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Form

990-PF

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

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

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

OMB No 1545-0052

2013

Open to Public Inspection

For calendar year 2013, or tax year beginning 01-01-2013 , and ending 12-31-2013

Name of foundation HERBERT & GERTRUDE HALVERSTADT FOUNDATION INC		A Employer identification number 62-6073690	
Number and street (or P O box number if mail is not delivered to street address) 7665 HORN TAVERN ROAD		B Telephone number (see instructions)	
City or town, state or province, country, and ZIP or foreign postal code FAIRVIEW, TN 37062		C If exemption application is pending, check here ☐	
G Check all that apply ☐ Initial return ☐ Final return ☐ Address change ☐ Initial return of a former public charity ☐ Amended return ☐ Name change		D 1. Foreign organizations, check here ☐ 2. Foreign organizations meeting the 85% test, check here and attach computation ☐	
H Check type of organization ☒ Section 501(c)(3) exempt private foundation ☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here ☐	
I Fair market value of all assets at end of year (from Part II, col. (c), line 16) \$ 0	J Accounting method ☐ Cash ☒ Accrual ☐ Other (specify) _____ (Part I, column (d) must be on cash basis.)	F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐	

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions))		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc , received (attach schedule)				
	2 Check ☒ if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments				
	4 Dividends and interest from securities.	28,063	28,063		
	5a Gross rents				
	b Net rental income or (loss) _____				
	6a Net gain or (loss) from sale of assets not on line 10 	27,336			
	b Gross sales price for all assets on line 6a 473,862				
	7 Capital gain net income (from Part IV, line 2) . . .				
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less returns and allowances				
	b Less Cost of goods sold				
Operating and Administrative Expenses	c Gross profit or (loss) (attach schedule)				
	11 Other income (attach schedule)				
	12 Total. Add lines 1 through 11	55,399	28,063		
	13 Compensation of officers, directors, trustees, etc				
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees (attach schedule)				
	b Accounting fees (attach schedule) 	1,500	1,500		
	c Other professional fees (attach schedule) 	14,596	14,596		
	17 Interest				
	18 Taxes (attach schedule) (see instructions) 	657			657
	19 Depreciation (attach schedule) and depletion . . .				
	20 Occupancy				
	21 Travel, conferences, and meetings	10,392			10,392
	22 Printing and publications				
	23 Other expenses (attach schedule) 	7,447			7,447
	24 Total operating and administrative expenses.				
	Add lines 13 through 23	34,592	16,096		18,496
	25 Contributions, gifts, grants paid	64,246			64,246
	26 Total expenses and disbursements. Add lines 24 and 25	98,838	16,096		82,742
	27 Subtract line 26 from line 12				
	a Excess of revenue over expenses and disbursements	-43,439			
	b Net investment income (if negative, enter -0-)		11,967		
	c Adjusted net income (if negative, enter -0-)				

Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)	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	61,439	34,418	
	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)	854,502	588,394	
	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)		249,690	
	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)	915,941	872,502	0
Liabilities	17	Accounts payable and accrued expenses			
	18	Grants payable			
	19	Deferred revenue			
	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable (attach schedule)			
	22	Other liabilities (describe ▶ _____)			
	23	Total liabilities (add lines 17 through 22)		0	
Net Assets or Fund Balances		Foundations that follow SFAS 117, check here ▶ ☐ and complete lines 24 through 26 and lines 30 and 31.			
	24	Unrestricted			
	25	Temporarily restricted			
	26	Permanently restricted			
		Foundations that do not follow SFAS 117, check here ▶ ☒ and complete lines 27 through 31.			
	27	Capital stock, trust principal, or current funds			
	28	Paid-in or capital surplus, or land, bldg , and equipment fund			
	29	Retained earnings, accumulated income, endowment, or other funds	915,941	872,502	
	30	Total net assets or fund balances (see page 17 of the instructions)	915,941	872,502	
	31	Total liabilities and net assets/fund balances (see page 17 of the instructions)	915,941	872,502	

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	915,941
2	Enter amount from Part I, line 27a	2	-43,439
3	Other increases not included in line 2 (itemize) ▶ _____	3	
4	Add lines 1, 2, and 3	4	872,502
5	Decreases not included in line 2 (itemize) ▶ _____	5	
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30 .	6	872,502

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				
(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) 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				
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 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	62,567	1,159,541	0 053958
2011	45,525	1,217,986	0 037377
2010	45,500	1,123,653	0 040493
2009	69,260	979,408	0 070716
2008	47,930	1,344,851	0 035640
2 Total of line 1, column (d).			2 0 238184
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 047637
4 Enter the net value of noncharitable-use assets for 2013 from Part X, line 5.			4 1,245,647
5 Multiply line 4 by line 3.			5 59,339
6 Enter 1% of net investment income (1% of Part I, line 27b).			6 120
7 Add lines 5 and 6.			7 59,459
8 Enter qualifying distributions from Part XII, line 4.			8 82,742

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

Part VI Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948—see page 18 of the instructions)					
1a Exempt operating foundations described in section 4940(d)(2), check here ☐ and enter "N/A" on line 1		1	120		
Date of ruling or determination letter _____ (attach copy of letter if necessary—see instructions)					
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☒ and enter 1% of Part I, line 27b		2	120		
c All other domestic foundations enter 2% of line 27b Exempt foreign organizations enter 4% of Part I, line 12, col (b)					
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)				3	120
3 Add lines 1 and 2.				4	
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)		5	120		
5 Tax based on investment income. Subtract line 4 from line 3 If zero or less, enter -0-		6			
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			120	
d Backup withholding erroneously withheld	6d				
7 Total credits and payments Add lines 6a through 6d.		7	120		
8 Enter any penalty for underpayment of estimated tax Check here ☐ if Form 2220 is attached		8			
9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed		9			
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid.		10			
11 Enter the amount of line 10 to be Credited to 2014 estimated tax Refunded		11			

Part VII-A Statements Regarding Activities			
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		1a	No
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see page 19 of the instructions for definition)?		1b	No
If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.			
c Did the foundation file Form 1120-POL for this year?.		1c	No
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year (1) On the foundation \$ (2) On foundation managers \$			
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers \$			
2 Has the foundation engaged in any activities that have not previously been reported to the IRS?		2	No
If "Yes," attach a detailed description of the activities.			
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes		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?		5	No
If "Yes," attach the statement required by General Instruction T.			
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either - By language in the governing instrument, or - By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?		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) TN			
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	No
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2013 or the taxable year beginning in 2013 (see instructions for Part XIV)? If "Yes," complete Part XIV		9	No
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses.		10	No

Part VII-A

Statements Regarding Activities *(continued)*

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 LARRY B HARRIS Telephone no (828) 277-7400 Located at 85 PEACHTREE RD 85 PEACHTREE RD ASHEVILLE NC ZIP +4 28803			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 —Check here and enter the amount of tax-exempt interest received or accrued during the year.			
		15		
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? (2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? (3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? (4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? (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)? (6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days).	☐ Yes ☒ No ☐ Yes ☒ No ☐ Yes ☒ No ☒ Yes ☐ No ☐ Yes ☒ No ☐ Yes ☒ No		
b	If any answer is "Yes" to 1a(1)–(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see page 20 of the instructions)? Organizations relying on a current notice regarding disaster assistance check here.		1b	No
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	
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? If "Yes," list the years 20____, 20____, 20____, 20____	☐ Yes ☒ No		
b	Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement—see instructions).		2b	
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here 20____, 20____, 20____, 20____			
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?	☐ Yes ☒ No		
b	If "Yes," did it have excess business holdings in 2013 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969, (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (<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))?

Yes

No

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

Yes

No

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

Yes

No

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

Yes

No

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

Yes

No

b

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

5b

Organizations relying on a current notice regarding disaster assistance check here.

c

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

Yes

No

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

6a

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

Yes

No

b

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

6b

No

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

7a

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

Yes

No

b

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

7b

Part VIII

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

1

List all officers, directors, trustees, foundation managers and their compensation (see instructions).

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

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.

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Part VIII

3 Five highest-paid independent contractors for professional services (see instructions). If none, enter "NONE".

NONE

Total number of others receiving over \$50,000 for professional services. 1

Part IX-A

1

2

3

4

Part IX-B

1 N/A

2

All other program-related investments See page 24 of the instructions

3

Total. Add lines 1 through 3

Part X

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc , purposes		
a	Average monthly fair market value of securities.	1a	1,187,872
b	Average of monthly cash balances.	1b	76,744
c	Fair market value of all other assets (see instructions).	1c	0
d	Total (add lines 1a, b, and c).	1d	1,264,616
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	1,264,616
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	18,969
5	Net value of noncharitable-use assets. Subtract line 4 from line 3 Enter here and on Part V, line 4	5	1,245,647
6	Minimum investment return. Enter 5% of line 5.	6	62,282

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	62,282
2a	Tax on investment income for 2013 from Part VI, line 5.	2a	120
b	Income tax for 2013 (This does not include the tax from Part VI).	2b	
c	Add lines 2a and 2b.	2c	120
3	Distributable amount before adjustments Subtract line 2c from line 1.	3	62,162
4	Recoveries of amounts treated as qualifying distributions.	4	
5	Add lines 3 and 4.	5	62,162
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	62,162

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	82,742
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	82,742
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	120
6	Adjusted qualifying distributions. Subtract line 5 from line 4.	6	82,622
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				62,162
2 Undistributed income, if any, as of the end of 2013				
a Enter amount for 2012 only.				
b Total for prior years 20____, 20____, 20____				
3 Excess distributions carryover, if any, to 2013				
a From 2008.				
b From 2009.	3,458			
c From 2010.				
d From 2011.				
e From 2012.	5,456			
f Total of lines 3a through e.	8,914			
4 Qualifying distributions for 2013 from Part XII, line 4 ▶ \$ 82,742				
a Applied to 2012, but not more than line 2a				
b Applied to undistributed income of prior years (Election required—see instructions).				
c Treated as distributions out of corpus (Election required—see instructions).				
d Applied to 2013 distributable amount.				62,162
e Remaining amount distributed out of corpus	20,580			
5 Excess distributions carryover applied to 2013 (If an amount appears in column (d), the same amount must be shown in column (a).)				
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	29,494			
b Prior years' undistributed income Subtract line 4b from line 2b.				
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed.				
d Subtract line 6c from line 6b Taxable amount—see instructions				
e Undistributed income for 2012 Subtract line 4a from line 2a Taxable amount—see instructions				
f Undistributed income for 2013 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2014				0
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions).				
8 Excess distributions carryover from 2008 not applied on line 5 or line 7 (see instructions). . . .				
9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a	29,494			
10 Analysis of line 9				
a Excess from 2009. . . .	3,458			
b Excess from 2010. . . .				
c Excess from 2011. . . .				
d Excess from 2012. . . .	5,456			
e Excess from 2013. . . .	20,580			

Part XIV

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

1a

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

b

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

☐ 4942(j)(3) or ☐ 4942(j)(5)

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

Part XV

Supplementary Information (Complete this part only if the organization had \$5,000 or more in assets at any time during the year—see instructions.)

1

Information Regarding Foundation Managers:

a

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

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 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	64,246
b Approved for future payment				
Total			3b	

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 VIII Line 1 - List all officers, directors, trustees, foundation managers and their compensation

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
HUGH F HALVERSTADT 	SEC 0 50	0	0	0
1000 FAIR OAKS AVE OAK PARK,IL 60302				
BARBARA HALVERSTADT 	DIRECTOR/TRE 0 50	0	0	0
7665 HORN TAVERN ROAD FAIRVIEW,TN 37062				
DAVID HALVERSTADT 	DIRECTOR 0 50	0	0	0
1569 NORTH COUNTRY HIGHWAY 393 SANTA ROSA BEACH,FL 32459				
CONSTANCE MILLER 	VICEPRES\DIR 0 50	0	0	1,304
1255 GULF SHORES BLVD NAPLES,FL 34101				
LINDA OTTENAD 	DIRECTOR 0 50	0	0	525
1255 GULF SHORES BLVD NAPLES,FL 34101				
ALBERT HALVERSTADT 	PRES \DIR 0 50	0	0	0
1244 DETROIT ST DENVER,CO 80206				
PETER HALVERSTADT 	DIRECTOR/TRE 0 50	0	0	2,019
7665 HORN TAVERN RD FAIRVIEW,TN 37062				

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)				
a Paid during the year				
PRO BONO 151 W 30TH ST 151 W 30TH ST NEW YORK,NY 10001			CHARITABLE	500
YWCA 2025 M ST NW 2025 M ST NW WASHINGTON,DC 20036			CHARITABLE	500
SHALEM INSTITUTE 3025 4TH ST NE 3025 4TH ST NE WASHINGTON,DC 20017			CHARITABLE	500
LEGAL AID C/O 7665 HORN TAVERN RD FAIRVIEW,TN 37062			CHARITABLE	500
NASHVILLE RESCUE MISSION 639 LAFAYETTE ST 639 LAFAYETTE ST NASHVILLE,TN 37203			CHARITABLE	500
LISTENING HEARTS C/O 7665 HORN TAVERN FAIRVIEW,TN 37062			CHARITABLE	500
DURANGO DEVO C/O 7665 HORN TAVERN RD FAIRVIEW,TN 37062			CHARITABLE	500
OMEGA INSTITUTE 7050 ROUTE 38 E 7050 ROUTE 38 E PENNSAUKEN,NJ 08109			CHARITABLE	2,246
DVCC C/O 7665 HORN TAVERN RD FAIRVIEW,TN 37062			CHARITABLE	3,500
AMERICAN BIBLE SOCIETY 1865 BROADWAY 1865 BROADWAY NEW YORK,NY 10023			CHARITABLE	5,500
FRIDAY'S RESCUE FOUNDATION 270 ROGERS RD 270 ROGERS RD GROTON,CT 06340			CHARITABLE	1,000
CHESTER COUNTY FOOD BANK 650 PENNSYLVANIA DR 650 PENNSYLVANIA DR EXTON,PA 19341			CHARITABLE	500
LIBRARY FOUNDATION OF LOS 630 W 5TH ST 630 W 5TH ST LOS ANGELES,CA 90071			CHARITABLE	500
BARBARA SINATRA CHILDREN 39000 BOB HOPE DR 39000 BOB HOPE DR RANCH MIRAGE,CA 92270			CHARITABLE	2,000
TRUE BLUE NAVAL FAMILY BE PO BOX 1413 PO BOX 1413 PONTE VERDA BEACH,FL 32004			CHARITABLE	500
Total  3a				64,246

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)				
a Paid during the year				
CINCINNATI ASSOCIATION FO C/O 7665 HORN TAVERN RD FAIRVIEW,TN 37062			CHARITABLE	1,500
VALLEY FOOD BANK C/O 7665 HORN TAVERN RD FAIRVIEW,TN 37062			CHARITABLE	500
THE CRADLE 2049 RIDGE AVE 2049 RIDGE AVE EVANSTON,IL 60201			CHARITABLE	500
THE COMMUNITY FOUNDATION 3700 SIXTH AVE 3700 SIXTH AVE RIVERSIDE,CA 92501			CHARITABLE	20,000
RENEE DREFAHL SPIRIT OF 1422 EUCLID AVE 1422 EUCLID AVE CLEVELAND,OH 44115			CHARITABLE	1,000
NEIGHBOR TO NEIGHBOR 2216 POT SPRING RD 2216 POT SPRING RD TIMONIUM,MD 21093			CHARITABLE	500
DENISON UNIVERSITY COLEGE STREET COLLEGE STREET GRANVILLE,OH 43023			CHARITABLE	1,500
GIVE THE KIDS THE WORLD 210 SOUTH BASS RD 210 SOUTH BASS RD KISSIMMEE,FL 34746			CHARITABLE	1,000
A KIDS BRAIN TUMOR CURE 99 RANDOM FARM DR 99 RANDOM FARM DR CHAPPAQUA,NY 10514			CHARITABLE	1,200
ST MARKS EPISCOPAL CHURCH C/O 7665 HORN TAVERN RD FAIRVIEW,TN 37062			CHARITABLE	1,000
ST THOMAS EPISCOPAL CHURCH C/O 7665 HORN TAVERN RD FAIRVIEW,TN 37062			CHARITABLE	1,000
CINCINNATI PARKS FOUNDATION 950 EDEN PARK DRIVE 950 EDEN PARK DRIVE CINCINNATI,OH 45202			CHARITABLE	2,000
WNKU FOUNDATION LANDRUM ACADEMIC CENTER LANDRUM ACADEMIC CENTER HIGHLAND HEIGHTS,KY 41099			CHARITABLE	2,500
EMMANUEL PRESBYTERIAN C/O 7665 HORN TAVERN RD FAIRVIEW,TN 37062			CHARITABLE	1,000
DEAF CONNECT C/O 7665 HORN TAVERN RD FAIRVIEW,TN 37062			CHARITABLE	1,000
Total  3a				64,246

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)				
a <i>Paid during the year</i>				
GTC C/O 7665 HORN TAVERN RD FAIRVIEW,TN 37062			CHARITABLE	4,500
HELPING HANDS C/O 7665 HORN TAVERN RD FAIRVIEW,TN 37062			CHARITABLE	500
CHESTER COUNTY ART ASSOCIATION 100 N BRADFORD AVE 100 N BRADFORD AVE WEST CHESTER,PA 19382			CHARITABLE	500
PLAY IT FORWARD C/O 7665 HORN TAVERN ROAD FAIRVIEW,TN 37062			CHARITABLE	800
KEYON COLLEGE 101 WEST SCOTT LANE 101 WEST SCOTT LANE GAMVIER,OH 43072			CHARITABLE	500
EPISCOPAL DIVINITY SCHOOL 99 BATTLE ST 99 BATTLE ST CAMBRIDGE,MA 02138			CHARITABLE	500
MISC C/O 7665 HORN TAVERN ROAD FAIRVIEW,TN 370629276			CHARITABLE	1,500
Total  3a				64,246

TY 2013 Accounting Fees Schedule

Name: HERBERT & GERTRUDE HALVERSTADT
FOUNDATION INC

EIN: 62-6073690

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
PROFESSIONAL FEES	1,500	1,500		

TY 2013 Compensation Explanation

Name: HERBERT & GERTRUDE HALVERSTADT
FOUNDATION INC

EIN: 62-6073690

Person Name	Explanation
HUGH F HALVERSTADT	
BARBARA HALVERSTADT	
DAVID HALVERSTADT	
CONSTANCE MILLER	
LINDA OTTENAD	
ALBERT HALVERSTADT	
PETER HALVERSTADT	

TY 2013 Explanation of Non-Filing with Attorney General Statement

Name: HERBERT & GERTRUDE HALVERSTADT
FOUNDATION INC

EIN: 62-6073690

Statement: NOT REQUIRED

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

TY 2013 Gain/Loss from Sale of Other Assets Schedule

Name: HERBERT & GERTRUDE HALVERSTADT
FOUNDATION INC

EIN: 62-6073690

Name	Date Acquired	How Acquired	Date Sold	Purchaser Name	Gross Sales Price	Basis	Basis Method	Sales Expenses	Total (net)	Accumulated Depreciation
AMEX	2012-01	PURCHASE	2013-06		14,724	11,184			3,540	
CONSOL	2012-01	PURCHASE	2013-06		18,345	34,846			-16,501	
EMERSON	2012-01	PURCHASE	2013-05		16,460	10,577			5,883	
HONEYWELL	2012-01	PURCHASE	2013-06		16,086	5,686			10,400	
NEWMONT	2012-01	PURCHASE	2013-06		22,727	38,950			-16,223	
SCHLUM	2012-01	PURCHASE	2013-06		7,213	10,428			-3,215	
STRYKER	2012-01	PURCHASE	2013-06		6,497	4,430			2,067	
DOW CHEM	2012-04	PURCHASE	2013-07		34,110	34,768			-658	
ORACLE	2011-11	PURCHASE	2013-09		27,038	26,341			697	
SCHLUM	2007-09	PURCHASE	2013-12		34,701	40,809			-6,108	
TRANS CANADA	2011-04	PURCHASE	2013-12		26,190	25,499			691	
FACTSET	2007-10	PURCHASE	2013-12		54,793	34,090			20,703	
CATERPILLAR	2012-01	PURCHASE	2013-12		20,642	16,361			4,281	
EMC	2012-01	PURCHASE	2013-12		69,867	56,480			13,387	
POTASH	2012-01	PURCHASE	2013-12		20,642	16,770			3,872	
TEXAS INST	2012-01	PURCHASE	2013-12		47,636	39,218			8,418	
ATT	2012-01	PURCHASE	2013-06		36,191	40,089			-3,898	

TY 2013 Investments Corporate
Stock Schedule

Name: HERBERT & GERTRUDE HALVERSTADT
FOUNDATION INC
EIN: 62-6073690

Name of Stock	End of Year Book Value	End of Year Fair Market Value
INVESTMENTS - COMMON STOCKS	588,394	

TY 2013 Investments - Other Schedule

Name: HERBERT & GERTRUDE HALVERSTADT
FOUNDATION INC
EIN: 62-6073690

Category / Item	Listed at Cost or FMV	Book Value	End of Year Fair Market Value
EXCHANGE TRADED FUNDS		249,690	

TY 2013 Other Expenses Schedule

Name: HERBERT & GERTRUDE HALVERSTADT
FOUNDATION INC

EIN: 62-6073690

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
EXPENSES				
CHECK FEES	100			100
MANAGEMENT FEES	2,162			2,162
TELEPHONE	3,166			3,166
OFFICER'S FEE	2,019			2,019

TY 2013 Other Professional Fees Schedule

Name: HERBERT & GERTRUDE HALVERSTADT
FOUNDATION INC
EIN: 62-6073690

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FEES	14,596	14,596		

TY 2013 Taxes Schedule**Name:** HERBERT & GERTRUDE HALVERSTADT

FOUNDATION INC

EIN: 62-6073690

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FOREIGN TAX	202			202
TAXES	455			455