



See a Social Security Number? Say Something!  
Report Privacy Problems to <https://public.resource.org/privacy>  
Or call the IRS Identity Theft Hotline at 1-800-908-4490



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](http://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 ROSENSTEIN FAMILY CHARITABLE FOUNDATION INC		<b>A Employer identification number</b>  61-1316211	
Number and street (or P O box number if mail is not delivered to street address) C/O ROBERT ROSENSTEIN 343 WALLER AVENUE		<b>B Telephone number</b> (see instructions)  (859) 225-8800	
City or town, state or province, country, and ZIP or foreign postal code LEXINGTON, KY 40504		<b>C</b> If exemption application is pending, check here <input type="checkbox"/>	
<b>G</b> Check all that apply <div><input type="checkbox"/> Initial return <input type="checkbox"/> Final return <input type="checkbox"/> Address change</div> <div><input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Amended return <input type="checkbox"/> Name change</div>		<b>D 1.</b> Foreign organizations, check here <input type="checkbox"/> <b>2.</b> Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/>	
<b>H</b> Check type of organization <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation		<b>E</b> If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/>	
<b>I</b> Fair market value of all assets at end of year (from Part II, col. (c), line 16) <input type="checkbox"/> \$ 1,687,404		<b>F</b> If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>	
<b>J</b> Accounting method <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____ (Part I, column (d) must be on cash basis.)			

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)	67,840			
	2 Check <input checked="" type="checkbox"/> if the foundation is <b>not</b> required to attach Sch B				
	3 Interest on savings and temporary cash investments	13,023	13,023		
	4 Dividends and interest from securities. . . . .	20,772	20,772		
	5a Gross rents . . . . .				
	b Net rental income or (loss) _____				
	6a Net gain or (loss) from sale of assets not on line 10	93,439			
	b Gross sales price for all assets on line 6a 2,002,629				
	7 Capital gain net income (from Part IV , line 2) . . .		93,439		
	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) . . . . .	9,767	9,767		
	12 <b>Total.</b> Add lines 1 through 11 . . . . .	204,841	137,001		
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc	0	0		0
	14 Other employee salaries and wages . . . . .				
	15 Pension plans, employee benefits . . . . .				
	16a Legal fees (attach schedule) . . . . .				
	b Accounting fees (attach schedule) . . . . .				
	c Other professional fees (attach schedule) . . . . .				
	17 Interest . . . . .				
	18 Taxes (attach schedule) (see instructions)	3,573	353		0
	19 Depreciation (attach schedule) and depletion . . .				
	20 Occupancy . . . . .				
	21 Travel, conferences, and meetings . . . . .				
	22 Printing and publications . . . . .				
	23 Other expenses (attach schedule) . . . . .	15,799	10,774		0
	24 <b>Total operating and administrative expenses.</b> Add lines 13 through 23 . . . . .	19,372	11,127		0
	25 Contributions, gifts, grants paid . . . . .	63,703			63,703
	26 <b>Total expenses and disbursements.</b> Add lines 24 and 25	83,075	11,127		63,703
	27 Subtract line 26 from line 12				
	a <b>Excess of revenue over expenses and disbursements</b>	121,766			
	b <b>Net investment income</b> (if negative, enter -0-)		125,874		
	c <b>Adjusted net income</b> (if negative, enter -0-)				

Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions )	Beginning of year	End of year	
			(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash—non-interest-bearing . . . . .			
	2	Savings and temporary cash investments . . . . .	181,064	106,641	106,641
	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) . . . . .	1,268,436	1,464,625	1,580,763
	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)	1,449,500	1,571,266	1,687,404	
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	0	
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ <input type="checkbox"/> and complete lines 24 through 26 and lines 30 and 31.				
	24	Unrestricted . . . . .			
	25	Temporarily restricted . . . . .			
	26	Permanently restricted . . . . .			
	Foundations that do not follow SFAS 117, check here ▶ <input checked="" type="checkbox"/> and complete lines 27 through 31.				
	27	Capital stock, trust principal, or current funds . . . . .	0	0	
	28	Paid-in or capital surplus, or land, bldg , and equipment fund	0	0	
	29	Retained earnings, accumulated income, endowment, or other funds	1,449,500	1,571,266	
	30	Total net assets or fund balances (see page 17 of the instructions) . . . . .	1,449,500	1,571,266	
31	Total liabilities and net assets/fund balances (see page 17 of the instructions) . . . . .	1,449,500	1,571,266		

Part III Analysis of Changes in Net Assets or Fund Balances

1	Total net assets or fund balances at beginning of year—Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year’s return) . . . . .	1	1,449,500
2	Enter amount from Part I, line 27a . . . . .	2	121,766
3	Other increases not included in line 2 (itemize) ▶ _____	3	0
4	Add lines 1, 2, and 3 . . . . .	4	1,571,266
5	Decreases not included in line 2 (itemize) ▶ _____	5	0
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30 . . . . .	6	1,571,266

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co )		(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo , day, yr )	(d) Date sold (mo , day, yr )
1a	See Additional Data Table			
b				
c				
d				
e				

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(I) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
a See Additional Data Table			
b			
c			
d			
e			

2	Capital gain net income or (net capital loss)	{ If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 }	2	93,439
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	50,541	1,413,586	0 035754
2011	65,374	1,257,879	0 051972
2010	68,086	1,333,717	0 051050
2009	64,818	1,209,537	0 053589
2008	55,797	1,334,215	0 041820

2	Total of line 1, column (d). . . . .	2	0 234185
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 046837
4	Enter the net value of noncharitable-use assets for 2013 from Part X, line 5. . . . .	4	1,516,213
5	Multiply line 4 by line 3. . . . .	5	71,015
6	Enter 1% of net investment income (1% of Part I, line 27b). . . . .	6	1,259
7	Add lines 5 and 6. . . . .	7	72,274
8	Enter qualifying distributions from Part XII, line 4. . . . . If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate See the Part VI instructions	8	63,703

Part VIExcise 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 <input type="checkbox"/> and enter "N/A" on line 1			
b		Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input type="checkbox"/> and enter 1% of Part I, line 27b . . . . .		1	2,517
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	2,517
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	2,517
6		Credits/Payments			
a	2013 estimated tax payments and 2012 overpayment credited to 2013	6a	1,760		
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	1,760
8		Enter any penalty for underpayment of estimated tax. Check here <input type="checkbox"/> if Form 2220 is attached.		8	
9		Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed . . . . .		9	757
10		Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid. . . . .		10	
11		Enter the amount of line 10 to be Credited to 2014 estimated tax Refunded		11	

Part VII-AStatements Regarding Activities

1a	During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign? . . . . .	1a	Yes	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)? . . . . . 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.	1b		No
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 \$ 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		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): KY			
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	Yes	

Part VII-A

Statements Regarding Activities *(continued)*

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions).	11		No
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		No
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	Yes	
Website address ▶N/A				
14	The books are in care of ▶ROBERT ROSENSTEIN Telephone no ▶(859) 225-8800 Located at ▶343 WALLER AVENUE LEXINGTON KY ZIP +4 ▶40504			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of <b>Form 1041</b> —Check here . . . . . ▶ <input type="checkbox"/> and enter the amount of tax-exempt interest received or accrued during the year . . . . . ▶	15		
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	Yes	No
See instructions for exceptions and filing requirements for Form TD F 90-22.1 If "Yes", enter the name of the foreign country ▶				

Part VII-B

Statements Regarding Activities for Which Form 4720 May Be Required

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.			Yes	No
1a	During the year did the foundation (either directly or indirectly) (1) Engage in the sale or exchange, or leasing of property with a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?. . . . . <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)?. . . . . <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (6) Agree to pay money or property to a government official? ( <b>Exception.</b> Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days ). . . . . <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
b	If any answer is "Yes" to 1a(1)–(6), did <b>any</b> 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)?. . . Organizations relying on a current notice regarding disaster assistance check here. . . . . ▶ <input type="checkbox"/>	1b		
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2013?. . . . .	1c		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?. . . . . <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If "Yes," list the years ▶ 20____, 20____, 20____, 20____			
b	Are there any years listed in 2a for which the foundation is <b>not</b> 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 <b>all</b> years listed, answer "No" and attach statement—see instructions ). . . . .	2b		
c	If the provisions of section 4942(a)(2) are being applied to <b>any</b> 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?. . . . . <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
b	If "Yes," did it have excess business holdings in 2013 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969, (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? ( <i>Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2013.</i> ). . . . .	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))?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
	(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
	(3) Provide a grant to an individual for travel, study, or other similar purposes?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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).	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b	If any answer is "Yes" to 5a(1)–(5), did <b>any</b> 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.	<input checked="" type="checkbox"/>		
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?	<input type="checkbox"/> Yes <input type="checkbox"/> 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?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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
IRMA ROSENSTEIN	DIRECTOR	0	0	0
343 WALLER AVENUE LEXINGTON, KY 40504	0 25			
ROBERT ROSENSTEIN	DIRECTOR	0	0	0
343 WALLER AVENUE LEXINGTON, KY 40504	2 25			
ANN ROSENSTEIN	DIRECTOR	0	0	0
343 WALLER AVENUE LEXINGTON, KY 40504	2 25			
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
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 (see instructions). 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	
2	
3	
4	

Part IX-B

Summary of Program-Related Investments (see instructions)

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2	Amount
1	
2	
All other program-related investments. See page 24 of the instructions	
3	
Total. Add lines 1 through 3 . . . . .	0



**Part X**

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

<b>1</b>	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc , purposes		
<b>a</b>	Average monthly fair market value of securities. . . . .	<b>1a</b>	1,490,788
<b>b</b>	Average of monthly cash balances. . . . .	<b>1b</b>	48,515
<b>c</b>	Fair market value of all other assets (see instructions). . . . .	<b>1c</b>	0
<b>d</b>	<b>Total</b> (add lines 1a, b, and c). . . . .	<b>1d</b>	1,539,303
<b>e</b>	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation). . . . .	<b>1e</b>	0
<b>2</b>	Acquisition indebtedness applicable to line 1 assets. . . . .	<b>2</b>	0
<b>3</b>	Subtract line 2 from line 1d. . . . .	<b>3</b>	1,539,303
<b>4</b>	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions). . . . .	<b>4</b>	23,090
<b>5</b>	<b>Net value of noncharitable-use assets.</b> Subtract line 4 from line 3 Enter here and on Part V, line 4	<b>5</b>	1,516,213
<b>6</b>	<b>Minimum investment return.</b> Enter 5% of line 5. . . . .	<b>6</b>	75,811

**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.)

<b>1</b>	Minimum investment return from Part X, line 6. . . . .	<b>1</b>	75,811
<b>2a</b>	Tax on investment income for 2013 from Part VI, line 5. . . . .	<b>2a</b>	2,517
<b>b</b>	Income tax for 2013 (This does not include the tax from Part VI ). . . . .	<b>2b</b>	
<b>c</b>	Add lines 2a and 2b. . . . .	<b>2c</b>	2,517
<b>3</b>	Distributable amount before adjustments Subtract line 2c from line 1. . . . .	<b>3</b>	73,294
<b>4</b>	Recoveries of amounts treated as qualifying distributions. . . . .	<b>4</b>	0
<b>5</b>	Add lines 3 and 4. . . . .	<b>5</b>	73,294
<b>6</b>	Deduction from distributable amount (see instructions). . . . .	<b>6</b>	0
<b>7</b>	<b>Distributable amount</b> as adjusted Subtract line 6 from line 5 Enter here and on Part XIII, line 1. . . . .	<b>7</b>	73,294

**Part XII**

**Qualifying Distributions** (see instructions)

<b>1</b>	Amounts paid (including administrative expenses) to accomplish charitable, etc , purposes		
<b>a</b>	Expenses, contributions, gifts, etc —total from Part I, column (d), line 26. . . . .	<b>1a</b>	63,703
<b>b</b>	Program-related investments—total from Part IX-B. . . . .	<b>1b</b>	0
<b>2</b>	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc , purposes. . . . .	<b>2</b>	
<b>3</b>	Amounts set aside for specific charitable projects that satisfy the		
<b>a</b>	Suitability test (prior IRS approval required). . . . .	<b>3a</b>	
<b>b</b>	Cash distribution test (attach the required schedule). . . . .	<b>3b</b>	
<b>4</b>	<b>Qualifying distributions.</b> Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4	<b>4</b>	63,703
<b>5</b>	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). . . . .	<b>5</b>	0
<b>6</b>	<b>Adjusted qualifying distributions.</b> Subtract line 5 from line 4. . . . .	<b>6</b>	63,703
<b>Note:</b> 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				73,294
2 Undistributed income, if any, as of the end of 2013				
a Enter amount for 2012 only. . . . .			0	
b Total for prior years 20____, 20____, 20____		0		
3 Excess distributions carryover, if any, to 2013				
a From 2008. . . . .				
b From 2009. . . . .				4,868
c From 2010. . . . .				1,807
d From 2011. . . . .				3,907
e From 2012. . . . .				
f Total of lines 3a through e. . . . .	10,582			
4 Qualifying distributions for 2013 from Part XII, line 4 ▶ \$ 63,703				
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. . . . .				63,703
e Remaining amount distributed out of corpus	0			
5 Excess distributions carryover applied to 2013 (If an amount appears in column (d), the same amount must be shown in column (a).)	9,591			9,591
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	991			
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 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). . . . .	0			
8 Excess distributions carryover from 2008 not applied on line 5 or line 7 (see instructions). . . .	0			
9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a . . . . .	991			
10 Analysis of line 9				
a Excess from 2009. . . .				
b Excess from 2010. . . .				
c Excess from 2011. . . .				991
d Excess from 2012. . . .				
e Excess from 2013. . . .				

## Part XIV

---

4942(j)(3) or 4942(j)(5)

**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

**1**

See Additional Data Table

• 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

## 2

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 of the person to whom applications should be addressed

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

**c** Any submission deadlines

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

Part XV

Supplementary Information (continued)

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a Paid during the year See Additional Data Table				
Total . . . . .			3a	63,703
b Approved for future payment				
Total . . . . .			3b	0

Enter gross amounts unless otherwise indicated

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

Form **990-PF** (2013)



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

(a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co )	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo , day, yr )	(d) Date sold (mo , day, yr )
BEAR STEARNS COS INC SR NT 6 400% 10/02 /17 B/E DTD 10/02/07 FIRST IN - 3,00	P	2012-09-18	2013-04-25
BEAR STEARNS COS INC SR NT 6 400% 10/02 /17 B/E DTD 10/02/07 FIRST IN FIRST	P	2012-09-18	2013-07-17
CITIGROUP INC GLOBAL SR NT 5 500% 04/11 /13 B/E DTD 04/11/08 FIRST IN FIRST	P	2012-03-16	2013-01-11
CITIGROUP INC FIXED RT NT 4 450% 01/10/17 B/E DTD 01/10/12 12 FIRST IN FIRST	P	2013-01-11	2013-04-25
CITIGROUP INC FIXED RT NT 4 450% 01/10/17 B/E DTD 01/10/12 12 FIRST IN FIRST	P	2013-01-11	2013-04-26
ORIGINAL COST BASIS 6,631 65 FIRST IN FIRST OUT - 5,000 SHS	P	2013-01-11	2013-07-17
COUNTRYWIDE FINL COR P SUB NT 6 250% 05/15/16 B/E DTD 05/16/ FIRST IN - 8,00	P	2013-01-11	2013-07-17
DELL INC NT 5 650% 04/15/18 B/E DTD 04/17/08 FIRST IN FIRST OUT - 8,000 SHS	P	2012-11-02	2013-01-15
FORD MTR CR CO FIXED RT GLOBAL NT 8 125 01/15/20 B/E DTD 1 FIRST IN FIRST OU	P	2013-04-29	2013-07-17
FORD MTR CR CO FIXED RT NTS 6 625% 08/1 5/17 B/E DTD 08/04/1 FIRST IN FIRST	P	2012-09-18	2013-07-17
GENWORTH FINL INC SR NT 6 515% 05/22/18 B/E DTD 05/22/08 CL FIRST IN FIRST O	P	2013-01-18	2013-04-25
GENWORTH FINL INC SR NT 6 515% 05/22/18 B/E DTD 05/22/08 CL FIRST IN FIRST O	P	2013-01-18	2013-06-20
GOLDMAN SACHS GROUP INC SR GLOBAL NT 5 950% 01/18/18 B/E FIRST IN - 3,000 S	P	2013-01-18	2013-04-25
GOLDMAN SACHS GROUP INC SR GLOBAL NT 5 950% 01/18/18 B/E FIRST IN FIRST OUT	P	2013-01-18	2013-07-17
GOLDMAN SACHS GROUP INC FIXED RT NT 3 6 25% 02/07/16 B/E DTD FIRST IN FIRST	P	2012-04-04	2013-01-18
HUSKY ENERGY INC NTS ISIN#US448055AF08 7 250% 12/15/19 B/E FIRST IN FIRST OU	P	2012-09-14	2013-04-26
HUSKY ENERGY INC NTS ISIN#US448055AF08 7 250% 12/15/19 B/E FIRST IN FIRST OU	P	2012-09-14	2013-07-17
INGRAM MICRO INC NT 5 000% 08/10/22 B/E DTD 08/10/12 CLB I FIRST IN - 3,000	P	2012-10-19	2013-04-25
INGRAM MICRO INC NT 5 000% 08/10/22 B/E DTD 08/10/12 CLB I FIRST IN - 3,000	P	2012-10-19	2013-06-26
JEFFERIES GROUP INC NEW FIXED RT SENIOR NOTES 8 500% 07/15/ FIRST IN FIRST O	P	2013-04-26	2013-07-17
KLA-TENCOR CORP SR N T 6 900% 05/01/18 B /E DTD 05/02/08 FIRST IN FIRST OUT	P	2013-03-01	2013-04-25
KLA-TENCOR CORP SR N T 6 900% 05/01/18 B /E DTD 05/02/08 FIRST IN FIRST OUT	P	2013-03-01	2013-07-17
MERRILL LYNCH CO I NC MEDIUM TERM NTS M ED TERM NT SER C FIRST IN FIRST OUT	P	2012-03-30	2013-01-11
MORGAN STANLEY FIXED RT GLOBAL NTS SR F 5 450% 01/09/17 B/E FIRST IN - 3,000	P	2013-01-31	2013-04-25
MORGAN STANLEY FIXED RT GLOBAL NTS SR F 5 450% 01/09/17 B/E FIRST IN - 3,000	P	2013-01-31	2013-07-17
MORGAN STANLEY GLOBA L MED TERM NTS SER F 6 000% 04/28/15 FIRST IN FIRST OUT	P	2012-08-29	2013-04-25
MORGAN STANLEY GLOBA L MED TERM NTS SER F 6 000% 04/28/15 FIRST IN FIRST OUT	P	2012-08-29	2013-07-17
PRUDENTIAL FINL INC MEDIUM TERM NTS FIXE D RATE 4 750% 09/17 FIRST IN FIRST	P	2012-08-23	2013-04-26
PRUDENTIAL FINL INC MEDIUM TERM NTS FIXE D RATE 4 750% 09/17 FIRST IN FIRST	P	2012-08-23	2013-07-17
TRANSOCEAN INC GTD S R NT 4 950% 11/15/1 5 B/E DTD 09/21/10 C FIRST IN - 3,0	P	2012-10-22	2013-04-26

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

(a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co )	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo , day, yr )	(d) Date sold (mo , day, yr )
TRANSOCEAN INC GTD S R NT 4 950% 11/15/1 5 B/E DTD 09/21/10 C FIRST IN - 3,0	P	2012-10-22	2013-07-17
UNITED STATES TREAS BDS 7 500% 11/15/16 B/E DTD 11/15/86 FIRST IN FIRST OUT	P	2012-03-20	2013-03-20
UNITED STATES TREAS BDS 7 500% 11/15/16 B/E DTD 11/15/86 FIRST IN FIRST OUT	P	2012-11-27	2013-07-17
UNITED STATES TREAS BDS 7 500% 11/15/16 B/E DTD 11/15/86 FIRST IN FIRST OUT	P	2012-11-29	2013-07-17
UNITED STATES TREAS BDS 7 500% 11/15/16 B/E DTD 11/15/86 FIRST IN FIRST OUT	P	2013-06-26	2013-07-17
UNITED STATES TREAS BDS 9 125% 05/15/18 B/E DTD 05/15/88 FIRST IN - 4,000 SH	P	2013-04-16	2013-04-25
UNITED STATES TREAS BDS 9 125% 05/15/18 B/E DTD 05/15/88 FIRST IN - 4,000 SH	P	2013-04-16	2013-07-17
UNITED STATES TREAS BDS 9 000% 11/15/18 B/E DTD 11/15/88 FIRST IN FIRST OUT	P	2012-12-28	2013-03-01
UNITED STATES TREAS BDS 9 000% 11/15/18 B/E DTD 11/15/88 FIRST IN FIRST OUT	P	2012-12-28	2013-04-25
UNITED STATES TREAS BDS 9 000% 11/15/18 B/E DTD 11/15/88 FIRST IN FIRST OUT	P	2012-12-28	2013-04-30
UNITED STATES TREAS NTS 3 625% 02/15/21 B/E DTD 02/15/11 FIRST IN FIRST OUT	P	2013-03-20	2013-04-16
UNITED STATES TREAS NTS 1 375% 09/30/18 B/E DTD 09/30/11 FIRST IN FIRST OUT	P	2012-04-09	2013-01-31
UNITED STATES TREAS NTS 1 625% 08/15/22 B/E DTD 08/15/12 FIRST IN - 6,000 SH	P	2012-10-16	2013-04-25
UNITED STATES TREAS NTS 1 625% 08/15/22 B/E DTD 08/15/12 FIRST IN - 6,000 SH	P	2012-10-16	2013-06-26
UNITED STATES TREAS NTS 1 625% 08/15/22 B/E DTD 08/15/12 FIRST IN FIRST OUT	P	2013-04-30	2013-07-17
UNITED STATES TREAS NTS 1 750% 05/15/23 B/E DTD 05/15/13 FIRST IN FIRST OUT	P	2013-06-20	2013-07-17
VERIZON COMMUNICATIO NS INC NT 8 750% 11 /01/18 B/E DTD 11/04 FIRST IN FIRST	P	2013-01-15	2013-07-17
AT&T INC GLOBAL NOTE S FIXED RT 2 500% 0 8/15/15 B/E DTD 07/3 FIRST IN - 3,0	P	2012-03-26	2013-04-25
AT&T INC GLOBAL NOTE S FIXED RT 2 500% 0 8/15/15 B/E DTD 07/3 FIRST IN FIRST	P	2012-03-26	2013-07-17
AMERICAN EXPRESS CR CORP MEDIUM TERM NTS MEDIUM TRM SR FIRST IN FIRST OUT -	P	2012-03-29	2013-04-25
AMERICAN EXPRESS CR CORP MEDIUM TERM NTS MEDIUM TRM SR FIRST IN FIRST OUT -	P	2012-03-29	2013-04-29
ANHEUSER BUSCH INBEV WORLDWIDE INC GTD N T 5 375% 01/15/20 FIRST IN FIRST OU	P	2012-03-15	2013-04-25
ANHEUSER BUSCH INBEV WORLDWIDE INC GTD N T 5 375% 01/15/20 FIRST IN FIRST OU	P	2012-03-15	2013-07-17
COUNTRYWIDE FINE COR P SUB NT 6 250% 05/15/16 B/E DTD 05/16/ FIRST IN - 6,00	P	2012-04-12	2013-04-25
COUNTRYWIDE FINL COR P SUB NT 6 250% 05/ 15/16 B/E DTD 05/16/ FIRST IN FIRST	P	2012-04-12	2013-07-17
GENERAL ELEC CAP COR P MEDIUM TERM NTS MT N 5 625% 05/01/18 FIRST IN FIRST O	P	2012-03-22	2013-04-25
GENERAL ELEC CAP COR P MEDIUM TERM NTS MT N 5 625% 05/01/18 FIRST IN FIRST O	P	2012-03-22	2013-07-17
INTERNATIONAL BUSINE SS MACHS CORP NT 5 700% 09/14/17 B/E FIRST IN FIRST OU	P	2012-04-10	2013-04-25
INTERNATIONAL BUSINE SS MACHS CORP NT 5 700% 09/14/17 B/E FIRST IN FIRST OU	P	2012-04-10	2013-07-17
OMNICOM GROUP INC GT D SR NTS 5 900% 04/15/16 B/E DTD 03/29/ FIRST IN - 5,00	P	2012-04-17	2013-04-25



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

(a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co )	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo , day, yr )	(d) Date sold (mo , day, yr )
OMNICOM GROUP INC GT D SR NTS 5 900% 04/15/16 B/E DTD 03/29/ FIRST IN FIRST	P	2012-04-17	2013-07-17
OMNICOM GROUP INC GT D SR NTS 5 900% 04/15/16 B/E DTD 03/29/ FIRST IN FIRST	P	2012-04-20	2013-07-17
TELEFONICA EMISIONES S A U GTD SR NT 4 949% 01/15/15 B/E EDT DT FIRST IN FI	P	2012-04-20	2013-04-25
TELEFONICA EMISIONES S A U GTD SR NT 4 949% 01/15/15 B/E EDT DT FIRST IN FI	P	2012-04-20	2013-07-17
UNITED STATES TREAS BDS 7 500% 11/15/16 B/E DTD 11/15/86 FIRST IN - 16,000 S	P	2012-03-20	2013-04-25
UNITED STATES TREAS BDS 7 500% 11/15/16 B/E DTD 11/15/86 FIRST IN - 16,000 S	P	2012-03-20	2013-07-17
UNITED STATES TREAS NTS 3 375% 11/15/19 B/E DTD 11/15/09 FIRST IN FIRST OUT	P	2012-03-30	2013-04-25
UNITED STATES TREAS NTS 3 375% 11/15/19 B/E DTD 11/15/09 FIRST IN FIRST OUT	P	2012-03-30	2013-07-17
VERIZON COMMUNICATIO NS INC NT 8 750% 11 /01/18 B/E DTD 11/04 FIRST IN FIRST	P	2012-04-17	2013-04-25
VERIZON COMMUNICATIO NS INC NT 8 750% 11 /01/18 B/E DTD 11/04 FIRST IN FIRST	P	2012-04-17	2013-07-17
WAL MART STORES INC NTS 5 800% 02/15/18 B/E DTD 08/24/07 FIRST IN FIRST OUT	P	2012-04-12	2013-04-25
WAL MART STORES INC NTS 5 800% 02/15/18 B/E DTD 08/24/07 FIRST IN FIRST OUT	P	2012-04-12	2013-07-17
ROWAN COMPANIES PLC SHS CLASS A ISIN#GB0 0B6SLMV12 FIRST IN FIRST OUT - 20 S	P	2012-08-29	2013-01-16
ADT CORP COM VERSUS PURCHASE - 17 SHS	P	2012-11-09	2013-01-16
ACTIVISION BLIZZARD INC COM FIRST IN FIRST OUT - 65 SHS	P	2012-10-24	2013-01-16
APACHE CORP COM FIRST IN FIRST OUT	P	2012-02-03	2013-01-16
AUTOMATIC DATA PROCE SSING INC COM FIRST IN FIRST OUT - 13 SHS	P	2012-03-07	2013-01-16
BARCLAYS BK PLC IPAT H INDEX LKD TO DOW J ONES UBS COMMODITY FIRST IN - 33 S	P	2013-02-20	2013-04-17
BARCLAYS BK PLC IPAT H INDEX LKD TO DOW J ONES UBS COMMODITY FIRST IN - 40 S	P	2013-02-20	2013-06-04
BARCLAYS BK PLC IPAT H INDEX LKD TO DOW J ONES UBS COMMODITY FIRST IN - 27 S	P	2013-02-20	2013-07-17
BARCLAYS BK PLC IPAT H CAP US TR EAS FLATTENER ETN	P	2012-11-08	2013-01-03
CIGNA CORP COM	P	2012-08-30	2013-01-16
CITIGROUP IN COM	P	2012-02-27	2013-01-16
EATON VANCE TAX MANA GE BUY WRITE	P	2013-01-16	2013-02-19
HARTFORD FINL SVCS GROUP INC COM	P	2012-10-24	2013-01-08
ILLUMINA INC	P	2012-06-22	2013-01-16
ISHARES GOLD TR	P	2013-02-20	2013-04-17
ISHARES GOLD TR	P	2013-02-20	2013-07-17
ISHARES INC MSCI EMU INDEX FD FIRST IN FIRST OUT - 2 SHS	P	2012-08-14	2013-02-20
ISHARES INC MSCI EMU INDEX FD FIRST IN FIRST OUT - 17 SHS	P	2012-08-14	2013-06-04

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

(a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co )	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo , day, yr )	(d) Date sold (mo , day, yr )
ISHARES INC MSCI EMU INDEX FD FIRST IN FIRST OUT - 89 SHS	P	2012-08-14	2013-07-17
ISHARES INC MSCI SOU TH KOREA CAPPED ETF FIRST IN FIRST OUT - 4 SHS	P	2013-04-17	2013-07-17
ISHARES INC MSCI SOU TH KOREA CAPPED ETF FIRST IN FIRST OUT - 16 SHS	P	2013-06-04	2013-07-17
ISHARES TR IBOXX USD INVT GRADE CORP BD ETF FIRST IN FIRST OUT - 2 SHS	P	2013-01-16	2013-07-17
ISHARES TR IBOXX USD INVT GRADE CORP BD ETF FIRST IN FIRST OUT - 16 SHS	P	2013-06-04	2013-07-17
ISHARES TR BARCLAYS 7-10 YR TREAS BD ETF FIRST IN FIRST OUT - 2 SHS	P	2013-01-16	2013-07-17
ISHARES TR IBOXX H IGH YIELD CORP BD FD FIRST IN - 27 SHS	P	2013-01-03	2013-02-20
ISHARES TR MBS ETF FIRST IN FIRST OUT - 7 SHS	P	2013-01-16	2013-07-17
ISHARES TR MBS ETF FIRST IN FIRST OUT - 7 SHS	P	2013-03-15	2013-07-17
ISHARES TR MBS ETF FIRST IN FIRST OUT - 4 SHS	P	2013-06-04	2013-07-17
ISHARES TR 3-7 YR TR EAS BD ETF FIRST IN FIRST OUT - 2 SHS	P	2013-01-16	2013-07-17
ISHARES TR 3-7 YR TR EAS BD ETF FIRST IN FIRST OUT - 38 SHS	P	2013-02-20	2013-07-17
ISHARES TR HIGH DIVI D ETF FIRST IN FIRST OUT - 4 SHS	P	2013-01-16	2013-07-17
ISHARES TR HIGH DIVI D ETF FIRST IN FIRST OUT - 7 SHS	P	2013-06-04	2013-07-17
JPMORGAN CHASE CO ALERIAN MLP INDEX ET N BASED ON WAP FIRST IN - 4 SHS	P	2012-06-06	2013-04-17
JPMORGAN CHASE CO ALERIAN MLP INDEX ET N BASED ON WAP FIRST IN - 68 SHS	P	2012-06-06	2013-05-10
KANSAS CITY SOUTHN C OM NEW FIRST IN FIRST OUT	P	2012-10-24	2013-01-16
MARKET VECTORS RUSSIA ETF TR SHS BEN INT FIRST IN FIRST OUT - 86 SHS	P	2013-02-20	2013-07-17
MARKET VECTORS RUSSIA ETF TR SHS BEN INT FIRST IN FIRST OUT - 14 SHS	P	2013-04-17	2013-07-17
MERCK CO INC NEW C OM FIRST IN FIRST OUT - 17 SHS	P	2012-06-22	2013-01-16
PIMCO ETF TR 0-5 YR HIGH YIELD CORP BD I NDEX EXCHANGE-TRADED FIRST IN FIRST	P	2013-04-17	2013-07-17
POWERSHARES GLOBAL E XCHANGE TRADED FD TR PFD PORTFOLIO FIRST IN FIRST OUT -	P	2013-06-04	2013-07-17
POWERSHARES GLOBAL E XCHANGE TRADED FD TR EMERGING MARKETS FIRST IN FIRST OU	P	2012-05-30	2013-02-20
POWERSHARES EXCHANGE -TRADED FD TR II BUI LD AMERICA BOND FIRST IN - 10 SHS	P	2013-01-16	2013-07-17
SPDR INDEX SHS FDS S &P CHINA ETF FIRST IN FIRST OUT - 28 SHS	P	2013-02-20	2013-07-17
SPDR INDEX SHS FDS S &P CHINA ETF FIRST IN FIRST OUT - 9 SHS	P	2013-06-05	2013-07-17
SELECT SECTOR SPDR T R MATLS FIRST IN FIRST OUT - 17 SHS	P	2013-01-16	2013-07-17
SELECT SECTOR SPDR T R HEALTH CARE FIRST IN FIRST OUT - 69 SHS	P	2013-01-16	2013-07-17
SELECT SECTOR SPDR T R HEALTH CARE FIRST IN FIRST OUT - 7 SHS	P	2013-04-17	2013-07-17
SELECT SECTOR SPDR T R HEALTH CARE FIRST IN FIRST OUT - 11 SHS	P	2013-06-04	2013-07-17

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

(a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co )	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo , day, yr )	(d) Date sold (mo , day, yr )
SELECT SECTOR SPDR T R CONSUMER STAPLES FIRST IN - 49 SHS	P	2013-01-16	2013-07-17
SELECT SECTOR SPDR T R CONSUMER STAPLES FIRST IN - 18 SHS	P	2013-04-17	2013-07-17
SELECT SECTOR SPDR T R CONSUMER STAPLES FIRST IN - 11 SHS	P	2013-06-04	2013-07-17
SELECT SECTOR SPDR T R CONSUMER DISCRETIO NARY TRANSN TO FIRST IN FIRST OUT	P	2013-01-16	2013-07-17
SELECT SECTOR SPDR T R ENERGY FIRST IN FIRST OUT - 37 SHS	P	2013-01-16	2013-07-17
SELECT SECTOR SPDR T R ENERGY FIRST IN FIRST OUT - 5 SHS	P	2013-06-04	2013-07-17
SELECT SECTOR SPDR T R FINANCIAL FIRST IN FIRST OUT - 228 SHS	P	2013-01-16	2013-07-17
SELECT SECTOR SPDR T R FINANCIAL FIRST IN FIRST OUT - 50 SHS	P	2013-04-17	2013-07-17
SELECT SECTOR SPDR T R FINANCIAL FIRST IN FIRST OUT - 14 SHS	P	2013-06-04	2013-07-17
SELECT SECTOR SPDR T R INDL FIRST IN - 69 SHS	P	2013-01-16	2013-07-17
SELECT SECTOR SPDR T R INDL FIRST IN - 6 SHS	P	2013-04-17	2013-07-17
SELECT SECTOR SPDR T R INDL FIRST IN - 6 SHS	P	2013-06-04	2013-07-17
SELECT SECTOR SPDR T R TECHNOLOGY FIRST IN FIRST OUT - 21 SHS	P	2013-01-16	2013-04-17
SELECT SECTOR SPDR T R TECHNOLOGY FIRST IN FIRST OUT - 140 SHS	P	2013-01-16	2013-07-17
SELECT SECTOR SPDR T R TECHNOLOGY FIRST IN FIRST OUT - 12 SHS	P	2013-06-04	2013-07-17
SELECT SECTOR SPDR TRUTILS FIRST IN FIRST OUT - 11 SHS	P	2013-04-17	2013-07-17
STARBUCKS CORP COM FIRST IN FIRST OUT - 15 SHS	P	2012-08-15	2013-01-16
TRIUMPH GROUP INC NE WCOM FIRST IN FIRST OUT - 12 SHS	P	2012-09-14	2013-01-16
VANGUARD INTL EQUITY INDEX FDS TOTAL WOR LD STK INDEX FD ETF FIRST IN FIRST	P	2013-03-15	2013-04-17
VMWARE INC CL A COM FIRST IN	P	2012-07-17	2013-01-16
WISDOMTREE TR EMERGI NG MKTS LOC DEBT FD FIRST IN FIRST OUT - 3 SHS	P	2013-01-16	2013-07-17
EMC CORP COM FIRST IN FIRST OUT - 26 SHS	P	2012-01-04	2013-01-16
ISHARES INC MSCIAUS TRALIA ETF FIRST IN FIRST OUT - 62 SHS	P	2012-03-12	2013-07-17
ISHARES INC MSCI CDA INDEX FD FIRST IN FIRST OUT - 48 SHS	P	2012-01-03	2013-02-20
ISHARES INC MSCI CDA INDEX FD FIRST IN FIRST OUT - 36 SHS	P	2012-01-03	2013-07-17
ISHARES TR MBS ETF FIRST IN FIRST OUT - 1 SHS	P	2012-01-13	2013-07-17
ISHARES TR 3-7 YR TR EAS BD ETF FIRST IN - 18 SHS	P	2012-01-13	2013-07-17
PENN NATL GAMING INC FIRST IN FIRST OUT - 17 SHS	P	2012-01-09	2013-01-16
PIMCO ETF TR 0-5 YR HIGH YIELD CORP BD 1 NDEX EXCHANGE-TRADED FIRST IN FIRST	P	2012-02-13	2013-02-20
PIMCO ETF TR 0-5 YR HIGH YIELD CORP BD 1 NDEX EXCHANGE-TRADED FIRST IN FIRST	P	2012-02-13	2013-07-17

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

(a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co )	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo , day, yr )	(d) Date sold (mo , day, yr )
POWERSHARES GLOBAL E XCHANGE TRADED FD TR PFD PORTFOLIO FIRST IN FIRST OUT -	P	2012-02-13	2013-07-17
SPDR INDEX SHS FDS D OW JONES GLOBAL REAL ESTATE ETF FIRST IN FIRST OUT - 5	P	2012-01-03	2013-04-17
SPDR INDEX SHS FDS D OW JONES GLOBAL REAL ESTATE ETF FIRST IN FIRST OUT - 45	P	2012-01-03	2013-07-17
WISDOMTREE TR EMERGI NG MKTS LOC DEBT FD FIRST IN FIRST OUT - 15 SHS	P	2012-02-13	2013-02-20
WISDOMTREE TR EMERGI NG MKTS LOC DEBT FD FIRST IN FIRST OUT - 22 SHS	P	2012-03-01	2013-02-20
WISDOMTREE TR EMERGI NG MKTS LOC DEBT FD FIRST IN FIRST OUT - 26 SHS	P	2012-03-01	2013-07-17
CVS CAREMARK CORP FIRST IN FIRST OUT - 16 SHS	P	2011-02-16	2013-01-16
CYTEC INDS INC COM FIRST IN FIRST OUT - 12 SHS	P	2011-07-22	2013-01-16
EATON VANCE TAX MANA GEO BUY WRITE OPPORT UNITIES FD COM VERSUS PURCHASE - 7	P	2011-07-22	2013-02-15
EATON VANCE TAX MANA GEO BUY WRITE OPPORT UNITIES FD COM VERSUS PURCHASE - 1	P	2011-07-22	2013-02-19
EDISON INTERNATIONAL FIRST IN FIRST OUT - 16 SHS	P	2011-10-11	2013-01-16
ISHARES INC MSCI EMU INDEX FD FIRST IN FIRST OUT - 11 SHS	P	2011-07-22	2013-01-16
ISHARES INC MSCI EMU INDEX FD FIRST IN FIRST OUT - 25 SHS	P	2011-07-22	2013-02-20
ISHARES INC MSCI EMU INDEX FD FIRST IN FIRST OUT - 16 SHS	P	2011-07-22	2013-02-20
ISHARES INC MSCI UNI TED KINGDOM INDEX FD FIRST IN FIRST OUT - 108 SHS	P	2011-11-30	2013-02-20
ISHARES INC MSCI UNI TED KINGDOM INDEX FD FIRST IN FIRST OUT - 169 SHS	P	2011-11-30	2013-07-17
ISHARES INC MSCI SOU TH KOREA CAPPED ETF FIRST IN - 33 SHS	P	2011-07-22	2013-07-17
ISHARES INC MSCI GER MANY INDEX FD FIRST IN FIRST OUT - 7 SHS	P	2011-07-22	2013-01-16
ISHARES INC MSCI GER MANY INDEX FD FIRST IN FIRST OUT - 122 SHS	P	2011-07-22	2013-07-17
ISHARES TR IBOXX USD INVT GRADE CORP BD ETF FIRST IN FIRST OUT - 44 SHS	P	2011-07-22	2013-07-17
ISHARES TR BARCLAYS 7-10 YR TREAS BD ETF FIRST IN FIRST OUT - 22 SHS	P	2011-09-07	2013-07-17
ISHARES TR S&P GSSI SOFTWARE INDEX FD FIRST IN FIRST OUT - 68 SHS	P	2011-11-09	2013-01-16
ISHARES TR BARCLAYS MBS BD FD FIRST IN FIRST OUT - 2 SHS	P	2011-07-22	2013-04-17
ISHARES TR BARCLAYS MBS BD FD FIRST IN FIRST OUT - 84 SHS	P	2011-07-22	2013-07-17
ISHARES TR 3-7 YR TR EAS BD ETF FIRST IN	P	2011-07-22	2013-07-17
ISHARES TR HIGH DIVI D EQUITY FD FIRST IN FIRST OUT - 4 SHS	P	2011-08-24	2013-04-17
ISHARES TR HIGH DIVI D EQUITY FD FIRST IN FIRST OUT - 46 SHS	P	2011-08-24	2013-07-17
JPMORGAN CHASE CO ALERIAN MLP INDEX ET N BASED ON WAP FIRST IN FIRST OUT - 1	P	2011-07-21	2013-01-16
JPMORGAN CHASE CO ALERIAN MLP INDEX ET N BASED ON WAP FIRST IN FIRST OUT - 1	P	2011-07-21	2013-04-17
ORACLE CORP COM FIRST IN FIRST OUT - 24 SHS	P	2011-07-22	2013-01-16

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

(a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co )	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo , day, yr )	(d) Date sold (mo , day, yr )
PALL CORP FIRST IN FIRST OUT - 12 SHS	P	2011-10-21	2013-01-16
POWERSHARES EXCHANGE -TRADED FD TR II BUI LD AMERICA BOND FIRST IN FIRST OUT	P	2011-11-09	2013-07-17
UNIVERSAL HEALTH SVC S INC CL B FIRST IN - 16 SHS	P	2011-07-22	2013-01-16
VANGUARD WORLD FDS V ANGUARD HEALTH CARE ETF FIRST IN FIRST OUT - 29 SHS	P	2011-07-22	2013-01-16
WISDOMTREE TR JAPAN HEDGED EQUITY FD FIRST IN FIRST OUT - 59 SHS	P	2011-07-22	2013-02-20
WISDOMTREE TR JAPAN HEDGED EQUITY FD FIRST IN FIRST OUT - 8 SHS	P	2011-07-22	2013-04-17
WISDOMTREE TR JAPAN HEDGED EQUITY FD FIRST IN FIRST OUT - 67 SHS	P	2011-07-22	2013-07-17
ACCENTURE PLC IRELAN D CLASS SHS ISIN#IE0 0B4BNMY34 FIRST IN FIRST OUT - 300	P	2012-01-25	2013-01-18
ABB LTD SPONSORED AD R FIRST IN FIRST OUT - 1,200 SHS	P	2013-01-31	2013-09-20
ACTIVISION BLIZZARD INC COM FIRST IN FIRST OUT - 1,300 SHS	P	2012-12-06	2013-03-15
ACTIVISION BLIZZARD INC COM FIRST IN FIRST OUT - 800 SHS	P	2013-01-31	2013-08-16
AGILENT TECHNOLOGIES INC COM FIRST IN FIRST OUT - 600 SHS	P	2012-01-25	2013-01-18
APACHE CORP COM FIRST IN FIRST OUT - 300 SHS	P	2013-01-31	2013-03-25
AUTOMATIC DATA PROCE SSING INC COM FIRST IN - 400 SHS	P	2013-01-31	2013-08-16
CIGNA CORP COM FIRST IN FIRST OUT - 400 SHS	P	2013-01-31	2013-07-19
CHEVRON CORP NEW COM FIRST IN FIRST OUT - 200 SHS	P	2012-01-25	2013-01-18
CITIGROUP INC COM NE W ISIN#US1729674242 FIRST IN FIRST OUT - 600 SHS	P	2013-01-31	2013-09-20
COLGATE PALMOLIVE CO COM FIRST IN FIRST OUT - 400 SHS	P	2013-01-31	2013-08-16
CONCUR TECHNOLOGIES INC COM FIRST IN FIRST OUT - 200 SHS	P	2013-03-25	2013-11-15
CYTEC INDS INC COM FIRST IN FIRST OUT - 300 SHS	P	2013-01-31	2013-08-27
DARDEN RESTAURANTS I NC COM FIRST IN FIRST OUT - 400 SHS	P	2012-02-10	2013-01-31
DISCOVER FINL SVCS C OM INC FIRST IN - 300 SHS	P	2013-03-25	2013-10-18
EDISON INTERNATIONAL FIRST IN FIRST OUT - 500 SHS	P	2013-01-31	2013-08-12
EMERSON ELEC CO COM FIRST IN FIRST OUT - 300 SHS	P	2012-02-23	2013-01-18
HARTFORD FINL SVCS G ROUP INC COM FIRST IN FIRST OUT - 800 SHS	P	2012-12-06	2013-05-29
ILLUMINA INC COM ISI N#US4523271090 FIRST IN FIRST OUT - 500 SHS	P	2013-01-31	2013-09-20
JPMORGAN CHASE CO ALERIAN MLP INDEX ET N BASED ON WAP FIRST IN FIRST OUT - 1	P	2012-09-07	2013-08-12
KANSAS CITY SOUTHN C OM NEW FIRST IN FIRST OUT - 200 SHS	P	2012-12-06	2013-06-05
LILLY ELI CO COM FIRST IN - 500 SHS	P	2013-01-31	2013-08-12
MERCK CO INC NEW C OM FIRST IN FIRST OUT - 200 SHS	P	2012-12-06	2013-07-15

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

(a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co )	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo , day, yr )	(d) Date sold (mo , day, yr )
MERCK CO INC NEW C OM FIRST IN FIRST OUT - 200 SHS	P	2012-12-06	2013-08-12
MERCK CO INC NEW C OM FIRST IN FIRST OUT - 200 SHS	P	2013-01-31	2013-08-12
METLIFE INC COM FIRST IN FIRST OUT - 600 SHS	P	2013-01-31	2013-08-06
NORTHROP GRUMMAN CORP P COM FIRST IN FIRST OUT - 500 SHS	P	2012-01-25	2013-01-18
PALL CORP FIRST IN FIRST OUT - 300 SHS	P	2013-01-31	2013-09-20
PEPSICO INC COM FIRST IN FIRST OUT - 400 SHS	P	2012-01-25	2013-01-18
ROCKWOOD HLDGS INC C OM VERSUS PURCHASE - 500 SHS	P	2013-01-31	2013-08-16
SSGA ACTIVE ETF TR B LACKSTONE GSO SR L N ETF FIRST IN FIRST OUT - 475 SHS	P	2013-04-25	2013-10-31
STARBUCKS CORP COM FIRST IN FIRST OUT - 400 SHS	P	2013-01-31	2013-07-19
TCW EMERGING MARKETS INCOME FD CL 1 VERSUS PURCHASE - 122 830 SHS	P	2012-12-28	2013-12-27
TCW EMERGING MARKETS INCOME FD CL 1 VERSUS PURCHASE - 25 709 SHS	P	2012-12-28	2013-12-27
TCW EMERGING MARKETS INCOME FD CL 1 VERSUS PURCHASE - 26 257 SHS	P	2013-01-31	2013-12-27
TCW EMERGING MARKETS INCOME FD CL 1 VERSUS PURCHASE - 26 582 SHS	P	2013-02-28	2013-12-27
TCW EMERGING MARKETS INCOME FD CL 1 VERSUS PURCHASE - 26 972 SHS	P	2013-03-28	2013-12-27
TCW EMERGING MARKETS INCOME FD CL 1 VERSUS PURCHASE - 26 726 SHS	P	2013-04-30	2013-12-27
TCW EMERGING MARKETS INCOME FD CL 1 VERSUS PURCHASE - 27 747 SHS	P	2013-05-31	2013-12-27
TCW EMERGING MARKETS INCOME FD CL 1 VERSUS PURCHASE - 29 380 SHS	P	2013-06-28	2013-12-27
TCW EMERGING MARKETS INCOME FD CL 1 VERSUS PURCHASE - 29 777 SHS	P	2013-07-31	2013-12-27
TCW EMERGING MARKETS INCOME FD CL 1 VERSUS PURCHASE - 24 162 SHS	P	2013-08-30	2013-12-27
TCW EMERGING MARKETS INCOME FD CL 1 VERSUS PURCHASE - 23 800 SHS	P	2013-09-30	2013-12-27
TCW EMERGING MARKETS INCOME FD CL 1 VERSUS PURCHASE - 23 452 SHS	P	2013-11-01	2013-12-27
TCW TOTAL RETURN BON D FUND CLASS I VERSUS PURCHASE - 1,187 926 SHS	P	2012-10-04	2013-04-26
TCW TOTAL RETURN BON D FUND CLASS I VERSUS PURCHASE - 5 789 SHS	P	2012-11-01	2013-04-26
TCW TOTAL RETURN BON D FUND CLASS I VERSUS PURCHASE - 5 221 SHS	P	2012-11-30	2013-04-26
TCW TOTAL RETURN BON D FUND CLASS I VERSUS PURCHASE - 5 243 SHS	P	2012-12-28	2013-04-26
TCW TOTAL RETURN BON D FUND CLASS I VERSUS PURCHASE - 4 969 SHS	P	2013-01-31	2013-04-26
TCW TOTAL RETURN BON D FUND CLASS I VERSUS PURCHASE - 4 994 SHS	P	2013-02-28	2013-04-26
TCW TOTAL RETURN BON D FUND CLASS I VERSUS PURCHASE - 4 725 SHS	P	2013-03-28	2013-04-26
TOTAL S A SPONSORED ADR FIRST IN FIRST OUT - 500 SHS	P	2012-01-25	2013-01-18
TRIUMPH GROUP INC NEW COM FIRST IN FIRST OUT - 300 SHS	P	2012-10-25	2013-06-21

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

(a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co )	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo , day, yr )	(d) Date sold (mo , day, yr )
UNITEDHEALTH GROUP 1 NC COM FIRST IN FIRST OUT - 300 SHS	P	2012-02-23	2013-01-31
UNIVERSAL HEALTH SVC S INC CL B FIRST IN - 400 SHS	P	2013-01-31	2013-07-19
VMWARE INC CL A COM FIRST IN FIRST OUT - 200 SHS	P	2012-07-24	2013-01-18
VMWARE INC CL A COM FIRST IN FIRST OUT - 300 SHS	P	2013-01-31	2013-08-12
VODAFONE GROUP PLC S PON ADR NEW ISIN#US9 2857W2098 FIRST IN FIRST OUT - 800	P	2012-02-10	2013-01-31
YUM BRANDS INC COM FIRST IN FIRST OUT - 400 SHS	P	2012-01-25	2013-01-18
ENSCO PLC SHS CL AI SIN#GB00B4VLR192 FIRST IN FIRST OUT - 300 SHS	P	2011-07-15	2013-01-18
ENSCO PLC SHS CL AI SIN#GB00B4VLR192 FIRST IN FIRST OUT - 200 SHS	P	2011-07-21	2013-01-18
ASTRAZENECA PLC SPON SORED ADR FIRST IN - 600 SHS	P	2012-01-25	2013-07-19
INTEL CORP COM FIRST IN FIRST OUT - 1,000 SHS	P	2012-02-14	2013-10-18
SMITHFIELD FOODS INC COM FIRST IN FIRST OUT - 600 SHS	P	2012-06-29	2013-07-02
SMITHFIELD FOODS INC COM FIRST IN FIRST OUT - 100 SHS	P	2012-06-29	2013-07-09
SMITHFIELD FOODS INC COM FIRST IN FIRST OUT - 500 SHS	P	2012-06-29	2013-09-30
SYSCO CORP FIRST IN FIRST OUT - 700 SHS	P	2012-02-10	2013-08-27
TCW EMERGING MARKETS INCOME FD CL 1 VERSUS PURCHASE - 5,096 263 SHS	P	2012-03-08	2013-12-27
TCW EMERGING MARKETS INCOME FD CL 1 VERSUS PURCHASE - 23 165 SHS	P	2012-03-30	2013-12-27
TCW EMERGING MARKETS INCOME FD CL 1 VERSUS PURCHASE - 23 191 SHS	P	2012-04-30	2013-12-27
TCW EMERGING MARKETS INCOME FD CL 1 VERSUS PURCHASE - 24 172 SHS	P	2012-05-31	2013-12-27
TCW EMERGING MARKETS INCOME FD CL 1 VERSUS PURCHASE - 23 728 SHS	P	2012-06-29	2013-12-27
TCW EMERGING MARKETS INCOME FD CL 1 VERSUS PURCHASE - 25 895 SHS	P	2012-07-31	2013-12-27
TCW EMERGING MARKETS INCOME FD CL 1 VERSUS PURCHASE - 25 824 SHS	P	2012-08-31	2013-12-27
TCW EMERGING MARKETS INCOME FD CL 1 VERSUS PURCHASE - 25 725 SHS	P	2012-09-28	2013-12-27
TCW EMERGING MARKETS INCOME FD CL I VERSUS PURCHASE - 25 490 SHS	P	2012-11-01	2013-12-27
TCW EMERGING MARKETS INCOME FD CL I VERSUS PURCHASE - 25 396 SHS	P	2012-11-30	2013-12-27
TCW EMERGING MARKETS INCOME FD CL I VERSUS PURCHASE - 23 885 SHS	P	2013-11-29	2013-12-27
CHINA MOBILE LTD SPO N ADR S A ISIN#US169 41M099 FIRST IN FIRST OUT - 300 SH	P	2011-12-19	2013-01-17
HESS CORP COM FIRST IN FIRST OUT - 200 SHS	P	2011-07-15	2013-01-31
HESS CORP COM FIRST IN FIRST OUT - 200 SHS	P	2011-07-21	2013-01-31
MORGAN STANLEY COM N EW FIRST IN - 1,500 SHS	P	2011-07-15	2013-01-18
ORACLE CORP COM FIRST IN FIRST OUT - 900 SHS	P	2011-07-15	2013-01-18

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

<b>(a)</b> 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>(b)</b> How acquired P—Purchase D—Donation	<b>(c)</b> Date acquired (mo , day, yr )	<b>(d)</b> Date sold (mo , day, yr )
ORACLE CORP COM FIRST IN FIRST OUT - 200 SHS	P	2011-07-21	2013-01-18
PROCTER GAMBLE CO COM FIRST IN FIRST OUT - 400 SHS	P	2011-07-15	2013-01-31
PRUDENTIAL FINL INC COM FIRST IN FIRST OUT - 500 SHS	P	2011-07-15	2013-01-31
SIEMENS A G SPONSORE D ADR ISIN#US8261975 010 FIRST IN FIRST OUT - 200 SHS	P	2011-12-19	2013-01-18
UNIVERSAL HEALTH SVC S INC CL B FIRST IN FIRST OUT - 300 SHS	P	2011-07-15	2013-01-18
UNIVERSAL HEALTH SVC S INC CL B FIRST IN FIRST OUT - 200 SHS	P	2011-07-21	2013-01-18



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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
3,597		3,554	43
5,786		5,877	-91
18,212		18,156	56
6,632		6,587	45
6,640		6,587	53
5,387		5,460	-73
8,767		8,810	-43
8,600		9,272	-672
6,115		6,410	-295
9,084		9,117	-33
3,473		3,451	22
5,514		5,730	-216
3,505		3,467	38
5,644		5,743	-99
9,525		9,003	522
2,575		2,499	76
6,191		6,209	-18
3,166		3,067	99
5,941		6,133	-192
6,092		6,380	-288
3,610		3,592	18
5,858		5,945	-87
9,538		9,307	231
3,375		3,309	66
5,456		5,485	-29
3,268		3,145	123
6,441		6,258	183
3,264		3,230	34
5,403		5,346	57
3,254		3,243	11

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
6,461		6,443	18
17,515		17,202	313
13,435		13,530	-95
6,107		6,156	-49
18,321		18,320	1
5,674		5,674	0
12,315		12,599	-284
10,173		10,184	-11
7,231		7,216	15
11,593		11,540	53
19,958		19,685	273
9,163		9,040	123
5,998		5,953	45
12,101		12,900	-799
12,010		12,010	0
6,544		6,611	-67
3,929		4,055	-126
3,111		3,084	27
6,197		6,152	45
3,060		3,056	4
6,125		6,110	15
3,646		3,456	190
5,800		5,736	64
6,679		6,216	463
3,288		3,105	183
7,130		6,790	340
11,509		11,261	248
3,585		3,512	73
5,819		5,811	8
5,660		5,605	55

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
3,369		3,336	33
8,985		8,880	105
3,150		3,011	139
6,243		6,019	224
19,971		19,562	409
17,100		16,920	180
5,752		5,513	239
12,120		12,092	28
2,698		2,633	65
2,619		2,609	10
3,648		3,562	86
5,887		5,894	-7
672		707	-35
810		729	81
743		723	20
565		708	-143
766		703	63
1,262		1,350	-88
1,555		1,636	-81
1,018		1,105	-87
2,351		2,423	-72
888		729	159
938		719	219
233		232	1
783		733	50
866		684	182
1,598		1,826	-228
1,412		1,735	-323
67		57	10
596		483	113

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
3,026		2,527	499
222		222	0
886		930	-44
230		242	-12
1,838		1,869	-31
205		214	-9
2,523		2,545	-22
735		757	-22
735		754	-19
420		424	-4
242		247	-5
4,605		4,667	-62
276		242	34
483		474	9
180		145	35
3,255		2,471	784
779		715	64
2,367		2,543	-176
385		357	28
725		678	47
1,467		1,474	-7
270		277	-7
1,966		1,800	166
281		302	-21
1,859		2,043	-184
597		629	-32
681		660	21
3,442		2,879	563
349		333	16
549		530	19

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
2,031		1,770	261
746		729	17
456		446	10
3,797		3,153	644
3,026		2,746	280
409		403	6
4,667		3,912	755
1,024		902	122
287		277	10
3,069		2,704	365
267		242	25
267		261	6
622		617	5
4,498		4,114	384
386		381	5
429		440	-11
815		717	98
802		755	47
2,005		2,052	-47
765		660	105
145		161	-16
627		564	63
1,471		1,423	48
1,362		1,317	45
989		987	2
105		108	-3
2,181		2,203	-22
843		662	181
939		894	45
1,048		994	54

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
2,783		2,807	-24
229		177	52
1,967		1,593	374
797		786	11
1,170		1,172	-2
1,254		1,385	-131
829		522	307
882		672	210
828		817	11
1,974		1,966	8
738		618	120
373		437	-64
843		993	-150
539		600	-61
1,951		1,773	178
3,157		2,774	383
1,828		2,201	-373
174		185	-11
3,155		3,217	-62
5,056		4,894	162
2,259		2,293	-34
4,454		3,975	479
216		214	2
8,825		8,982	-157
606		591	15
266		202	64
3,176		2,322	854
703		635	68
45		37	8
833		773	60

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
778		592	186
4,473		4,568	-95
853		842	11
2,177		1,868	309
2,412		2,157	255
369		292	77
3,273		2,450	823
18,726		16,971	1,755
28,140		25,702	2,438
16,315		14,819	1,496
10,032		9,158	874
28,680		25,638	3,042
22,370		25,253	-2,883
26,120		23,823	2,297
25,096		23,451	1,645
22,822		21,102	1,720
28,176		25,283	2,893
23,000		21,570	1,430
15,660		13,390	2,270
22,579		22,120	459
18,533		19,780	-1,247
14,760		13,466	1,294
24,191		23,979	212
16,920		15,306	1,614
19,008		17,287	1,721
28,250		25,267	2,983
50,001		42,644	7,357
17,120		15,626	1,494
27,016		26,969	47
9,336		8,898	438

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
9,706		8,898	808
9,706		8,708	998
24,582		22,313	2,269
32,735		29,550	3,185
23,010		20,563	2,447
28,720		26,576	2,144
30,975		27,051	3,924
23,803		23,817	-14
24,684		22,320	2,364
1,035		1,134	-99
217		237	-20
221		244	-23
224		246	-22
227		247	-20
225		248	-23
234		250	-16
248		251	-3
251		253	-2
204		198	6
201		199	2
198		200	-2
12,354		12,145	209
60		59	1
54		53	1
55		54	1
52		51	1
52		51	1
49		49	0
28,300		26,199	2,101
21,465		18,582	2,883



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

<b>(e)</b> Gross sales price	<b>(f)</b> Depreciation allowed (or allowable)	<b>(g)</b> Cost or other basis plus expense of sale	<b>(h)</b> Gain or (loss) (e) plus (f) minus (g)
16,680		16,479	201
24,700		22,667	2,033
19,880		17,624	2,256
25,791		23,165	2,626
21,874		21,888	-14
27,700		24,884	2,816
17,463		15,599	1,864
11,642		10,455	1,187
30,270		28,380	1,890
23,620		26,600	-2,980
15,180		12,822	2,358
2,530		2,137	393
17,000		10,685	6,315
22,268		20,482	1,786
42,962		44,618	-1,656
195		202	-7
196		203	-7
204		204	0
200		205	-5
218		232	-14
218		233	-15
217		234	-17
215		235	-20
214		236	-22
201		208	-7
15,315		13,907	1,408
13,400		14,541	-1,141
13,400		14,813	-1,413
33,420		31,421	1,999
29,187		28,734	453

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
6,486		6,487	-1
29,957		25,879	4,078
29,011		30,179	-1,168
20,674		18,376	2,298
13,695		15,701	-2,006
9,132		10,604	-1,472

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			43
			-91
			56
			45
			53
			-73
			-43
			-672
			-295
			-33
			22
			-216
			38
			-99
			522
			76
			-18
			99
			-192
			-288
			18
			-87
			231
			66
			-29
			123
			183
			34
			57
			11

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			18
			313
			-95
			-49
			1
			0
			-284
			-11
			15
			53
			273
			123
			45
			-799
			0
			-67
			-126
			27
			45
			4
			15
			190
			64
			463
			183
			340
			248
			73
			8
			55

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			33
			105
			139
			224
			409
			180
			239
			28
			65
			10
			86
			-7
			-35
			81
			20
			-143
			63
			-88
			-81
			-87
			-72
			159
			219
			1
			50
			182
			-228
			-323
			10
			113

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			499
			0
			-44
			-12
			-31
			-9
			-22
			-22
			-19
			-4
			-5
			-62
			34
			9
			35
			784
			64
			-176
			28
			47
			-7
			-7
			166
			-21
			-184
			-32
			21
			563
			16
			19

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			261
			17
			10
			644
			280
			6
			755
			122
			10
			365
			25
			6
			5
			384
			5
			-11
			98
			47
			-47
			105
			-16
			63
			48
			45
			2
			-3
			-22
			181
			45
			54

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			-24
			52
			374
			11
			-2
			-131
			307
			210
			11
			8
			120
			-64
			-150
			-61
			178
			383
			-373
			-11
			-62
			162
			-34
			479
			2
			-157
			15
			64
			854
			68
			8
			60



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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			186
			-95
			11
			309
			255
			77
			823
			1,755
			2,438
			1,496
			874
			3,042
			-2,883
			2,297
			1,645
			1,720
			2,893
			1,430
			2,270
			459
			-1,247
			1,294
			212
			1,614
			1,721
			2,983
			7,357
			1,494
			47
			438

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			808
			998
			2,269
			3,185
			2,447
			2,144
			3,924
			-14
			2,364
			-99
			-20
			-23
			-22
			-20
			-23
			-16
			-3
			-2
			6
			2
			-2
			209
			1
			1
			1
			1
			1
			0
			2,101
			2,883

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			201
			2,033
			2,256
			2,626
			-14
			2,816
			1,864
			1,187
			1,890
			-2,980
			2,358
			393
			6,315
			1,786
			-1,656
			-7
			-7
			0
			-5
			-14
			-15
			-17
			-20
			-22
			-7
			1,408
			-1,141
			-1,413
			1,999
			453


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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			-1
			4,078
			-1,168
			2,298
			-2,006
			-1,472


**Form 990PF Part XV Line 1a - 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).**

IRMA ROSENSTEIN
ROBERT ROSENSTEIN
ANN ROSENSTEIN


Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> <i>Paid during the year</i>				
ALPHA BETA LAMBDA CHAP EDUCATION FOUND ADDRESS ON FILE LEXINGTON,KY 40504		501 C (3)	VARIOUS PROGRAMS	100
AMERICAN DIABETES ADDRESS ON FILE LEXINGTON,KY 40504		501 C (3)	MEDICAL PROGRAMS	100
AMERICAN DIABETES ADDRESS ON FILE LEXINGTON,KY 40504		501 C (3)	MEDICAL PROGRAMS	3,200
AMERICAN HEART ASSOCIATION ADDRESS ON FILE LEXINGTON,KY 40504		501 C (3)	MEDICAL PROGRAMS	1,000
ASHLAND THE HENRY CLAY ESTATE ADDRESS ON FILE LEXINGTON,KY 40504		501 C (3)	VARIOUS PROGRAMS	1,000
ASHLAND THE HENRY CLAY ESTATE ADDRESS ON FILE LEXINGTON,KY 40504		501 C (3)	VARIOUS PROGRAMS	3,000
BABY HEALTH SERVICES ADDRESS ON FILE LEXINGTON,KY 40504		501 C (3)	MEDICAL PROGRAMS	75
BABY HEALTH SERVICES ADDRESS ON FILE LEXINGTON,KY 40504		501 C (3)	MEDICAL PROGRAMS	100
BCTC ADDRESS ON FILE LEXINGTON,KY 40504		501 C (3)	VARIOUS PROGRAMS	150
B'NAI BRETH ADDRESS ON FILE LEXINGTON,KY 40504		501 C (3)	VARIOUS PROGRAMS	100
BOY SCOUTS ADDRESS ON FILE LEXINGTON,KY 40504		501 C (3)	VARIOUS PROGRAMS	300
BOY SCOUTS ADDRESS ON FILE LEXINGTON,KY 40504		501 C (3)	VARIOUS PROGRAMS	100
CARDINAL HILL ADDRESS ON FILE LEXINGTON,KY 40504		501 C (3)	MEDICAL PROGRAMS	250
CARNEGIE CENTER ADDRESS ON FILE LEXINGTON,KY 40504		501 C (3)	VARIOUS PROGRAMS	100
CENTRAL KENTUCKY JEWISH FEDERATION ADDRESS ON FILE LEXINGTON,KY 40504		501 C (3)	VARIOUS PROGRAMS	100
<b>Total . . . . .</b>  <b>3a</b>				63,703

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment


Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> Paid during the year				
CHILD DEVELOPMENT ADDRESS ON FILE LEXINGTON, KY 40504		501 C (3)	VARIOUS PROGRAMS	750
FRIEDEL COMMITTEE ADDRESS ON FILE LEXINGTON, KY 40504		501 C (3)	VARIOUS PROGRAMS	300
GOD'S PANTRY ADDRESS ON FILE LEXINGTON, KY 40504		501 C (3)	VARIOUS PROGRAMS	100
GRAND LODGE OF KY ADDRESS ON FILE LEXINGTON, KY 40504		501 C (3)	VARIOUS PROGRAMS	50
HADASSAH ADDRESS ON FILE LEXINGTON, KY 40504		501 C (3)	VARIOUS PROGRAMS	150
HADASSAH ADDRESS ON FILE LEXINGTON, KY 40504		501 C (3)	VARIOUS PROGRAMS	300
HENRY CLAY CENTER FOR STATESMANSHIP ADDRESS ON FILE LEXINGTON, KY 40504		501 C (3)	VARIOUS PROGRAMS	1,500
HOPE CENTER ADDRESS ON FILE LEXINGTON, KY 40504		501 C (3)	VARIOUS PROGRAMS	100
HOSPICE OF WESTERN KY ADDRESS ON FILE LEXINGTON, KY 40504		501 C (3)	MEDICAL PROGRAMS	100
JEWISH FEDERATION OF THE BLUEGRASS ADDRESS ON FILE LEXINGTON, KY 40504		501 C (3)	VARIOUS PROGRAMS	750
JR ACHIEVEMENT ADDRESS ON FILE LEXINGTON, KY 40504		501 C (3)	VARIOUS PROGRAMS	320
KENESETH ISRAEL CONGREGATION ADDRESS ON FILE LEXINGTON, KY 40504		501 C (3)	VARIOUS PROGRAMS	108
KET ADDRESS ON FILE LEXINGTON, KY 40504		501 C (3)	VARIOUS PROGRAMS	500
KY BLOOD BANK ADDRESS ON FILE LEXINGTON, KY 40504		501 C (3)	MEDICAL PROGRAMS	150
KY HORSE PARK ADDRESS ON FILE LEXINGTON, KY 40504		501 C (3)	VARIOUS PROGRAMS	1,500
<b>Total . . . . .</b>  <b>3a</b>				63,703

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> Paid during the year				
LEUKEMIA & LYMPHOMA SOCIETY ADDRESS ON FILE LEXINGTON, KY 40504		501 C (3)	MEDICAL PROGRAMS	100
LEXARTS ADDRESS ON FILE LEXINGTON, KY 40504		501 C (3)	VARIOUS PROGRAMS	660
LEXINGTON HEARING & SPEECH ADDRESS ON FILE LEXINGTON, KY 40504		501 C (3)	MEDICAL PROGRAMS	100
LEXINGTON OPERA SOCIETY ADDRESS ON FILE LEXINGTON, KY 40504		501 C (3)	VARIOUS PROGRAMS	2,000
LEXINGTON OPERA SOCIETY ADDRESS ON FILE LEXINGTON, KY 40504		501 C (3)	VARIOUS PROGRAMS	1,000
MARKEY CANCER CENTER ADDRESS ON FILE LEXINGTON, KY 40504		501 C (3)	MEDICAL PROGRAMS	500
MIDWAY FOUNDATION ADDRESS ON FILE LEXINGTON, KY 40504		501 C (3)	VARIOUS PROGRAMS	500
MUSEUM OF AMERICAN HISTORY ADDRESS ON FILE LEXINGTON, KY 40504		501 C (3)	VARIOUS PROGRAMS	1,000
NARAL ADDRESS ON FILE LEXINGTON, KY 40504		501 C (3)	VARIOUS PROGRAMS	100
NATIONAL MARROW DONOR PROGRAM ADDRESS ON FILE LEXINGTON, KY 40504		501 C (3)	MEDICAL PROGRAMS	50
PLANNED PARENTHOOD ADDRESS ON FILE LEXINGTON, KY 40504		501 C (3)	VARIOUS PROGRAMS	400
SANDERS BROWN CENTER ON AGING ADDRESS ON FILE LEXINGTON, KY 40504		501 C (3)	MEDICAL PROGRAMS	2,500
SOUTHERN POVERTY LAW CENTER ADDRESS ON FILE LEXINGTON, KY 40504		501 C (3)	VARIOUS PROGRAMS	100
TEMPLE ADATH ISREAL ADDRESS ON FILE LEXINGTON, KY 40504		501 C (3)	VARIOUS PROGRAMS	800
TEMPLE ADATH ISREAL ADDRESS ON FILE LEXINGTON, KY 40504		501 C (3)	VARIOUS PROGRAMS	3,025
<b>Total . . . . .</b>  <b>3a</b>				63,703



Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> <i>Paid during the year</i>				
TEMPLE ADATH ISREAL ADDRESS ON FILE LEXINGTON,KY 40504		501 C (3)	VARIOUS PROGRAMS	1,775
TEMPLE ADATH ISREAL ADDRESS ON FILE LEXINGTON,KY 40504		501 C (3)	VARIOUS PROGRAMS	1,000
TEMPLE ADATH ISREAL ADDRESS ON FILE LEXINGTON,KY 40504		501 C (3)	VARIOUS PROGRAMS	50
THE PINK CONNECTION ADDRESS ON FILE LEXINGTON,KY 40504		501 C (3)	MEDICAL PROGRAMS	190
TRANSYLVANIA UNIVERSITY ADDRESS ON FILE LEXINGTON,KY 40504		501 C (3)	VARIOUS PROGRAMS	3,500
TRANSYLVANIA UNIVERSITY ADDRESS ON FILE LEXINGTON,KY 40504		501 C (3)	VARIOUS PROGRAMS	4,000
TRANSYLVANIA UNIVERSITY ADDRESS ON FILE LEXINGTON,KY 40504		501 C (3)	VARIOUS PROGRAMS	1,000
UK ART MUSEUM ADDRESS ON FILE LEXINGTON,KY 40504		501 C (3)	VARIOUS PROGRAMS	1,000
UK CHILDRENS HOPSITAL ADDRESS ON FILE LEXINGTON,KY 40504		501 C (3)	MEDICAL PROGRAMS	100
UK HEALTH CARE ADDRESS ON FILE LEXINGTON,KY 40504		501 C (3)	MEDICAL PROGRAMS	300
UK SCHOOL OF SOCIAL WORK ADDRESS ON FILE LEXINGTON,KY 40504		501 C (3)	VARIOUS PROGRAMS	20,000
US HOLOCAUST MUSEUM ADDRESS ON FILE LEXINGTON,KY 40504		501 C (3)	VARIOUS PROGRAMS	100
VANDERBILT UNIVERSITY ADDRESS ON FILE LEXINGTON,KY 40504		501 C (3)	VARIOUS PROGRAMS	1,500
<b>Total . . . . .</b>  <b>3a</b>				63,703

**TY 2013 Investments Corporate  
Stock Schedule****Name:** ROSENSTEIN FAMILY CHARITABLE FOUNDATION INC**EIN:** 61-1316211

Name of Stock	End of Year Book Value	End of Year Fair Market Value
OTHER INVESTMENTS SEE ATTACHED SCHEDULES	1,464,625	1,580,763

**TY 2013 Other Expenses Schedule****Name:** ROSENSTEIN FAMILY CHARITABLE FOUNDATION INC**EIN:** 61-1316211

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
INVESTMENT FEES	10,774	10,774		0
WIRE TRANSFER FEES	10	0		0
ACCOUNTING FEES	4,950	0		0
BANK FEES	65	0		0

**TY 2013 Other Income Schedule****Name:** ROSENSTEIN FAMILY CHARITABLE FOUNDATION INC**EIN:** 61-1316211

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
OTHER INCOME 430	7,893	7,893	7,893
OTHER INCOME 824	37	37	37
NONDIVIDEND DISTRIBUTIONS 430	1,798	1,798	1,798
NONDIVIDEND DISTRIBUTIONS 834	39	39	39

TY 2013 Substantial Contributors Schedule

**Name:** ROSENSTEIN FAMILY CHARITABLE FOUNDATION INC

**EIN:** 61-1316211

Name	Address
ESTATE OF IRVING ROSENSTEIN	1410 LAKEWOOD DRIVE LEXINGTON, KY 40502

**TY 2013 Taxes Schedule****Name:** ROSENSTEIN FAMILY CHARITABLE FOUNDATION INC**EIN:** 61-1316211

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FOREIGN TAXES	353	353		0
FEDERAL TAX	3,220	0		0