis | Supplemental Information<br>Gain or Loss Amount | Additional Information | |
|---|---|---|---|---|---|---|---|
| | *66.0000* | *10/09/12* | *3,073.83* | *2,834.61* | *239 22* | | |
| 08/21/13 | 135 0000 | Various | 6,287.38 | 5,703.52 | 583.86 | SALE | TOTAL 2 LOTS |
| FREEPORT-MCMORAN COPPER / 35671D857<br>& GOLD INC<br>CLASS B | | | | | | | |
| 05/23/13 | 174.0000 | 10/23/12 | 5,361.71 | 6,818.31 | -1,456.60 | SALE | |
| GAMESTOP CORP CLASS A / 36467W109 | | | | | | | |
| | *52.0000* | *10/24/13* | *2,461.75* | *2,856.09* | *-394.34* | | |
| | *32.0000* | *11/25/13* | *1,514.93* | *1,595.62* | *-80.69* | | |
| 12/13/13 | 84.0000 | Various | 3,976.68 | 4,451 71 | -475.03 | SALE | TOTAL 2 LOTS |
| GANNETT CO INC DEL / 364730101 | | | | | | | |
| | *197.0000* | *10/23/12* | *4,218.27* | *3,514 28* | *703.99* | | |
| | *83.0000* | *02/14/13* | *1,777.23* | *1,635 50* | *141.73* | | |
| 05/10/13 | 280.0000 | Various | 5,995.50 | 5,149.78 | 845.72 | SALE | TOTAL 2 LOTS |
| GAP INC / 364760108 | | | | | | | |
| 09/16/13 | 13.0000 | 02/12/13 | 542.87 | 422.82 | 120.05 | SALE | |
| | *82.0000* | *01/10/13* | *3,034.53* | *2,564.64* | *469 89* | | |
| | *69.0000* | *02/12/13* | *2,553 43* | *2,244 15* | *309.28* | | |
| 10/18/13 | 151.0000 | Various | 5,587.96 | 4,808.79 | 779.17 | SALE | TOTAL 2 LOTS |
| GOLDMAN SACHS GROUP INC / 38141G104 | | | | | | | |
| 09/16/13 | 6.0000 | 01/25/13 | 1,001.08 | 867.33 | 133.75 | SALE | |
| 09/19/13 | 16.0000 | 01/25/13 | 2,697.40 | 2,312.86 | 384.54 | SALE | |
| 10/24/13 | 31.0000 | 01/25/13 | 4,964.39 | 4,481.15 | 483.24 | SALE | |
| HALLIBURTON COMPANY / 406216101 | | | | | | | |
| | *32 0000* | *03/22/13* | *1,593.06* | *1,254.07* | *338.99* | | |



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# 2013 ENHANCED SUMMARY



**As of Date: 2/07/14**

HOGAN FAMILY FOUNDATION
10601 RIVER FOREST DR
RALEIGH NC 27614

**Your Financial Consultant :**
INDEPENDENT PORTFOLIO CONSULT
5002 T-REX AVE #225
BOCA RATON, FL 33431
(561) 912-1040

**Account Number: 4309-5143**

## Year-End Account Summary

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**SHORT TERM GAINS OR LOSSES (Box 1c) FOR COVERED SECURITIES (Box 6)** ***continued***

**Proceeds from Broker and Barter Exchange Transactions for 2013**

| 8-Description / CUSIP<br>1a-Date of Sale or Exchange | 1e-Quantity Sold | 1b-Date of Acquisition | 2a-Sales Price* | 3-Cost or Other Basis | Supplemental Information<br>Gain or Loss Amount | Additional Information | |
|---|---|---|---|---|---|---|---|
| | *100 0000* | *05/23/13* | *4,978 31* | *4,318.99* | *659.32* | | |
| 09/16/13 | 132 0000 | Various | 6,571 37 | 5,573 06 | 998.31 | SALE | TOTAL 2 LOTS |
| HELMERICH & PAYNE INC / 423452101 | | | | | | | |
| 08/20/13 | 41 0000 | 02/12/13 | 2,663.72 | 2,658 83 | 4 89 | SALE | |
| HOST HOTELS & RESORTS / 44107P104 | | | | | | | |
| 08/22/13 | 153 0000 | 05/23/13 | 2,608 10 | 2,750 48 | -142 38 | SALE | |
| IAC/INTERACTIVECORP / 44919P508 | | | | | | | |
| 03/22/13 | 59 0000 | 12/05/12 | 2,600.60 | 2,590 08 | 10 52 | SALE | |
| 11/20/13 | 59 0000 | 07/30/13 | 3,296 66 | 3,103 17 | 193 49 | SALE | |
| 12/05/13 | 50 0000 | 07/30/13 | 2,802 14 | 2,629 80 | 172 34 | SALE | |
| INTERNATIONAL BUSINESS / 459200101 MACHINE CORP | | | | | | | |
| 09/16/13 | 7 0000 | 02/26/13 | 1,348 45 | 1,395 87 | -47 42 | SALE | |
| 10/24/13 | 5 0000 | 02/26/13 | 888 02 | 997 05 | -109 03 | SALE | |
| INTERNATIONAL GAME / 459902102 TECHNOLOGY | | | | | | | |
| 09/16/13 | 31 0000 | 02/13/13 | 648 19 | 509 35 | 138 84 | SALE | |
| 09/19/13 | 92.0000 | 02/13/13 | 1,931.81 | 1,511.62 | 420 19 | SALE | |
| 11/12/13 | 202 0000 | 02/13/13 | 3,617.29 | 3,318 98 | 298 31 | SALE | |
| JARDEN CORP / 471109108 | | | | | | | |
| 06/20/13 | 72 0000 | 02/01/13 | 3,118.91 | 2,862 96 | 255 95 | SALE | |

INDEPENDENT PORTFOLIO CONSULTANTS

Securities offered through Managed Account Services, LLC

# 2013 ENHANCED SUMMARY



**As of Date: 2/07/14**

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RALEIGH NC 27614

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5002 T-REX AVE #225
BOCA RATON, FL 33431
(561) 912-1040

**Account Number: 4309-5143**

## Year-End Account Summary

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**SHORT TERM GAINS OR LOSSES (Box 1c) FOR COVERED SECURITIES (Box 6)**
**Proceeds from Broker and Barter Exchange Transactions for 2013**

*continued*

| 8-Description / CUSIP<br>1a-Date of Sale or Exchange | 1e-Quantity Sold | 1b-Date of Acquisition | 2a-Sales Price* | 3-Cost or Other Basis | Supplemental Information<br>Gain or Loss Amount | Additional Information | |
|---|---|---|---|---|---|---|---|
| LEAR CORP / 521865204<br>06/20/13 | 64 0000 | 08/24/12 | 3,763 32 | 2,548 09 | 1,215 23 | SALE | |
| MACY'S INC / 55616P104<br>09/16/13 | 34.0000 | 09/17/12 | 1,527.34 | 1,317.92 | 209.42 | SALE | |
| MERCK & CO INC NEW / 58933Y105<br>05/23/13 | 66.0000 | 06/12/12 | 3,109 23 | 2,559.38 | 549 85 | SALE | |
| MICROSOFT CORP / 594918104<br>07/18/13 | 64 0000 | 08/03/12 | 2,262 34 | 1,911.65 | 350.69 | SALE | |
| NORFOLK SOUTHERN CORP / 655844108<br>09/16/13 | 8.0000 | 05/02/13 | 611 10 | 612 16 | -1.06 | SALE | |
| NV ENERGY INC / 67073Y106<br>12/05/13 | 271 0000 | 05/23/13 | 6,411.93 | 5,496 53 | 915 40 | SALE | |
| PEABODY ENERGY CORP / 704549104<br>08/09/13 | 133 0000 | 03/28/13 | 2,307.67 | 2,808.04 | -500 37 | SALE | |
| PINNACLE WEST CAP CORP / 723484101<br>09/16/13 | 11 0000 | 10/10/12 | 590 46 | 581.80 | 8 66 | SALE | |
| PLAINS EXPLORATION & / 726505100<br>PRODUCTION CO | | | | | | | |
| | *48.0000* | *07/16/12* | *2,273 75* | *1,870.76* | *402 99* | | |
| | *19 0000* | *07/17/12* | *900.04* | *735.95* | *164.09* | | |
| | *61 0000* | *08/10/12* | *2,889.56* | *2,489.08* | *400.48* | | |
| 01/25/13 | 128.0000 | Various | 6,063 35 | 5,095 79 | 967.56 | SALE | TOTAL 3 LOTS |



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# 2013 ENHANCED SUMMARY



As of Date: 2/07/14

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RALEIGH NC 27614

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## Year-End Account Summary

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**SHORT TERM GAINS OR LOSSES (Box 1c) FOR COVERED SECURITIES (Box 6)**
**Proceeds from Broker and Barter Exchange Transactions for 2013**

*continued*

| 8-Description / CUSIP<br>1a-Date of Sale or Exchange | 1e-Quantity Sold | 1b-Date of Acquisition | 2a-Sales Price* | 3-Cost or Other Basis | Supplemental Information<br>Gain or Loss Amount | Additional Information |
|---|---|---|---|---|---|---|
| PLUM CREEK TIMBER CO INC / 729251108 DEPOSITARY UNIT | | | | | | |
| 01/25/13 | 61 0000 | 09/17/12 | 2,889 57 | 2,668 58 | 220.99 | SALE |
| 05/02/13 | 64 0000 | 09/17/12 | 3,259.58 | 2,799 81 | 459 77 | SALE |
| PROCTER & GAMBLE CO / 742718109 | | | | | | |
| 09/16/13 | 8.0000 | 02/05/13 | 640 14 | 611.95 | 28.19 | SALE |
| REGIONS FINANCIAL CORP / 7591EP100 (NEW) | | | | | | |
| 11/26/13 | 639 0000 | 09/16/13 | 6,249 31 | 6,114 59 | 134.72 | SALE |
| SANDISK CORPORATION / 80004C101 | | | | | | |
| 09/19/13 | 57 0000 | 04/19/13 | 3,415.90 | 2,985 77 | 430 13 | SALE |
| SERVICE CORP INTERNATL / 817565104 | | | | | | |
| 12/20/13 | 202.0000 | 08/09/13 | 3,498 75 | 3,863.33 | -364.58 | SALE |
| SMITHFIELD FOODS INC / 832248108 | | | | | | |
| 05/29/13 | 212 0000 | 04/11/13 | 6,881 53 | 5,468.94 | 1,412.59 | SALE |
| STATE STR CORP / 857477103 | | | | | | |
| 09/16/13 | 10 0000 | 04/01/13 | 687 48 | 584 98 | 102.50 | SALE |
| SYNOPSYS CORP / 871607107 | | | | | | |
| | *87 0000* | *01/20/12* | *2,738.02* | *2,535 45* | *202 57* | |
| | *86.0000* | *06/20/12* | *2,706 54* | *2,520.04* | *186.50* | |
| 01/10/13 | 173.0000 | Various | 5,444.56 | 5,055 49 | 389 07 | SALE TOTAL 2 LOTS |

INDEPENDENT PORTFOLIO CONSULTANTS

Securities offered through Managed Account Services, LLC

# 2013 ENHANCED SUMMARY



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BOCA RATON, FL 33431
(561) 912-1040

Account Number: 4309-5143

## Year-End Account Summary

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**SHORT TERM GAINS OR LOSSES (Box 1c) FOR COVERED SECURITIES (Box 6)**
**Proceeds from Broker and Barter Exchange Transactions for 2013**

*continued*

| 8-Description / CUSIP<br>1a-Date of Sale or Exchange | 1e-Quantity Sold | 1b-Date of Acquisition | 2a-Sales Price* | 3-Cost or Other Basis | Supplemental Information<br>Gain or Loss Amount | Additional Information | |
|---|---|---|---|---|---|---|---|
| THERMO FISHER SCIENTIFIC / 883556102 INC | | | | | | | |
| 09/16/13 | 7.0000 | 03/08/13 | 642.30 | 538.74 | 103.56 | SALE | |
| 12/20/13 | 25.0000 | 03/08/13 | 2,715.40 | 1,924.04 | 791.36 | SALE | |
| TRAVELERS COS INC/ THE / 89417E109 | | | | | | | |
| 09/16/13 | 9.0000 | 02/12/13 | 760.21 | 719 11 | 41.10 | SALE | |
| 12/05/13 | 75.0000 | 02/12/13 | 6,599.12 | 5,992.57 | 606.55 | SALE | |
| UNITEDHEALTH GROUP / 91324P102 INC | | | | | | | |
| 02/14/13 | 62 0000 | 08/28/12 | 3,541.47 | 3,391 36 | 150.11 | SALE | |
| URBAN OUTFITTERS INC / 917047102 | | | | | | | |
| 03/22/13 | 73.0000 | 12/05/12 | 2,832.52 | 2,656.16 | 176.36 | SALE | |
| VARIAN MEDICAL SYSTEMS / 92220P105 INC | | | | | | | |
| | *38 0000* | *12/10/12* | *2,573.37* | *2,717.91* | *-144.54* | | |
| | *43.0000* | *02/26/13* | *2,911.99* | *2,963 35* | *-51 36* | | |
| 04/17/13 | 81 0000 | Various | 5,485.36 | 5,681.26 | -195.90 | SALE | TOTAL 2 LOTS |
| WALGREEN COMPANY / 931422109 | | | | | | | |
| 02/11/13 | 179.0000 | 10/10/12 | 7,427.95 | 6,370 00 | 1,057.95 | SALE | |
| WELLS FARGO COMPANY / 949746101 | | | | | | | |
| 04/01/13 | 84.0000 | 04/18/12 | 3,101.62 | 2,824.56 | 277.06 | SALE | |
| WEYERHAEUSER CO / 962166104 | | | | | | | |
| | *108.0000* | *05/16/13* | *2,927.30* | *3,446.61* | *-519.31* | | |
| | *91.0000* | *05/23/13* | *2,466.51* | *2,923.26* | *-456.75* | | |

# 2013 ENHANCED SUMMARY



As of Date: 2/07/14

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(561) 912-1040

Account Number: 4309-5143

## Year-End Account Summary

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### SHORT TERM GAINS OR LOSSES (Box 1c) FOR COVERED SECURITIES (Box 6)
**Proceeds from Broker and Barter Exchange Transactions for 2013**

*continued*

| 8-Description / CUSIP<br>1a-Date of Sale or Exchange | 1e-Quantity Sold | 1b-Date of Acquisition | 2a-Sales Price* | 3-Cost or Other Basis | Supplemental Information<br>Gain or Loss Amount | Additional Information | |
|---|---|---|---|---|---|---|---|
| 06/20/13 | 199.0000 | Various | 5,393.81 | 6,369.87 | -976 06 | SALE | TOTAL 2 LOTS |
| YAHOO INC / 984332106 | | | | | | | |
| 09/16/13 | 24 0000 | 01/25/13 | 708.23 | 488 72 | 219 51 | SALE | |
| 10/08/13 | 90 0000 | 01/25/13 | 2,971.34 | 1,832 70 | 1,138 64 | SALE | |
| 12/05/13 | 49.0000 | 01/25/13 | 1,903.74 | 997 81 | 905 93 | SALE | |
| 3M CO / 88579Y101 | | | | | | | |
| 02/12/13 | 35 0000 | 03/27/12 | 3,605 40 | 3,125.45 | 479.95 | SALE | |
| **TOTAL SHORT TERM GAINS OR LOSSES FOR COVERED SECURITIES** | | | **287,674.46** | **262,944.89** | **24,729.57** | | |

### LONG TERM GAINS OR LOSSES (Box 1c) FOR COVERED SECURITIES (Box 6)
**Proceeds from Broker and Barter Exchange Transactions for 2013**

| 8-Description / CUSIP<br>1a-Date of Sale or Exchange | 1e-Quantity Sold | 1b-Date of Acquisition | 2a-Sales Price* | 3-Cost or Other Basis | Supplemental Information<br>Gain or Loss Amount | Additional Information | |
|---|---|---|---|---|---|---|---|
| ALASKA AIR GROUP INC / 011659109 | | | | | | | |
| | *14 0000* | *01/27/11* | *651 72* | *433 25* | *218 47* | | |
| | *46 0000* | *01/28/11* | *2,141 40* | *1,396 32* | *745 08* | | |
| 02/01/13 | 60 0000 | Various | 2,793 12 | 1,829.57 | 963 55 | SALE | TOTAL 2 LOTS |
| 09/16/13 | 9 0000 | 01/28/11 | 553 31 | 273 20 | 280 11 | SALE | |
| ALLSTATE CORP / 020002101 | | | | | | | |
| 09/12/13 | 37 0000 | 04/18/12 | 1,866.61 | 1,220.62 | 645.99 | SALE | |
| AT & T INC / 00206R102 | | | | | | | |
| 05/23/13 | 86 0000 | 04/30/12 | 3,146 21 | 2,827.97 | 318.24 | SALE | |

INDEPENDENT PORTFOLIO CONSULTANTS

Securities offered through Managed Account Services LLC

# 2013 ENHANCED SUMMARY



As of Date: 2/07/14

HOGAN FAMILY FOUNDATION
10601 RIVER FOREST DR
RALEIGH NC 27614

Your Financial Consultant :
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5002 T-REX AVE #225
BOCA RATON, FL 33431
(561) 912-1040

Account Number: 4309-5143

## Year-End Account Summary

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**LONG TERM GAINS OR LOSSES (Box 1c) FOR COVERED SECURITIES (Box 6)** *continued*

**Proceeds from Broker and Barter Exchange Transactions for 2013**

| 8-Description / CUSIP<br>1a-Date of Sale or Exchange | 1e-Quantity Sold | 1b-Date of Acquisition | 2a-Sales Price* | 3-Cost or Other Basis | Supplemental Information<br>Gain or Loss Amount | Additional Information | |
|---|---|---|---|---|---|---|---|
| BIOGEN IDEC INC / 09062X103 | | | | | | | |
| 06/14/13 | 6.0000 | 08/22/11 | 1,266.27 | 539 56 | 726.71 | SALE | |
| BOEING CO / 097023105 | | | | | | | |
| 09/12/13 | 22 0000 | 07/18/12 | 2,412.69 | 1,628 54 | 784.15 | SALE | |
| BRISTOL MYERS SQUIBB / 110122108 CO | | | | | | | |
| 08/09/13 | 101 0000 | 09/01/11 | 4,411.78 | 3,017 89 | 1,393.89 | SALE | |
| CHUBB CORP / 171232101 | | | | | | | |
| 07/17/13 | 55.0000 | 12/13/11 | 4,832.97 | 3,732.55 | 1,100.42 | SALE | |
| CISCO SYSTEMS INC / 17275R102 | | | | | | | |
| 09/12/13 | 64 0000 | 11/08/11 | 1,559.01 | 1,170 56 | 388 45 | SALE | |
| 10/18/13 | 99.0000 | 11/08/11 | 2,276 90 | 1,810 71 | 466.19 | SALE | |
| | *49 0000* | *10/21/11* | *1,097.63* | *848.39* | *249.24* | | |
| | *108 0000* | *11/08/11* | *2,419.26* | *1,975 32* | *443.94* | | |
| 10/24/13 | 157 0000 | Various | 3,516.89 | 2,823 71 | 693 18 | SALE | TOTAL 2 LOTS |
| 12/20/13 | 194.0000 | 10/21/11 | 4,112 72 | 3,358 91 | 753 81 | SALE | |
| CITIGROUP INC NEW / 172967424 | | | | | | | |
| 10/29/13 | 138 0000 | 10/26/12 | 6,951 10 | 5,061 52 | 1,889.58 | SALE | |
| COMCAST CORP NEW CL A / 20030N101 | | | | | | | |
| 09/12/13 | 62.0000 | 06/12/12 | 2,701.35 | 1,883.65 | 817.70 | SALE | |
| COVIDIEN PLC / G2554F113 | | | | | | | |
| 09/12/13 | 25.0000 | 05/17/12 | 1,546.24 | 1,228.57 | 317 67 | SALE | |



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# 2013 ENHANCED SUMMARY



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RALEIGH NC 27614

Your Financial Consultant .
INDEPENDENT PORTFOLIO CONSULT
5002 T-REX AVE #225
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(561) 912-1040

Account Number: 4309-5143

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**LONG TERM GAINS OR LOSSES (Box 1c) FOR COVERED SECURITIES (Box 6)**
**Proceeds from Broker and Barter Exchange Transactions for 2013**

*continued*

| 8-Description / CUSIP<br>1a-Date of Sale or Exchange | 1e-Quantity Sold | 1b-Date of Acquisition | 2a-Sales Price* | 3-Cost or Other Basis | Supplemental Information<br>Gain or Loss Amount | Additional Information |
|---|---|---|---|---|---|---|
| 12/05/13 | 29 0000 | 05/17/12 | 1,955 14 | 1,425 14 | 530 00 | SALE |
| DIRECTV / 25490A309 | | | | | | |
| 08/09/13 | 78.0000 | 05/18/11 | 4,882 64 | 3,902.86 | 979 78 | SALE |
| DISNEY WALT COMPANY / 254687106 | | | | | | |
| 06/13/13 | 73 0000 | 03/02/12 | 4,675 98 | 3,098 27 | 1,577.71 | SALE |
| FOOT LOCKER INC / 344849104 | | | | | | |
| 09/06/13 | 103 0000 | 03/23/11 | 3,366 48 | 1,944 83 | 1,421 65 | SALE |
| GENERAL MOTORS CO / 37045V100 | | | | | | |
| 04/04/13 | 104 0000 | 02/21/12 | 2,891 49 | 2,848 08 | 43 41 | SALE |
| JPMORGAN CHASE & CO / 46625H100 | | | | | | |
| 03/28/13 | 37.0000 | 03/21/12 | 1,754 87 | 1,672 29 | 82 58 | SALE |
| 09/16/13 | 14.0000 | 03/21/12 | 743 38 | 632.76 | 110 62 | SALE |
| KEYCORP NEW / 493267108 | | | | | | |
| 09/16/13 | 168 0000 | 11/14/11 | 2,023 27 | 1,222 88 | 800 39 | SALE |
| KROGER COMPANY COMMON / 501044101 | | | | | | |
| 08/09/13 | 57 0000 | 03/28/12 | 2,215 47 | 1,384.39 | 831 08 | SALE |
| MALLINCKRODT PLC / G5785G107 | | | | | | |
| 07/17/13 | 14 0000 | 05/17/12 | 582.43 | 527 28 | 55.15 | SALE |
| MARATHON OIL CORP / 565849106 | | | | | | |
| 09/16/13 | 20 0000 | 08/22/11 | 707 59 | 516.83 | 190 76 | SALE |
| 10/24/13 | 72.0000 | 08/22/11 | 2,565 10 | 1,860.58 | 704.52 | SALE |

INDEPENDENT PORTFOLIO CONSULTANTS

Securities offered through Managed Account Services LLC

# 2013 ENHANCED SUMMARY



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**LONG TERM GAINS OR LOSSES (Box 1c) FOR COVERED SECURITIES (Box 6)**
**Proceeds from Broker and Barter Exchange Transactions for 2013**

*continued*

| 8-Description / CUSIP<br>1a-Date of Sale or Exchange | 1e-Quantity Sold | 1b-Date of Acquisition | 2a-Sales Price* | 3-Cost or Other Basis | Supplemental Information<br>Gain or Loss Amount | Additional Information | |
|---|---|---|---|---|---|---|---|
| MCKESSON CORPORATION / 58155Q103 | | | | | | | |
| 03/05/13 | 12 0000 | 11/18/11 | 1,303.17 | 967.88 | 335.29 | SALE | |
| 09/16/13 | 5.0000 | 11/18/11 | 648 08 | 403.28 | 244 80 | SALE | |
| 11/25/13 | 14.0000 | 11/18/11 | 2,306.93 | 1,129 18 | 1,177 75 | SALE | |
| MERCK & CO INC NEW / 58933Y105 | | | | | | | |
| 05/23/13 | 79 0000 | 05/17/12 | 3,721 66 | 3,019.14 | 702 52 | SALE | |
| 08/09/13 | 111 0000 | 05/17/12 | 5,384 97 | 4,242.07 | 1,142 90 | SALE | |
| NVR INC / 62944T105 | | | | | | | |
| 05/16/13 | 7.0000 | 02/28/11 | 7,011.40 | 5,126 61 | 1,884 79 | SALE | |
| ORACLE CORPORATION / 68389X105 | | | | | | | |
| 09/16/13 | 78 0000 | 06/29/11 | 2,568 80 | 2,527.17 | 41.63 | SALE | |
| PFIZER INCORPORATED / 717081103 | | | | | | | |
| | *27.0000* | *06/12/12* | *773 91* | *598 63* | *175.28* | | |
| | *81.0000* | *08/03/12* | *2,321.69* | *1,961.52* | *360 17* | | |
| 09/16/13 | 108 0000 | Various | 3,095.60 | 2,560 15 | 535 45 | SALE | TOTAL 2 LOTS |
| PHILIP MORRIS / 718172109 INTERNATIONAL INC | | | | | | | |
| | *121 0000* | *08/04/11* | *10,607.30* | *8,306 01* | *2,301.29* | | |
| | *7.0000* | *09/07/11* | *613.64* | *482 25* | *131.39* | | |
| 02/05/13 | 128.0000 | Various | 11,220.94 | 8,788.26 | 2,432 68 | SALE | TOTAL 2 LOTS |
| SIMON PROPERTY GROUP / 828806109 REIT INC NEW | | | | | | | |
| | *1.0000* | *08/22/11* | *179 32* | *110.52* | *68.80* | | |
| | *26.0000* | *10/24/11* | *4,662 11* | *3,166.87* | *1,495 24* | | |



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# 2013 ENHANCED SUMMARY



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Account Number: 4309-5143

## Year-End Account Summary

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### LONG TERM GAINS OR LOSSES (Box 1c) FOR COVERED SECURITIES (Box 6)

*continued*

**Proceeds from Broker and Barter Exchange Transactions for 2013**

| 8-Description / CUSIP<br>1a-Date of Sale or Exchange | 1e-Quantity Sold | 1b-Date of Acquisition | 2a-Sales Price* | 3-Cost or Other Basis | Supplemental Information<br>Gain or Loss Amount | Additional Information | |
|---|---|---|---|---|---|---|---|
| 05/10/13 | 27 0000 | Various | 4,841 43 | 3,277.39 | 1,564 04 | SALE | TOTAL 2 LOTS |
| 09/19/13 | 28 0000 | 08/22/11 | 4,365 06 | 3,094 52 | 1,270.54 | SALE | |
| UNION PACIFIC CORP / 907818108 | | | | | | | |
| 02/12/13 | 41.0000 | 01/31/12 | 5,491.97 | 4,676 47 | 815.50 | SALE | |
| WELLS FARGO COMPANY / 949746101 | | | | | | | |
| 05/23/13 | 119 0000 | 04/18/12 | 4,774.98 | 4,001 45 | 773.53 | SALE | |
| WYNDHAM WORLDWIDE CORP / 98310W108 | | | | | | | |
| 07/29/13 | 72 0000 | 11/18/11 | 4,430 61 | 2,449 02 | 1,981.59 | SALE | |
| ZIMMER HOLDINGS INC / 98956P102 | | | | | | | |
| 09/16/13 | 19 0000 | 01/12/12 | 1,572 98 | 1,045 32 | 527 66 | SALE | |
| 11/25/13 | 15.0000 | 01/12/12 | 1,356 70 | 825 25 | 531.45 | SALE | |
| 3M CO / 88579Y101 | | | | | | | |
| 05/02/13 | 51 0000 | 03/27/12 | 5,416.80 | 4,554.22 | 862 58 | SALE | |
| **TOTAL LONG TERM GAINS OR LOSSES FOR COVERED SECURITIES** | | | **141,823.09** | **106,131.10** | **35,691.99** | | |

### LONG TERM GAINS OR LOSSES (Box 1c) FOR NONCOVERED SECURITIES (Box 6)

**Proceeds from Broker and Barter Exchange Transactions for 2013**

| 8-Description / CUSIP<br>1a-Date of Sale or Exchange | 1e-Quantity Sold | 1b-Date of Acquisition | 2a-Sales Price* | 3-Cost or Other Basis | Supplemental Information<br>Gain or Loss Amount | Additional Information |
|---|---|---|---|---|---|---|
| AMERICAN FINL GROUP INC / 025932104<br>OHIO | | | | | | |
| 02/05/13 | 62.0000 | 09/08/10 | 2,648.18 | 1,833 68 | 814.50 | SALE |

INDEPENDENT PORTFOLIO CONSULTANTS

Securities offered through Managed Account Services LLC

# 2013 ENHANCED SUMMARY



**As of Date: 2/07/14**

HOGAN FAMILY FOUNDATION
10601 RIVER FOREST DR
RALEIGH NC 27614

**Your Financial Consultant :**
INDEPENDENT PORTFOLIO CONSULT
5002 T-REX AVE #225
BOCA RATON, FL 33431
(561) 912-1040

**Account Number: 4309-5143**

## Year-End Account Summary

**This information is NOT provided to the Internal Revenue Service, but is being provided to you for courtesy purposes. Please consult with your Financial Advisor or Tax Advisor regarding specific questions.**

**LONG TERM GAINS OR LOSSES (Box 1c) FOR NONCOVERED SECURITIES (Box 6)**
**Proceeds from Broker and Barter Exchange Transactions for 2013**

*continued*

| 8-Description / CUSIP<br>1a-Date of Sale or Exchange | 1e-Quantity Sold | 1b-Date of Acquisition | 2a-Sales Price* | 3-Cost or Other Basis | Supplemental Information<br>Gain or Loss Amount | Additional Information | |
|---|---|---|---|---|---|---|---|
| BRISTOL MYERS SQUIBB / 110122108 CO | | | | | | | |
| 08/09/13 | 36.0000 | 07/09/10 | 1,572.52 | 921 36 | 651 16 | SALE | |
| 09/06/13 | 81.0000 | 07/09/10 | 3,404.77 | 2,073.03 | 1,331.74 | SALE | |
| CHEVRON CORPORATION / 166764100 | | | | | | | |
| 03/06/13 | 9.0000 | 12/30/10 | 1,064.05 | 821.88 | 242 17 | SALE | |
| | *2 0000* | *04/13/10* | *244.61* | *160.54* | *84 07* | | |
| | *31.0000* | *12/30/10* | *3,791 41* | *2,830.90* | *960 51* | | |
| 08/09/13 | 33.0000 | Various | 4,036.02 | 2,991 44 | 1,044 58 | SALE | TOTAL 2 LOTS |
| CITIGROUP INC NEW / 172967424 | | | | | | | |
| 06/20/13 | 85 0000 | 12/02/10 | 4,085 56 | 3,767.48 | 318 08 | SALE | |
| 10/29/13 | 31.0000 | 12/02/10 | 1,561.47 | 1,374.02 | 187 45 | SALE | |
| CMS ENERGY CORP / 125896100 | | | | | | | |
| 01/25/13 | 246.0000 | 11/03/10 | 6,204.57 | 4,469.57 | 1,735.00 | SALE | |
| EXXON MOBIL CORP / 30231G102 | | | | | | | |
| 07/18/13 | 3.0000 | 12/21/04 | 283.01 | 154 98 | 128 03 | SALE | |
| 08/09/13 | 33 0000 | 12/21/04 | 2,995.75 | 1,704.78 | 1,290.97 | SALE | |
| GENERAL ELECTRIC COMPANY / 369604103 | | | | | | | |
| 09/16/13 | 26 0000 | 12/30/09 | 627.62 | 397.45 | 230.17 | SALE | |
| HONEYWELL INTERNATIONAL / 438516106 INC | | | | | | | |
| 04/04/13 | 37 0000 | 05/04/10 | 2,721.63 | 1,730.24 | 991.39 | SALE | |



YT315039 005349 039194215315 NNNNN NNNNN NNNNNN 000010

HOGAN FAMILY FOUNDATION
10601 RIVER FOREST DR
RALEIGH NC 27614

Your Financial Consultant :
INDEPENDENT PORTFOLIO CONSULT
5002 T-REX AVE #225
BOCA RATON, FL 33431
(561) 912-1040

Account Number: 4309-5143

## Year-End Account Summary

**This information is NOT provided to the Internal Revenue Service, but is being provided to you for courtesy purposes. Please consult with your Financial Advisor or Tax Advisor regarding specific questions.**

**LONG TERM GAINS OR LOSSES (Box 1c) FOR NONCOVERED SECURITIES (Box 6)**
**Proceeds from Broker and Barter Exchange Transactions for 2013**

*continued*

| 8-Description / CUSIP<br>1a-Date of Sale or Exchange | 1e-Quantity Sold | 1b-Date of Acquisition | 2a-Sales Price* | 3-Cost or Other Basis | Supplemental Information Gain or Loss Amount | Additional Information | |
|---|---|---|---|---|---|---|---|
| INTERNATIONAL BUSINESS / 459200101 MACHINE CORP | | | | | | | |
| 10/24/13 | 42.0000 | 11/04/05 | 7,459 38 | 3,480 16 | 3,979.22 | SALE | |
| MACY'S INC / 55616P104 | | | | | | | |
| | *127 0000* | *12/16/09* | *5,705 07* | *2,188 07* | *3,517.00* | | |
| | *24 0000* | *12/02/10* | *1,078 12* | *614 91* | *463.21* | | |
| 09/16/13 | 151.0000 | Various | 6,783.19 | 2,802 98 | 3,980 21 | SALE | TOTAL 2 LOTS |
| MARATHON OIL CORP / 565849106 | | | | | | | |
| 10/24/13 | 28.0000 | 05/19/10 | 997 55 | 542 87 | 454 68 | SALE | |
| MICROSOFT CORP / 594918104 | | | | | | | |
| | *54 0000* | *04/03/02* | *1,908 85* | *1,513 62* | *395.23* | | |
| | *12 0000* | *06/20/05* | *424 19* | *301.92* | *122.27* | | |
| 07/18/13 | 66 0000 | Various | 2,333 04 | 1,815.54 | 517.50 | SALE | TOTAL 2 LOTS |
| UNITEDHEALTH GROUP / 91324P102 INC | | | | | | | |
| 02/14/13 | 69.0000 | 11/23/10 | 3,941 33 | 2,482 00 | 1,459.33 | SALE | |
| VERIZON COMMUNICATIONS / 92343V104 COM | | | | | | | |
| 02/05/13 | 69 0000 | 09/22/10 | 3,089 63 | 2,241 93 | 847.70 | SALE | |
| **TOTAL LONG TERM GAINS OR LOSSES FOR NONCOVERED SECURITIES** | | | **55,809.27** | **35,605.39** | **20,203.88** | | |

*Box 2a Sales price less commissions and option premiums

## 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 |
|---|---|---|---|---|
| Caldwell Yokefellow, Inc.<br>1602 Harper Avenue NW<br>Lenoir, NC 28645 | NONE | PC | funding for heating assistance program | 6,092. |
| Foundation of Caldwell Community College & Technical Institute, Inc.<br>2835 Hickory Boulevard SW<br>Hudson, NC 28638 | NONE | PC | funding for the "Dream Scholarship" program | 8,000. |
| Grandfather Home for Children, Inc.<br>158 Hickory Nut Gap Road<br>Banner Elk, NC 28604 | NONE | PC | funding for the "Stand by Me" program | 1,100. |
| Helping Hands Clinic, Inc.<br>810 Harper Avenue, SW<br>Lenoir, NC 28645 | NONE | PC | funding the Caldwell Health Access Program | 3,928. |
| James C. Harper School of Performing Arts<br>1113 College Avenue, Suite B<br>Lenoir, NC 28645 | NONE | PC | funding for online music lessons program | 1,800. |
| Meals on Wheels of Wake County, Inc.<br>1001 Blair Drive<br>Raleigh, NC 27627 | NONE | PC | funding to feed needy seniors | 1,900. |
| Morganton Day School<br>305 West Concord Street<br>Morganton, NC 28655 | NONE | PC | funding for LEGO/DUPLO equipment for Junior Kindergarten | 800. |
| Rape Crisis Center of Catawba County, Inc.<br>1220 Commerce Street SW, #J<br>Conover, NC 28613 | NONE | PC | funding to support group services | 1,000. |
| Robin's Nest-Children's Advocacy Center<br>1051 Harper Avenue SW<br>Lenoir, NC 28645 | NONE | PC | funding for medical evaluations for child abuse victims | 4,928. |
| Shelter Home of Caldwell County<br>Post Office Box 426<br>Lenoir, NC 28645 | NONE | PC | funding for the "Speak up/Be Safe" program | 1,783. |
| **Total from continuation sheets** | | | | 32,031. |

**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 |
|---|---|---|---|---|
| South Caldwell Christian Ministies<br>5 Quarry Road<br>Granite Falls, NC 28630 | NONE | PC | funding for clients' financial assistance | 700. |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| **Total from continuation sheets** | | | | |

| Form 990-PF | Dividends and Interest from Securities | | Statement 1 |
|---|---|---|---|
| Source | Gross Amount | Capital Gains Dividends | Column (A) Amount |
| Independent Portfolio Consultants | 10,971. | 0. | 10,971. |
| Independent Portfolio Consultants | 11,621. | 0. | 11,621. |
| Total to Fm 990-PF, Part I, ln 4 | 22,592. | 0. | 22,592. |

| Form 990-PF | Other Income | | Statement 2 |
|---|---|---|---|
| Description | (a) Revenue Per Books | (b) Net Invest- ment Income | (c) Adjusted Net Income |
| Unrecaptured Sec1250 gain | 2. | 2. | |
| Original Issue Discount on US Treasury Obligations | 266. | 266. | |
| Total to Form 990-PF, Part I, line 11 | 268. | 268. | |

| Form 990-PF | Other Professional Fees | | | Statement 3 |
|---|---|---|---|---|
| Description | (a) Expenses Per Books | (b) Net Invest- ment Income | (c) Adjusted Net Income | (d) Charitable Purposes |
| Investment Advisory Fees | 11,813. | 11,813. | | 0. |
| To Form 990-PF, Pg 1, ln 16c | 11,813. | 11,813. | | 0. |

| Form 990-PF | Taxes | Statement 4 |
|---|---|---|

| Description | (a) Expenses Per Books | (b) Net Investment Income | (c) Adjusted Net Income | (d) Charitable Purposes |
|---|---|---|---|---|
| Excise Tax-2012 | 1,416. | 0. | | 0. |
| Excise Tax-2013 | 1,056. | 0. | | 0. |
| To Form 990-PF, Pg 1, ln 18 | 2,472. | 0. | | 0. |

| Form 990-PF | Other Expenses | Statement 5 |
|---|---|---|

| Description | (a) Expenses Per Books | (b) Net Investment Income | (c) Adjusted Net Income | (d) Charitable Purposes |
|---|---|---|---|---|
| Dues & subscriptions | 725. | 0. | | 725. |
| Office Supplies | 130. | 0. | | 130. |
| Postage | 16. | 0. | | 16. |
| Penalties & Interest | 67. | 0. | | 0. |
| Bank Service Charge | 35. | 0. | | 35. |
| To Form 990-PF, Pg 1, ln 23 | 973. | 0. | | 906. |

| Form 990-PF | Other Decreases in Net Assets or Fund Balances | Statement 6 |
|---|---|---|

| Description | Amount |
|---|---|
| Adjustment to Investment-government bonds beginning balance(reporting agency | 261. |
| Total to Form 990-PF, Part III, line 5 | 261. |

## Form 990-PF U.S. and State/City Government Obligations Statement 7

| Description | U.S. Gov't | Other Gov't | Book Value | Fair Market Value |
|---|---|---|---|---|
| | X | | 161,532. | 170,583. |
| Total U.S. Government Obligations | | | 161,532. | 170,583. |
| Total State and Municipal Government Obligations | | | | |
| Total to Form 990-PF, Part II, line 10a | | | 161,532. | 170,583. |

## Form 990-PF Corporate Stock Statement 8

| Description | Book Value | Fair Market Value |
|---|---|---|
| | 396,474. | 550,427. |
| Total to Form 990-PF, Part II, line 10b | 396,474. | 550,427. |

## Form 990-PF Corporate Bonds Statement 9

| Description | Book Value | Fair Market Value |
|---|---|---|
| | 174,117. | 175,955. |
| Total to Form 990-PF, Part II, line 10c | 174,117. | 175,955. |

Form 990-PF | Part VIII - List of Officers, Directors Trustees and Foundation Managers | Statement 10

| Name and Address | Title and Avrg Hrs/Wk | Compen-sation | Employee Ben Plan Contrib | Expense Account |
|---|---|---|---|---|
| John C. Hogan<br>10601 River Forest Drive<br>Raleigh, NC 27614 | President<br>2.00 | 2,916. | 0. | 0. |
| Margaret P. Hogan<br>10601 River Forest Drive<br>Raleigh, NC 27614 | Treasurer<br>0.25 | 0. | 0. | 0. |
| James B. Hogan<br>10601 River Forest Drive<br>Raleigh, NC 27614 | Secretary<br>0.25 | 0. | 0. | 0. |
| Janis P. Hogan<br>10601 River Forest Drive<br>Raleigh, NC 27614 | Director<br>0.25 | 0. | 0. | 0. |
| Walter J. Hogan<br>10601 River Forest Drive<br>Raleigh, NC 27614 | Vice President<br>0.25 | 0. | 0. | 0. |
| Marie B. Hogan<br>10601 River Forest Drive<br>Raleigh, NC 27614 | Director<br>0.25 | 0. | 0. | 0. |
| James C. Hogan II<br>10601 River Forest Drive<br>Raleigh, NC 27614 | Director<br>0.25 | 0. | 0. | 0. |
| Parker H. Hogan<br>10601 River Forest Drive<br>Raleigh, NC 27614 | Director<br>0.25 | 0. | 0. | 0. |
| William P. Hogan<br>10601 River Forest Drive<br>Raleigh, NC 27614 | Director<br>0.25 | 0. | 0. | 0. |
| Totals included on 990-PF, Page 6, Part VIII | | 2,916. | 0. | 0. |



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Form 990-PF | Grant Application Submission Information Part XV, Lines 2a through 2d | Statement 11

Name and Address of Person to Whom Applications Should be Submitted

John C. Hogan, President
10601 River Forest Drive
Raleigh, NC 27614

Telephone Number

919-846-1772

Email Address

jhogancpa@bellsouth.net

Form and Content of Applications

Written application should include amount requested, copy of tax-exemption letter, organization's charitable purpose, detailed purpose for requested funds, and any supporting documentation. The constraints and other details are included in the annual request for proposals mailing.

Any Submission Deadlines

This varies annually.

Restrictions and Limitations on Awards

Principally the grants are to benefit Caldwell County organizations. The types of acceptable grant requests as well as substantiation requirements are detailed in the annual request for proposals mailing.