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

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2013

Open to Public Inspection

For calendar year 2013 or tax year beginning

, 2013, and ending

, 20

Name of foundation Norma D. Hanley and Thomas R. Hanley Foundation		A Employer identification number 61-1326779
Number and street (or P.O. box number if mail is not delivered to street address) 7504 Chestnut Hill Drive	Room/suite	B Telephone number (see instructions) 502-228-0161
City or town, state or province, country, and ZIP or foreign postal code Prospect, KY 40059-9484		C If exemption application is pending, check here <input type="checkbox"/>
G Check all that apply: <input type="checkbox"/> Initial return <input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Final return <input type="checkbox"/> Amended return <input type="checkbox"/> Address change <input type="checkbox"/> Name change		D 1. Foreign organizations, check here <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/>
H 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		E If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/>
I Fair market value of all assets at end of year (from Part II, col. (c), line 16) ► \$ 215075.11	J 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.)	F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>

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)				
	2 Check <input checked="" type="checkbox"/> if the foundation is not required to attach Sch. B				
	3 Interest on savings and temporary cash investments	6.80	6.80	6.80	
	4 Dividends and interest from securities	1894.42	1894.42	1894.42	
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	15436.18			
	b Gross sales price for all assets on line 6a				
	7 Capital gain net income (from Part IV, line 2)		15436.18		
	8 Net short-term capital gain			0.00	
	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)	9516.00	9516.00	9516.00		
12 Total. Add lines 1 through 11	26853.40	26853.40	11417.22		
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc.	1500.00	1500.00	1500.00	1500.00
	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)	2594.48	2594.48	2594.48	2594.48
	17 Interest				
	18 Taxes (attach schedule) (see instructions)	80.88	80.88	80.88	80.88
	19 Depreciation (attach schedule) and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses (attach schedule)	203.20	203.20	203.20	203.20
	24 Total operating and administrative expenses. Add lines 13 through 23	4378.56	4378.56	4378.56	4378.56
	25 Contributions, gifts, grants paid	9050.00			9050.00
26 Total expenses and disbursements. Add lines 24 and 25	13428.56	4378.56	4378.56	13428.56	
27 Subtract line 26 from line 12:					
a Excess of revenue over expenses and disbursements	13424.84				
b Net investment income (if negative, enter -0-)		22474.84			
c Adjusted net income (if negative, enter -0-)			7038.66		

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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	11709.15	11703.28	11703.28		
	2 Savings and temporary cash investments					
	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)	121984.73	136415.40	203371.83		
	c Investments—corporate bonds (attach schedule)					
Liabilities	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)	133693.88	148118.68	215075.11		
	17 Accounts payable and accrued expenses					
	18 Grants payable	1000.00	2000.00			
Net Assets or Fund Balances	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)	1000.00	2000.00			
	Foundations that follow SFAS 117, check here ▶ <input type="checkbox"/> and complete lines 24 through 26 and lines 30 and 31.					
	24 Unrestricted					
Net Assets or Fund Balances	25 Temporarily restricted					
	26 Permanently restricted					
	Foundations that do not follow SFAS 117, check here ▶ <input type="checkbox"/> 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	132693.88	146118.68			
	30 Total net assets or fund balances (see instructions)	132693.88	146118.68			
Net Assets or Fund Balances	31 Total liabilities and net assets/fund balances (see instructions)	132693.88	146118.68			

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	132693.88
2 Enter amount from Part I, line 27a	2	13424.84
3 Other increases not included in line 2 (itemize) ▶	3	
4 Add lines 1, 2, and 3	4	146118.72
5 Decreases not included in line 2 (itemize) ▶ Adjustment loss (0.04)	5	0.04
6 Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	146118.68

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 Merrill-Lynch 655-04086 (attached)	P	various	various
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			
b			
c			
d			
e			

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

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

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 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	9,050	215,075	0.0421
2011	4,400	161,141	0.0273
2010	3,850	155,762	0.0247
2009	7,150	156,679	0.0456
2008	5,865	143,348	0.0409

2 Total of line 1, column (d)	2	0.1806
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	0.0361
4 Enter the net value of noncharitable-use assets for 2013 from Part X, line 5	4	184579.47
5 Multiply line 4 by line 3	5	6863.32
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	224.75
7 Add lines 5 and 6	7	6888.07
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	13428.56

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 <input type="checkbox"/> 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 <input checked="" type="checkbox"/> and enter 1% of Part I, line 27b	1	224	75
c	All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b).			
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	2		
3	Add lines 1 and 2	3	224	75
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	4		
5	Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-	5	224	75
6	Credits/Payments:			
a	2013 estimated tax payments and 2012 overpayment credited to 2013	6a		
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		
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	224	75
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 <input type="checkbox"/> Refunded <input type="checkbox"/>	11		

Part VII-A Statements Regarding Activities

	Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		<input checked="" type="checkbox"/>
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see Instructions for the definition)? <i>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.</i>		<input checked="" type="checkbox"/>
c Did the foundation file Form 1120-POL for this year?		<input checked="" type="checkbox"/>
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. ▶ \$ _____ (2) On foundation managers. ▶ \$ _____		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ▶ \$ _____		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? <i>If "Yes," attach a detailed description of the activities.</i>		<input checked="" type="checkbox"/>
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? <i>If "Yes," attach a conformed copy of the changes.</i>		<input checked="" type="checkbox"/>
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		<input checked="" type="checkbox"/>
b If "Yes," has it filed a tax return on Form 990-T for this year?		<input checked="" type="checkbox"/>
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? <i>If "Yes," attach the statement required by General Instruction T.</i>		<input checked="" type="checkbox"/>
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?	<input checked="" type="checkbox"/>	
7 Did the foundation have at least \$5,000 in assets at any time during the year? <i>If "Yes," complete Part II, col. (c), and Part XV</i>	<input checked="" type="checkbox"/>	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ <u>Kentucky</u>		
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? <i>If "No," attach explanation</i>	<input checked="" type="checkbox"/>	
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)? <i>If "Yes," complete Part XIV</i>		<input checked="" type="checkbox"/>
10 Did any persons become substantial contributors during the tax year? <i>If "Yes," attach a schedule listing their names and addresses</i>		<input checked="" type="checkbox"/>

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		✓
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		✓
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ▶	13	✓	
14	The books are in care of ▶ <u>Thomas R. Hanley</u> Telephone no. ▶ <u>502-228-0161</u> Located at ▶ <u>7504 Chestnut Hill Drive, Prospect, KY</u> ZIP+4 ▶ <u>40059-9484</u>			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041—Check here. ▶ <input type="checkbox"/> and enter the amount of tax-exempt interest received or accrued during the year ▶ <u>15</u>			
16	At any time during calendar year 2013, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? See the instructions for exceptions and filing requirements for Form TD F 90-22.1. If "Yes," enter the name of the foreign country ▶	16	Yes	No
				✓

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? (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.) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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)? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No 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? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	1c	✓
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 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.) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	2b	
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. ▶ 20____, 20____, 20____, 20____		
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? <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? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2013.) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	3b	
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	4a	✓
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? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	4b	✓

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

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

5b

6b

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
Norma D. Hanley, 7504 Chestnut Hill Drive Prospect, KY 40059-9484	President/Director 1.00	1500.00		
Thomas R. Hanley, 7504 Chestnut Hill Drive Prospect, KY 40059-9484	V. Pres./Director 0.50			
Margaret M. Decker, 13600 La Grange Road Louisville, KY 40245	Director 0.25			

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 ☐

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 ▶

Part IX-A Summary of Direct Charitable Activities

List the foundation's four largest direct charitable activities during the tax year. Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc.

Expenses

1 N/A	
2	
3	
4	

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

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2.

Amount

1 N/A	
2	
All other program-related investments See instructions.	
3	

Total. Add lines 1 through 3 ▶

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
a	Average monthly fair market value of securities	1a	168622.74
b	Average of monthly cash balances	1b	18767.58
c	Fair market value of all other assets (see instructions)	1c	
d	Total (add lines 1a, b, and c)	1d	187390.32
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	
2	Acquisition indebtedness applicable to line 1 assets	2	
3	Subtract line 2 from line 1d	3	187390.32
4	Cash deemed held for charitable activities. Enter 1 1/2 % of line 3 (for greater amount, see instructions)	4	2810.85
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	184579.47
6	Minimum investment return. Enter 5% of line 5	6	9228.97

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	9228.97
2a	Tax on investment income for 2013 from Part VI, line 5	2a	224.75
b	Income tax for 2013. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	224.75
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	9004.22
4	Recoveries of amounts treated as qualifying distributions	4	
5	Add lines 3 and 4	5	9004.22
6	Deduction from distributable amount (see instructions)	6	
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	9004.22

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	13428.56
b	Program-related investments—total from Part IX-B	1b	
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	13428.56
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b (see instructions)	5	224.75
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	13203.81

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				9004.22
2 Undistributed income, if any, as of the end of 2013:				
a Enter amount for 2012 only			0.00	
b Total for prior years: 20____, 20____, 20____		0.00		
3 Excess distributions carryover, if any, to 2013:				
a From 2008				
b From 2009				
c From 2010				
d From 2011				
e From 2012	2097.89			
f Total of lines 3a through e	2097.89			
4 Qualifying distributions for 2013 from Part XII, line 4: ► \$ <u>13428.56</u>				
a Applied to 2012, but not more than line 2a			0.00	
b Applied to undistributed income of prior years (Election required—see instructions)		0.00		
c Treated as distributions out of corpus (Election required—see instructions)	0.00			
d Applied to 2013 distributable amount				6906.33
e Remaining amount distributed out of corpus	6522.23			
5 Excess distributions carryover applied to 2013 (If an amount appears in column (d), the same amount must be shown in column (a).)	2097.89			
6 Enter the net total of each column as indicated below:				
a Corpus. Add lines 3f, 4c, and 4e. Subtract line 5	6522.23			
b Prior years' undistributed income. Subtract line 4b from line 2b		0.00		
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		0.00		
d Subtract line 6c from line 6b. Taxable amount—see instructions		0.00		
e Undistributed income for 2012. Subtract line 4a from line 2a. Taxable amount—see instructions			0.00	
f Undistributed income for 2013. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2014				0.00
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions)	0.00			
8 Excess distributions carryover from 2008 not applied on line 5 or line 7 (see instructions)	0.00			
9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a	6522.23			
10 Analysis of line 9:				
a Excess from 2009				
b Excess from 2010				
c Excess from 2011				
d Excess from 2012				
e Excess from 2013	6522.23			

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

- 1a** If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2013, enter the date of the ruling **N/A**
- b** Check box to indicate whether the foundation is a private operating foundation described in section ☐ 4942(j)(3) or ☐ 4942(j)(5)

	Tax year	Prior 3 years			(e) Total
	(a) 2013	(b) 2012	(c) 2011	(d) 2010	
2a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed					
b 85% of line 2a					
c Qualifying distributions from Part XII, line 4 for each year listed					
d Amounts included in line 2c not used directly for active conduct of exempt activities					
e Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c					
3 Complete 3a, b, or c for the alternative test relied upon:					
a "Assets" alternative test—enter:					
(1) Value of all assets					
(2) Value of assets qualifying under section 4942(j)(3)(B)(i)					
b "Endowment" alternative test—enter $\frac{2}{3}$ 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 ☒ 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:

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




- | 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? | | Yes | No |
|---|--|-----|----|
| a | Transfers from the reporting foundation to a noncharitable exempt organization of: | | |
| | (1) Cash | | ✓ |
| | (2) Other assets | | ✓ |
| b | Other transactions: | | |
| | (1) Sales of assets to a noncharitable exempt organization | | ✓ |
| | (2) Purchases of assets from a noncharitable exempt organization | | ✓ |
| | (3) Rental of facilities, equipment, or other assets | | ✓ |
| | (4) Reimbursement arrangements | | ✓ |
| | (5) Loans or loan guarantees | | ✓ |
| | (6) Performance of services or membership or fundraising solicitations | | ✓ |
| c | Sharing of facilities, equipment, mailing lists, other assets, or paid employees | 1c | ✓ |
| 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. | | |

[illegible]

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

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

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

Signature of officer or trustee Date Title

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

Paid Preparer Use Only	Print/Type preparer's name	Preparer's signature	Date	Check <input type="checkbox"/> if self-employed	PTIN
	Firm's name ▶			Firm's EIN ▶	
	Firm's address ▶			Phone no.	

Norma D. Hanley and Thomas R. Hanley Foundation Corporation
EIN 61-1326779

SCHEDULE OF INFORMATION FOR FORM 990-PF

Part I – Line 11

Funds Received \$ 9516.00

Part I – Line 16c

Annual Merrill Lynch Account Fees \$ 2594.48

Part I – Line 18

Federal Excise Tax on Investment Income \$ 80.88

Part I – Line 23

Kentucky Corporation Renewal Fee \$ 15.00

Courier-Journal Fee for Public Notice \$ 188.20

Part II – Line 10b

	<i>1/1/12 Book Value</i>	<i>12/31/12 Book Value</i>	<i>Fair Market Value</i>
Attached	121,984.73	136,415.40	203,371.83

Part XV – Line 3a

Bellarmino University, Louisville, KY	N/A	Public	Unrestricted Donation	1900.00
Trinity High School, Louisville, KY	N/A	Public	Unrestricted Donation	250.00
University of Dayton, Dayton, OH	N/A	Public	Unrestricted Donation	4000.00
Tau Beta Pi, Knoxville, TN	N/A	Public	Unrestricted Donation	50.00
United Way, Lee County, AL	N/A	Public	Unrestricted Donation	100.00
University of Louisville, Louisville, KY	N/A	Public	Unrestricted Donation	600.00
Hand in Hand, Louisville, KY	N/A	Public	Unrestricted Donation	100.00
Christ Church United Methodist, Louisville, KY	N/A	public	Unrestricted Donation	500.00
AIChE, New York NY	N/A	public	Unrestricted Donation	500.00
Auburn University, Auburn, AL	N/A	Public	Unrestricted Donation	500.00
Virginia Tech, Blacksburg, VA	N/A	Public	Unrestricted Donation	500.00
Planned Parenthood, Louisville, KY	N/A	Public	Unrestricted Donation	50.00
TOTAL				9050.00

The following public notice appeared in the Louisville Courier-Journal on May 25, 2014.

Public Notice

The annual return of the Norma D. Hanley and Thomas R. Hanley Foundation (7504 Chestnut Hill Drive, Prospect, KY 40059) is available for inspection during normal business hours within 180 days after publication of this notice. Thomas R. Hanley, Vice President, (502)228-0161.

EMATM Fiscal Statement

NORMA D & THOMAS R HANLEY

CURRENT PORTFOLIO SUMMARY

Quantity	Security Description	Date Acquired	Total/Adj Cost Basis	Fiscal Year Value 12/31/13	Unrealized Gain or (Loss)	Est Accrued Interest	Est Annual Income
	CASH		57.17	57.17			
1,101	ML BANK DEPOSIT PROGRAM	01/25/13	1,101.00	1,101.00			0.55
	Total Cash and Money Funds		1,158.17	1,158.17			0.55

CURRENT PORTFOLIO SUMMARY

Quantity	Security Description	Date Acquired	Total/Adj Cost Basis	Fiscal Year Value 12/31/13	Unrealized Gain or (Loss)	Est Annual Income
	Equities					
50	ALASKA AIR GROUP INC COM	11/25/13	3,894.46	3,668.50	(225.96)	40.00
38	ASBURY AUTOMOTIVE GROUP	08/03/12	1,021.17	2,042.12	1,020.95	
57	ASBURY AUTOMOTIVE GROUP	08/13/12	1,523.79	3,063.18	1,539.39	
5	ASBURY AUTOMOTIVE GROUP	09/07/12	149.01	268.70	119.69	
1	ASBURY AUTOMOTIVE GROUP	10/04/12	29.26	53.74	24.48	
26	ASBURY AUTOMOTIVE GROUP	04/01/13	948.62	1,397.24	448.62	
74	AMERICAN INTERNATIONAL GROUP INC	09/05/13	3,602.19	3,777.70	175.51	30.00
3	AMERICAN INTERNATIONAL GROUP INC	11/25/13	150.20	153.15	2.95	2.00

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EMASM Fiscal Statement

NORMA D & THOMAS R HANLEY

CURRENT PORTFOLIO SUMMARY

Quantity	Security Description	Date Acquired	Total/Adj Cost Basis	Fiscal Year Value 12/31/13	Unrealized Gain or (Loss)	Est Annual Income
Equities						
14	APPLE INC	06/01/10	3,716.80	7,854.28	4,137.48	171.00
27	BLACKROCK INC	11/28/12	5,344.12	8,544.69	3,200.57	182.00
3	BLACKROCK INC	12/05/12	578.05	949.41	371.36	21.00
2	BLACKROCK INC	12/18/12	413.68	632.94	219.26	14.00
49	BOEING COMPANY	03/05/13	3,860.11	6,688.01	2,827.90	144.00
16	BOEING COMPANY	03/07/13	1,308.04	2,183.84	875.80	47.00
5	BOEING COMPANY	04/05/13	429.89	682.45	252.56	15.00
48	CONTINENTAL RESOURCES INC	06/07/13	4,089.36	5,400.96	1,311.60	
14	CONTINENTAL RESOURCES INC	06/18/13	1,246.79	1,575.28	328.49	
13	CIGNA CORP	06/18/13	905.34	1,137.24	231.90	1.00
54	CIGNA CORP	07/01/13	3,934.43	4,723.92	789.49	3.00
1	CIGNA CORP	11/25/13	87.93	87.48	(0.45)	1.00
35	CUMMINS INC COM	09/04/13	4,426.45	4,933.95	507.50	88.00
1	CUMMINS INC COM	11/25/13	130.77	140.97	10.20	3.00
34	DEERE CO	06/01/10	1,986.55	3,105.22	1,118.67	70.00
27	DEERE CO	08/02/10	1,814.01	2,465.91	651.90	56.00

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EMATM Fiscal Statement

NORMA D & THOMAS R HANLEY

CURRENT PORTFOLIO SUMMARY

Quantity	Security Description	Date Acquired	Total/Adj Cost Basis	Fiscal Year Value 12/31/13	Unrealized Gain or (Loss)	Est Annual Income
Equities						
4	DEERE CO	10/24/11	297.88	365.32	67.44	9.00
2	DEERE CO	08/17/12	152.45	182.66	30.21	5.00
335	FORD MOTOR CO	01/10/13	4,661.19	5,169.05	507.86	134.00
1	FORD MOTOR CO	01/15/13	14.19	15.43	1.24	1.00
24	FORD MOTOR CO	03/04/13	304.73	370.32	65.59	10.00
13	FORD MOTOR CO	06/18/13	203.61	200.59	(3.02)	6.00
6	FORD MOTOR CO	11/25/13	102.30	92.58	(9.72)	3.00
4	GOOGLE INC CL A	02/27/13	3,217.41	4,482.84	1,265.43	
1	GOOGLE INC CL A	03/01/13	805.36	1,120.71	315.35	
29	GENERAC HLDGS INC	07/01/13	1,130.91	1,642.56	511.65	
76	GENERAC HLDGS INC	07/02/13	2,971.41	4,304.64	1,333.23	
48	GENERAC HLDGS INC	09/20/13	2,069.02	2,718.72	649.70	
24	GILEAD SCIENCES INC COM	12/05/12	898.55	1,802.40	903.85	
14	GILEAD SCIENCES INC COM	12/18/12	531.27	1,051.40	520.13	
42	GILEAD SCIENCES INC COM	01/02/13	1,560.64	3,154.20	1,593.56	
34	LITHIA MOTORS INC CL A	08/03/12	984.01	2,360.28	1,376.27	18.00
40	LITHIA MOTORS INC CL A	09/07/12	1,233.98	2,776.80	1,542.82	21.00

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EMASM Fiscal Statement

NORMA D & THOMAS R HANLEY

CURRENT PORTFOLIO SUMMARY

Quantity	Security Description	Date Acquired	Total/Adj Cost Basis	Fiscal Year Value 12/31/13	Unrealized Gain or (Loss)	Est Annual Income
Equities						
2	LITHIA MOTORS INC CL A	10/04/12	71.49	138.84	67.35	2.00
1	LITHIA MOTORS INC CL A	11/05/12	34.81	69.42	34.61	1.00
33	LITHIA MOTORS INC CL A	02/20/13	1,364.93	2,290.86	925.93	18.00
22	LINKEDIN CORP CLASS A COMMON STOCK	07/01/13	4,029.49	4,770.26	740.77	
72	NU SKIN ENTERPRS A \$.001	04/10/13	3,521.17	9,951.84	6,430.67	87.00
22	NU SKIN ENTERPRS A \$.001	05/02/13	1,210.14	3,040.84	1,830.70	27.00
4	PRICELINE COM INC	03/01/13	2,782.62	4,649.60	1,866.98	
1	PRICELINE COM INC	03/12/13	719.12	1,162.40	443.28	
1	PRICELINE COM INC	03/22/13	696.43	1,162.40	465.97	
20	PIONEER NATURAL RES CO	05/03/13	2,597.22	3,681.40	1,084.18	2.00
13	PIONEER NATURAL RES CO	05/09/13	1,801.54	2,392.91	591.37	2.00
9	PIONEER NATURAL RES CO	06/18/13	1,409.54	1,656.63	247.09	1.00
49	PACKAGING CORP AMERICA	03/20/13	2,120.69	3,100.72	980.03	79.00
44	PACKAGING CORP AMERICA	03/27/13	1,953.79	2,784.32	830.53	71.00
2	PACKAGING CORP AMERICA	04/01/13	89.07	126.56	37.49	4.00
7	PACKAGING CORP AMERICA	04/05/13	309.52	442.96	133.44	12.00

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EMASM Fiscal Statement

NORMA D & THOMAS R HANLEY

CURRENT PORTFOLIO SUMMARY

Quantity	Security Description	Date Acquired	Total/Adj Cost Basis	Fiscal Year Value 12/31/13	Unrealized Gain or (Loss)	Est Annual Income
Equities						
50	QUESTCOR PHARMACEUTICALS	04/19/13	1,406.03	2,722.50	1,316.47	60.00
25	QUESTCOR PHARMACEUTICALS	04/24/13	745.00	1,361.25	616.25	30.00
21	QUESTCOR PHARMACEUTICALS	05/01/13	648.53	1,143.45	494.92	26.00
129	SWIFT TRANSPORTATION COMPANY INC	03/25/13	1,879.81	2,865.09	985.28	
120	SWIFT TRANSPORTATION COMPANY INC	05/01/13	1,696.75	2,665.20	968.45	
4	SWIFT TRANSPORTATION COMPANY INC	11/25/13	89.98	88.84	(1.14)	
110	TRACTOR SUPPLY CO	08/09/10	1,983.44	8,533.80	6,550.36	58.00
2	TRACTOR SUPPLY CO	10/04/12	99.03	155.16	56.13	2.00
6	TRACTOR SUPPLY CO	03/04/13	310.17	465.48	155.31	4.00
2	TRACTOR SUPPLY CO	03/15/13	101.98	155.16	53.18	2.00
68	TENNECO INC DEL	11/25/13	3,892.22	3,846.76	(45.46)	
16	TENNECO INC DEL	12/26/13	910.74	905.12	(5.62)	
58	UBIQUITI NETWORKS INC	10/11/13	2,162.57	2,665.68	503.11	
52	UBIQUITI NETWORKS INC	11/14/13	2,264.42	2,389.92	125.50	
1	UBIQUITI NETWORKS INC	11/25/13	38.66	45.96	7.30	

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EMASM Fiscal Statement

NORMA D & THOMAS R HANLEY

CURRENT PORTFOLIO SUMMARY

Quantity	Security Description	Date Acquired	Total/Adj Cost Basis	Fiscal Year Value 12/31/13	Unrealized Gain or (Loss)	Est Annual Income
Equities						
6	UBIQUITI NETWORKS INC	12/26/13	273.87	275.76	1.89	
37	UNION PACIFIC CORP	12/17/12	4,644.07	6,216.00	1,571.93	117.00
3	UNION PACIFIC CORP	12/18/12	381.47	504.00	122.53	10.00
7	UNION PACIFIC CORP	01/07/13	912.68	1,176.00	263.32	23.00
45	VIACOM INC NEW CL B	04/19/13	2,979.01	3,930.30	951.29	54.00
27	VIACOM INC NEW CL B	05/17/13	1,878.58	2,358.18	479.60	33.00
40	VISA INC CL A SHRS	12/31/12	5,976.46	8,907.20	2,930.74	64.00
57	WADDELL & REED FINL A	10/30/13	3,559.45	3,711.84	152.39	78.00
Total Equities			130,276.42	195,851.99	65,575.57	1,962.00
Mutual Funds/Closed End Funds/UIT						
344	SECTOR SPDR FINANCIAL	02/12/13	6,138.98	7,519.84	1,380.86	111.00
Total Mutual Funds/Closed End Funds/UIT			6,138.98	7,519.84	1,380.86	111.00

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EMA Fiscal Statement

NORMA D & THOMAS R HANLEY

REALIZED CAPITAL GAIN AND LOSS SUMMARY

Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sale Amount	Cost Basis	Gain or (Loss)
32.0000	ALLIANCE DATA SYS CORP	05/06/11	12/31/12	4,600.09	2,906.21	1,693.88 LT
18.0000	ALLIANCE DATA SYS CORP	06/28/11	12/31/12	2,587.56	1,669.01	918.55 LT
20.0000	APPLE INC	06/01/10	01/18/13	9,995.21	5,309.71	4,685.50 LT
5.0000	EQUINIX INC	01/09/12	01/10/13	1,074.62	536.13	538.49 LT
70.0000	PETSMART INC	06/18/12	01/28/13	4,476.20	4,813.80	(337.60) ST
3.0000	PETSMART INC	10/04/12	01/28/13	191.84	203.90	(12.06) ST
28.0000	PANERA BREAD CO CL A	08/02/10	01/24/13	4,384.19	2,188.90	2,195.29 LT
2.0000	PANERA BREAD CO CL A	01/30/12	01/24/13	313.15	297.85	15.30 ST
4.0000	PANERA BREAD CO CL A	07/27/12	01/24/13	626.32	647.15	(20.83) ST
30.0000	V F CORPORATION	10/31/12	01/09/13	4,435.62	4,693.58	(257.96) ST
3.0000	V F CORPORATION	12/18/12	01/09/13	443.57	455.65	(12.08) ST
61.0000	VMWARE, INC.	12/19/12	01/07/13	5,572.89	6,011.02	(438.13) ST
58.0000	WATSON PHARMACEUTICALS	08/01/12	01/02/13	4,845.86	4,579.09	266.77 ST
19.0000	WATSON PHARMACEUTICALS	08/13/12	01/02/13	1,587.45	1,514.79	72.66 ST
16.0000	ALEXION PHARMS INC	10/14/11	02/19/13	1,330.07	1,068.97	261.10 LT
21.0000	ALEXION PHARMS INC	10/24/11	02/19/13	1,745.73	1,465.29	280.44 LT
4.0000	ALEXION PHARMS INC	10/27/11	02/19/13	332.51	272.00	60.51 LT
3.0000	ALEXION PHARMS INC	06/19/12	02/19/13	249.40	295.22	N/C
4.0000	ALEXION PHARMS INC	06/19/12	02/25/13	347.88	393.63	(45.75) ST
3.0000	ALEXION PHARMS INC	06/19/12	02/25/13	260.91	329.29	(68.38) ST
13.0000	ALEXION PHARMS INC	01/02/13	02/25/13	1,130.63	1,289.08	(158.45) ST
1.0000	ALEXION PHARMS INC	01/24/13	02/25/13	86.98	94.49	(7.51) ST
13.0000	CF INDS HLDGS INC	08/09/12	02/15/13	2,804.42	2,764.10	40.32 ST
12.0000	CF INDS HLDGS INC	08/09/12	02/21/13	2,403.96	2,551.47	(147.51) ST
3.0000	CF INDS HLDGS INC	08/16/12	02/21/13	601.00	650.19	(49.19) ST
143.0000	DISCOVER FINL SVCS	12/05/12	02/12/13	5,649.68	5,872.32	(222.64) ST
2.0000	DISCOVER FINL SVCS	12/18/12	02/12/13	79.02	80.99	(1.97) ST
14.0000	EXPEDIA INC	08/07/12	02/15/13	904.50	830.61	73.89 ST
47.0000	EXPEDIA INC	08/07/12	02/20/13	2,961.46	2,788.47	172.99 ST
2.0000	EXPEDIA INC	10/04/12	02/20/13	126.02	117.02	9.00 ST
43.0000	MEDNAX INC	01/02/13	02/05/13	3,649.39	3,583.47	65.92 ST
1.0000	MEDNAX INC	01/18/13	02/05/13	84.87	85.91	(1.04) ST
7.0000	PPG INDUSTRIES INC SHS	11/05/12	02/19/13	968.00	852.01	115.99 ST
20.0000	SALESFORCE COM INC	08/16/12	02/25/13	3,307.21	2,926.13	381.08 ST
8.0000	VISA INC CL A SHRS	12/31/12	02/13/13	1,236.19	1,195.29	40.90 ST
35.0000	COGNIZANT TECH SOLUTNS A	01/18/13	03/22/13	2,617.26	2,775.88	(158.62) ST
24.0000	COGNIZANT TECH SOLUTNS A	01/28/13	03/22/13	1,794.70	1,873.93	(79.23) ST
2.0000	COGNIZANT TECH SOLUTNS A	02/14/13	03/22/13	149.56	152.36	(2.80) ST
11.0000	EQUINIX INC	01/09/12	02/27/13	2,338.47	1,179.50	1,158.97 LT

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EMA Fiscal Statement

NORMA D & THOMAS R HANLEY

REALIZED CAPITAL GAIN AND LOSS SUMMARY

Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sale Amount	Cost Basis	Gain or (Loss)
53.0000	EBAY INC COM	10/22/12	03/13/13	2,699 68	2,660 92	38 76 ST
6 0000	SALESFORCE COM INC	08/16/12	03/12/13	1,083 90	877 84	206 06 ST
13 0000	SALESFORCE COM INC	08/27/12	03/12/13	2,348 46	1,968 79	379 67 ST
86 0000	TRW AUTOMOTIVE HLDGS CRP	01/10/13	03/05/13	5,041 35	4,688 90	352 45 ST
16 0000	TRW AUTOMOTIVE HLDGS CRP	02/15/13	03/05/13	937 92	968 71	(30 79) ST
2 0000	TRW AUTOMOTIVE HLDGS CRP	02/21/13	03/05/13	117 25	115 76	1 49 ST
41 0000	EBAY INC COM	10/22/12	04/19/13	2,131 86	2,058 44	73 42 ST
21 0000	EBAY INC COM	01/07/13	04/19/13	1,091 93	1,118 83	(26 90) ST
180 0000	LOUISIANA PAC CORP	02/21/13	04/10/13	3,620 36	3,750 17	(129 81) ST
4 0000	LOUISIANA PAC CORP	02/25/13	04/10/13	80 46	81 76	(1 30) ST
45 0000	PPG INDUSTRIES INC SHS	11/05/12	04/05/13	5,920 85	5,477 22	443 63 ST
105 0000	ROBERTHALF INTL INC COM	02/05/13	04/24/13	3,438 70	3,738 66	(299 96) ST
19 0000	ROBERTHALF INTL INC COM	02/19/13	04/24/13	622 25	696 32	(74 07) ST
3 0000	ROBERTHALF INTL INC COM	02/25/13	04/24/13	98 25	105 89	(7 64) ST
1 0000	ROBERTHALF INTL INC COM	04/05/13	04/24/13	32 75	35 39	(2 64) ST
39 0000	SBA COMMUNICATIONS CRP A	03/04/13	04/01/13	2,805 96	2,822 70	(16 74) ST
1 0000	SBA COMMUNICATIONS CRP A	03/12/13	04/01/13	71 95	72 28	(0 33) ST
46 0000	PHILLIPS 66 SHS	03/20/13	05/09/13	2,867 92	3,135 03	(267 11) ST
12 0000	PHILLIPS 66 SHS	03/28/13	05/09/13	748 16	843 81	(95 65) ST
12 0000	PHILLIPS 66 SHS	04/09/13	05/09/13	748 16	781 56	(33 40) ST
37 0000	SIGNATURE BANK	01/18/13	05/01/13	2,630 19	2,749 59	(119 40) ST
6 0000	SIGNATURE BANK	02/12/13	05/01/13	426 51	457 69	(31 18) ST
18 0000	SIGNATURE BANK	02/19/13	05/01/13	1,279 56	1,356 06	(76 50) ST
35 0000	VALERO ENERGY CORP NEW	01/29/13	05/03/13	1,299 90	1,384 66	N/C
37 0000	VALERO ENERGY CORP NEW	01/29/13	05/03/13	1,374 19	1,463 79	(89 60) ST
4 0000	EASTMAN CHEMICAL CO COM	02/15/13	06/05/13	276 06	298 18	(22 12) ST
4 0000	EQUINIX INC	01/09/12	05/30/13	812 96	428 91	384 05 LT
12 0000	EQUINIX INC	01/09/12	06/12/13	2,319 48	1,286 72	1,032 76 LT
9 0000	EQUINIX INC	08/20/12	06/12/13	1,739 62	1,720 25	19 37 ST
93 0000	GILEAD SCIENCES INC COM	12/05/12	06/05/13	4,665 40	3,481 86	1,183 54 ST
37 0000	VALERO ENERGY CORP NEW	01/29/13	06/18/13	1,400 21	1,463 78	(63 57) ST
35 0000	VALERO ENERGY CORP NEW	01/29/13	06/18/13	1,324 53	1,431 83	(107 30) ST
274 0000	CALAMOS INTL GRTH CL I	01/13/11	06/05/13	4,918 30	4,633 34	284 96 LT
1 0000	CALAMOS INTL GRTH CL I	10/24/11	06/05/13	17 95	16 52	1 43 LT
103 0000	CALAMOS INTL GRTH CL I	10/24/11	06/05/13	1,848 85	1,681 99	166 86 LT
0 8750	CALAMOS INTL GRTH CL I	12/20/12	06/05/13	15 71	15 14	0 57 ST
1 0000	CALAMOS INTL GRTH CL I	12/20/12	06/05/13	17 95	17 83	0 12 ST
12 0000	CST BRANDS INC SHS	01/29/13	07/01/13	374 12	384 18	(10 06) ST
3 0000	CST BRANDS INC SHS	04/05/13	07/01/13	93 53	93 44	0 09 ST
1 0000	CST BRANDS INC SHS	04/05/13	07/01/13	31 18	31 24	(0 06) ST

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EMA Fiscal Statement

NORMA D & THOMAS R HANLEY

REALIZED CAPITAL GAIN AND LOSS SUMMARY

Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sale Amount	Cost Basis	Gain or (Loss)
37 0000	EASTMAN CHEMICAL CO COM	02/15/13	07/01/13	2,635.29	2,758.14	(122.85) ST
13.0000	EASTMAN CHEMICAL CO COM	03/01/13	07/01/13	925.91	910.11	15.80 ST
9 0000	EASTMAN CHEMICAL CO COM	03/14/13	07/01/13	641.03	659.24	(18.21) ST
1 0000	GILEAD SCIENCES INC COM	12/05/12	07/01/13	51.62	37.44	14.18 ST
8.0000	SHERWIN WILLIAMS	05/25/12	07/01/13	1,426.96	1,010.59	416.37 LT
51 0000	ALLIANZGI NFJ INTL VALUE	08/03/12	07/01/13	1,073.54	1,002.15	71.39 ST
18 0000	ALLIANZGI NFJ INTL VALUE	10/04/12	07/01/13	378.90	369.72	9.18 ST
1 0000	ALLIANZGI NFJ INTL VALUE	10/09/12	07/01/13	21.05	20.21	0.84 ST
8 0000	ALLIANZGI NFJ INTL VALUE	10/09/12	07/01/13	168.40	161.36	7.04 ST
3 0000	ALLIANZGI NFJ INTL VALUE	11/05/12	07/01/13	63.15	61.53	1.62 ST
1 0000	ALLIANZGI NFJ INTL VALUE	01/15/13	07/01/13	21.05	21.07	(0.02) ST
2 0000	ALLIANZGI NFJ INTL VALUE	01/15/13	07/01/13	42.10	43.82	(1.72) ST
1 0000	ALLIANZGI NFJ INTL VALUE	01/18/13	07/01/13	21.05	21.93	(0.88) ST
142 0000	ALLIANZGI NFJ INTL VALUE	01/18/13	07/01/13	2,989.10	3,126.84	(137.74) ST
0 8430	ALLIANZGI NFJ INTL VALUE	06/20/13	07/01/13	17.75	18.50	(0.75) ST
2 0000	ALLIANZGI NFJ INTL VALUE	06/20/13	07/01/13	42.11	41.45	0.66 ST
151 0000	EXPRESS INC	06/07/13	08/22/13	2,978.31	3,284.20	(305.89) ST
1 0000	EXPRESS INC	06/18/13	08/22/13	19.73	21.41	(1.68) ST
5 0000	PRECISION CASTPARTS	07/05/13	08/22/13	1,093.02	1,175.04	(82.02) ST
23 0000	SHERWIN WILLIAMS	05/25/12	08/22/13	3,916.88	2,905.46	1,011.42 LT
1 0000	SHERWIN WILLIAMS	09/14/12	08/22/13	170.30	146.00	24.30 ST
34 0000	STAND MOTOR PROD	07/05/13	08/07/13	977.79	1,246.05	(268.26) ST
22 0000	CBOE HOLDINGS INC	07/05/13	09/03/13	1,001.43	1,040.96	(39.53) ST
36 0000	DEERE CO	06/01/10	09/05/13	2,972.01	2,103.40	868.61 LT
30 0000	QUESTCOR PHARMACEUTICALS	04/19/13	09/05/13	2,000.99	843.62	1,157.37 ST
198 0000	WISDOMTREE INVTS INC	03/20/13	09/20/13	2,193.44	2,129.43	64.01 ST
46 0000	WISDOMTREE INVTS INC	04/01/13	09/20/13	509.58	469.17	40.41 ST
38 0000	WISDOMTREE INVTS INC	04/09/13	09/20/13	420.96	412.26	8.70 ST
57.0000	WISDOMTREE INVTS INC	05/01/13	09/20/13	631.45	653.66	(22.21) ST
71 0000	WISDOMTREE INVTS INC	05/09/13	09/20/13	786.55	832.49	(45.94) ST
101 0000	AUXILIUM PHARMACEUTICALS	09/05/13	10/21/13	1,659.32	1,807.84	(148.52) ST
99 0000	AUXILIUM PHARMACEUTICALS	09/20/13	10/21/13	1,626.48	1,872.27	(245.79) ST
29 0000	CHEVRON CORP	04/24/13	10/10/13	3,366.21	3,434.75	(68.54) ST
14 0000	CHEVRON CORP	05/09/13	10/10/13	1,625.08	1,726.91	(101.83) ST
79 0000	GAP INC DELAWARE	06/07/13	10/11/13	2,910.05	3,304.65	(394.60) ST
197 0000	WESTERN UN CO	08/22/13	10/30/13	3,286.27	3,574.39	(288.12) ST
40 0000	WESTERN UN CO	10/11/13	10/30/13	667.27	736.79	(69.52) ST

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