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Form **990-PF****Return of Private Foundation**

OMB No 1545-0052

Department of the Treasury  
Internal Revenue Service

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

Do not enter Social Security numbers on this form as it may be made public.

Information about Form 990-PF and its separate instructions is at [www.irs.gov/form990pf](http://www.irs.gov/form990pf)**2013**

Open to Public Inspection

For calendar year 2013 or tax year beginning

, 2013, and ending

, 20

Name of foundation

THE HERBERT AND PEGGY STOCKHAM FOUNDATION

Number and street (or P.O. box number if mail is not delivered to street address)

Room/suite

1525 WEST WT HARRIS BLVD

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

CHARLOTTE, NC 28262

A Employer identification number

63-1254357

B Telephone number (see instructions)

855-739-2921

C If exemption application is pending, check here ☐D 1 Foreign organizations, check here ☐2 Foreign organizations meeting the 85% test, check here and attach computation ☐E If private foundation status was terminated under section 507(b)(1)(A), check here ☐F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐

G Check all that apply:

Initial return

Initial return of a former public charity

Final return

Amended return

Address change

Name change

H Check type of organization:

☒ Section 501(c)(3) exempt private foundation☐ Section 4947(a)(1) nonexempt charitable trust☐ Other taxable private foundation

I Fair market value of all assets at end of year (from Part II, col. (c), line 16) ▶ \$ 1,335,204.

J Accounting method: ☒ Cash ☐ Accrual☐ Other (specify) \_\_\_\_\_

(Part I, column (d) must be on cash basis.)

**Part I Analysis of Revenue and Expenses** (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions).)

	(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
<b>Revenue</b>				
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				
4 Dividends and interest from securities	28,045.	27,394.		STMT 1
5a Gross rents				
b Net rental income or (loss)				
6a Net gain or (loss) from sale of assets not on line 10	23,596.			
b Gross sales price for all assets on line 6a	443,214.			
7 Capital gain net income (from Part IV, line 2)		23,596.		
8 Net short-term capital gain				
9 Income modifications				
10a Gross sales less returns and allowances				
b Less Cost of goods sold				
c Gross profit or (loss) (attach schedule)				
11 Other income (attach schedule)				
12 Total. Add lines 1 through 11	51,641.	50,990.		
<b>Operating and Administrative Expenses</b>				
13 Compensation of officers, directors, trustees, etc.	NONE	NONE		NONE
14 Other employee salaries and wages		NONE	NONE	
15 Pension plans, employee benefits		NONE	NONE	
16a Legal fees (attach schedule)				
b Accounting fees (attach schedule)	1,000.	NONE	NONE	1,000.
c Other professional fees (attach schedule)	14,971.	14,971.		
17 Interest				
18 Taxes (attach schedule) (see instructions)	936.	688.		
19 Depreciation (attach schedule) and depletion				
20 Occupancy				
21 Travel, conferences, and meetings		NONE	NONE	
22 Printing and publications		NONE	NONE	
23 Other expenses (attach schedule)	5.	5.		
24 Total operating and administrative expenses. Add lines 13 through 23	16,912.	15,664.	NONE	1,000.
25 Contributions, gifts, grants paid	64,000.			64,000.
26 Total expenses and disbursements. Add lines 24 and 25	80,912.	15,664.	NONE	65,000.
27 Subtract line 26 from line 12				
a Excess of revenue over expenses and disbursements	-29,271.			
b Net investment income (if negative, enter -0-)		35,326.		
c Adjusted net income (if negative, enter -0-)				

JSA For Paperwork Reduction Act Notice, see instructions

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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 . . . . .	1,918.	3,217.	3,217.
	2 Savings and temporary cash investments . . . . .	134,447.	115,133.	115,133.
	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 ▶ . . . . .	NONE		
	8 Inventories for sale or use . . . . .			
	9 Prepaid expenses and deferred charges . . . . .			
	10 a Investments - U S and state government obligations (attach schedule) . . . . .			
	b Investments - corporate stock (attach schedule) . . . . .	692,595.	635,533.	759,450.
	c Investments - corporate bonds (attach schedule) . . . . .		465,225.	457,404.
	11 Investments - land, buildings, and equipment basis . . . . .			
Less accumulated depreciation (attach schedule) ▶ . . . . .				
12 Investments - mortgage loans . . . . .				
13 Investments - other (attach schedule) . . . . .	418,060.			
14 Land, buildings, and equipment basis . . . . .				
Less accumulated depreciation (attach schedule) ▶ . . . . .				
15 Other assets (describe ▶ . . . . .)				
16 <b>Total assets</b> (to be completed by all filers - see the instructions Also, see page 1, item I) . . . . .	1,247,020.	1,219,108.	1,335,204.	
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 <b>Total liabilities</b> (add lines 17 through 22) . . . . .		NONE		
Net Assets or Fund Balances	<b>Foundations that follow SFAS 117, check here</b> ▶ <input checked="" type="checkbox"/> <b>and complete lines 24 through 26 and lines 30 and 31.</b>			
	24 Unrestricted . . . . .	1,247,020.	1,219,108.	
	25 Temporarily restricted . . . . .			
	26 Permanently restricted . . . . .			
	<b>Foundations that do not follow SFAS 117, . . . ▶</b> <input type="checkbox"/> <b>check here and complete lines 27 through 31.</b>			
	27 Capital stock, trust principal, or current funds . . . . .			
	28 Paid-in or capital surplus, or land, bldg, and equipment fund . . . . .			
	29 Retained earnings, accumulated income, endowment, or other funds . . . . .			
	30 <b>Total net assets or fund balances</b> (see instructions) . . . . .	1,247,020.	1,219,108.	
	31 <b>Total liabilities and net assets/fund balances</b> (see instructions) . . . . .	1,247,020.	1,219,108.	

**Part III Analysis of Changes in Net Assets or Fund Balances**

1 Total net assets or fund balances at beginning of year - Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return) . . . . .	1	1,247,020.
2 Enter amount from Part I, line 27a . . . . .	2	-29,271.
3 Other increases not included in line 2 (itemize) ▶ <b>MUTUAL FUND TAX EFFECTIVE DATE BEFORE TYE</b> . . . . .	3	3,329.
4 Add lines 1, 2, and 3 . . . . .	4	1,221,078.
5 Decreases not included in line 2 (itemize) ▶ <b>SEE STATEMENT 14</b> . . . . .	5	1,970.
6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30 . . . . .	6	1,219,108.

**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.)
<b>1a PUBLICLY TRADED SECURITIES</b>					
<b>b</b>					
<b>c</b>					
<b>d</b>					
<b>e</b>					
(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)		
<b>a</b> 443,214.		419,618.	23,596.		
<b>b</b>					
<b>c</b>					
<b>d</b>					
<b>e</b>					
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) FMV as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any			
<b>a</b>			23,596.		
<b>b</b>					
<b>c</b>					
<b>d</b>					
<b>e</b>					
<b>2</b> 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 }			<b>2</b>	23,596.	
<b>3</b> 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 . . . . .			<b>3</b>		

**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	529,496.	1,707,548.	0.310091
2011	65,000.	1,767,159.	0.036782
2010	74,000.	1,670,768.	0.044291
2009	60,000.	1,473,894.	0.040708
2008	87,000.	1,718,009.	0.050640
<b>2</b> Total of line 1, column (d) . . . . .			<b>2</b> 0.482512
<b>3</b> 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 . . . . .			<b>3</b> 0.096502
<b>4</b> Enter the net value of noncharitable-use assets for 2013 from Part X, line 5 . . . . .			<b>4</b> 1,277,125.
<b>5</b> Multiply line 4 by line 3 . . . . .			<b>5</b> 123,245.
<b>6</b> Enter 1% of net investment income (1% of Part I, line 27b) . . . . .			<b>6</b> 353.
<b>7</b> Add lines 5 and 6 . . . . .			<b>7</b> 123,598.
<b>8</b> Enter qualifying distributions from Part XII, line 4 . . . . .			<b>8</b> 65,000.

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

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

1a Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1 . . . . . Date of ruling or determination letter _____ (attach copy of letter if necessary - see instructions)		1	707.
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input type="checkbox"/> and enter 1% of Part I, line 27b . . . . .			
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	707.
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-) . . . . .		4	NONE
5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0- . . . . .		5	707.
<b>Credits/Payments</b>			
a 2013 estimated tax payments and 2012 overpayment credited to 2013 . . . . .	6a	504.	
b Exempt foreign organizations - tax withheld at source . . . . .	6b	NONE	
c Tax paid with application for extension of time to file (Form 8868) . . . . .	6c	NONE	
d Backup withholding erroneously withheld . . . . .	6d		
7 Total credits and payments. Add lines 6a through 6d . . . . .	7	504.	
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	203.	
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"/> NONE 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? . . . . .		X
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see Instructions for the definition)? . . . . . If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities		X
c Did the foundation file Form 1120-POL for this year? . . . . .		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year (1) On the foundation <input type="checkbox"/> \$ _____ (2) On foundation managers <input type="checkbox"/> \$ _____		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers <input type="checkbox"/> \$ _____		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? . . . . . If "Yes," attach a detailed description of the activities		X
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes . . . . .		X
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year? . . . . .		X
b If "Yes," has it filed a tax return on Form 990-T for this year? . . . . .		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? . . . . . If "Yes," attach the statement required by General Instruction T		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument? . . . . .	X	
7 Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col (c), and Part XV	X	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) <input type="checkbox"/> AL		
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. . . . .	X	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2013 or the taxable year beginning in 2013 (see instructions for Part XIV)? If "Yes," complete Part XIV. . . . .		X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses. . . . .		X

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**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		X
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions) . . . . .	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? . . . . .	13	X	
Website address <b>▶</b> N/A				
14	The books are in care of <b>▶</b> SEE STATEMENT 15 Telephone no <b>▶</b> _____			
	Located at <b>▶</b> _____ ZIP+4 <b>▶</b> _____			
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 the instructions for exceptions and filing requirements for Form TD F 90-22.1. If "Yes," enter the name of the foreign country <b>▶</b> _____			X

**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	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	X
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)):		
a	At the end of tax year 2013, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2013? . . . . . <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
	If "Yes," list the years <b>▶</b> _____		
b	Are there any years listed in 2a for which the foundation is <b>not</b> applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see instructions) . . . . .	2b	X
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here <b>▶</b> _____		
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) . . . . .	3b	
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? . . . . .	4a	X
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2013? . . . . .	4b	X

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**Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required (continued)****5a** During the year did the foundation pay or incur any amount to

- (1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? ☐ Yes ☒ No
- (2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive? ☐ Yes ☒ No
- (3) Provide a grant to an individual for travel, study, or other similar purposes? ☐ Yes ☒ No
- (4) Provide a grant to an organization other than a charitable, etc., organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? (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)?Organizations relying on a current notice regarding disaster assistance check here ☐**5b****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?

If "Yes" to 6b, file Form 8870

**6b****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 STATEMENT 16				

**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		-0-	-0-	-0-

Total number of other employees paid over \$50,000

NONE

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**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		NONE
Total number of others receiving over \$50,000 for professional services . . . . .		NONE

**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 NONE	
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 NONE	
2	
All other program-related investments See instructions	
3 NONE	
Total. Add lines 1 through 3 . . . . .	

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

<b>1</b>	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
<b>a</b>	Average monthly fair market value of securities	<b>1a</b>	1,183,370.
<b>b</b>	Average of monthly cash balances	<b>1b</b>	113,204.
<b>c</b>	Fair market value of all other assets (see instructions)	<b>1c</b>	NONE
<b>d</b>	<b>Total</b> (add lines 1a, b, and c)	<b>1d</b>	1,296,574.
<b>e</b>	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	<b>1e</b>	
<b>2</b>	Acquisition indebtedness applicable to line 1 assets	<b>2</b>	NONE
<b>3</b>	Subtract line 2 from line 1d	<b>3</b>	1,296,574.
<b>4</b>	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	<b>4</b>	19,449.
<b>5</b>	<b>Net value of noncharitable-use assets.</b> Subtract line 4 from line 3. Enter here and on Part V, line 4.	<b>5</b>	1,277,125.
<b>6</b>	<b>Minimum investment return.</b> Enter 5% of line 5	<b>6</b>	63,856.

**Part XI Distributable Amount** (see instructions) (Section 4942(j)(3) and (j)(5) private operating foundations and certain foreign organizations check here ☐ and do not complete this part.)

<b>1</b>	Minimum investment return from Part X, line 6	<b>1</b>	63,856.
<b>2a</b>	Tax on investment income for 2013 from Part VI, line 5	<b>2a</b>	707.
<b>b</b>	Income tax for 2013. (This does not include the tax from Part VI.)	<b>2b</b>	
<b>c</b>	Add lines 2a and 2b	<b>2c</b>	707.
<b>3</b>	Distributable amount before adjustments. Subtract line 2c from line 1.	<b>3</b>	63,149.
<b>4</b>	Recoveries of amounts treated as qualifying distributions	<b>4</b>	NONE
<b>5</b>	Add lines 3 and 4	<b>5</b>	63,149.
<b>6</b>	Deduction from distributable amount (see instructions)	<b>6</b>	NONE
<b>7</b>	<b>Distributable amount</b> as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1.	<b>7</b>	63,149.

**Part XII Qualifying Distributions** (see instructions)

<b>1</b>	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes:		
<b>a</b>	Expenses, contributions, gifts, etc. - total from Part I, column (d), line 26	<b>1a</b>	65,000.
<b>b</b>	Program-related investments - total from Part IX-B	<b>1b</b>	
<b>2</b>	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	<b>2</b>	NONE
<b>3</b>	Amounts set aside for specific charitable projects that satisfy the:		
<b>a</b>	Suitability test (prior IRS approval required)	<b>3a</b>	NONE
<b>b</b>	Cash distribution test (attach the required schedule)	<b>3b</b>	NONE
<b>4</b>	<b>Qualifying distributions.</b> Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4.	<b>4</b>	65,000.
<b>5</b>	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b (see instructions)	<b>5</b>	N/A
<b>6</b>	<b>Adjusted qualifying distributions.</b> Subtract line 5 from line 4.	<b>6</b>	65,000.

**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
<b>1</b> Distributable amount for 2013 from Part XI, line 7 . . . . .				63,149.
<b>2</b> Undistributed income, if any, as of the end of 2013				
<b>a</b> Enter amount for 2012 only . . . . .			NONE	
<b>b</b> Total for prior years 20 <u>11</u> , 20 <u>  </u> , 20 <u>  </u> . . . . .		NONE		
<b>3</b> Excess distributions carryover, if any, to 2013				
<b>a</b> From 2008 . . . . .	NONE			
<b>b</b> From 2009 . . . . .	NONE			
<b>c</b> From 2010 . . . . .	NONE			
<b>d</b> From 2011 . . . . .	NONE			
<b>e</b> From 2012 . . . . .	429,371.			
<b>f</b> Total of lines 3a through e . . . . .	429,371.			
<b>4</b> Qualifying distributions for 2013 from Part XII, line 4. ► \$ <u>65,000.</u>				
<b>a</b> Applied to 2012, but not more than line 2a . . . . .			NONE	
<b>b</b> Applied to undistributed income of prior years (Election required - see instructions) . . . . .		NONE		
<b>c</b> Treated as distributions out of corpus (Election required - see instructions) . . . . .	NONE			
<b>d</b> Applied to 2013 distributable amount . . . . .				63,149.
<b>e</b> Remaining amount distributed out of corpus . . . . .	1,851.			
<b>5</b> Excess distributions carryover applied to 2013 . . . . . (If an amount appears in column (d), the same amount must be shown in column (a) )	NONE			NONE
<b>6</b> Enter the net total of each column as indicated below:				
<b>a</b> Corpus. Add lines 3f, 4c, and 4e. Subtract line 5 . . . . .	431,222.			
<b>b</b> Prior years' undistributed income. Subtract line 4b from line 2b . . . . .		NONE		
<b>c</b> 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 . . . . .		NONE		
<b>d</b> Subtract line 6c from line 6b. Taxable amount - see instructions . . . . .		NONE		
<b>e</b> Undistributed income for 2012. Subtract line 4a from line 2a. Taxable amount - see instructions . . . . .			NONE	
<b>f</b> Undistributed income for 2013. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2014 . . . . .				NONE
<b>7</b> Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions) . . . . .	NONE			
<b>8</b> Excess distributions carryover from 2008 not applied on line 5 or line 7 (see instructions) . . . . .	NONE			
<b>9</b> Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a . . . . .	431,222.			
<b>10</b> Analysis of line 9:				
<b>a</b> Excess from 2009 . . . . .	NONE			
<b>b</b> Excess from 2010 . . . . .	NONE			
<b>c</b> Excess from 2011 . . . . .	NONE			
<b>d</b> Excess from 2012 . . . . .	429,371.			
<b>e</b> Excess from 2013 . . . . .	1,851.			



**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)				
<b>a Paid during the year</b>  SEE STATEMENT 28				64,000.  -
<b>Total</b> . . . . .			▶ <b>3a</b>	64,000.
<b>b Approved for future payment</b>				
<b>Total</b> . . . . .			▶ <b>3b</b>	

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

Enter gross amounts unless otherwise indicated.

Enter gross amounts unless otherwise indicated.		Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See instructions )
		(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	
<b>1</b>	Program service revenue					
a	_____					
b	_____					
c	_____					
d	_____					
e	_____					
f	_____					
g	Fees and contracts from government agencies					
<b>2</b>	Membership dues and assessments . . . . .					
<b>3</b>	Interest on savings and temporary cash investments					
<b>4</b>	Dividends and interest from securities . . . . .			14	28,045.	
<b>5</b>	Net rental income or (loss) from real estate					
a	Debt-financed property . . . . .					
b	Not debt-financed property . . . . .					
<b>6</b>	Net rental income or (loss) from personal property .					
<b>7</b>	Other investment income . . . . .					
<b>8</b>	Gain or (loss) from sales of assets other than inventory			18	23,596.	
<b>9</b>	Net income or (loss) from special events . . . . .					
<b>10</b>	Gross profit or (loss) from sales of inventory . .					
<b>11</b>	Other revenue a _____					
b	_____					
c	_____					
d	_____					
e	_____					
<b>12</b>	Subtotal. Add columns (b), (d), and (e) . . . . .				51,641.	
<b>13</b>	Total. Add line 12, columns (b), (d), and (e) . . . . .				51,641.	51,641.

(See worksheet in line 13 instructions to verify calculations )

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

[illegible]

## Information Regarding Transfers To and Transactions and Relationships With Noncharitable Exempt Organizations

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

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.


**Sign  
Here**

 04/21/2014  
Signature of officer or trustee Date

**TRUSTEE**  
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 <b>DERRICK PUCKETT</b>	Preparer's signature 	Date <b>04/21/2014</b>	Check <input type="checkbox"/> if self-employed	PTIN <b>P01031673</b>
Firm's name ▶ <b>WELLS FARGO BANK, N.A.</b>			Firm's EIN ▶ <b>94-3080771</b>	
Firm's address ▶ <b>1525 W W.T. HARRIS BLVD. D1114-044 CHARLOTTE, NC 28262</b>			Phone no <b>800-691-8916</b>	

Form **990-PF** (2013)

FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES  
=====

DESCRIPTION -----	REVENUE AND EXPENSES PER BOOKS -----	NET INVESTMENT INCOME -----
AFLAC INC COM	77.	77.
ANHEUSER-BUSCH INBEV SPN ADR	125.	125.
APACHE CORP COM RTS EXP 01/31/2006	29.	29.
APPLE COMPUTER INC COM	176.	176.
BAXTER INTL INC COM W/RIGHTS ATTACHED EX	14.	14.
BHP LIMITED SPONS ADR COM	63.	63.
BOEING CO COM	62.	62.
CME GROUP INC	101.	101.
CVS CORP COM	55.	55.
CAPITAL ONE FINL CORP COM RTS EXP 11/29/	45.	45.
CELANESE CORP	27.	27.
CHEVRONTXACO CORP COM	135.	135.
CISCO SYS INC COM W/RIGHTS ATTACHED EXPI	112.	112.
COACH INC COM W/RTS ATTACHED EXP 5/2/201	61.	61.
COMCAST CORP NEW CL A	80.	80.
CUMMINS INC COM	10.	10.
DIAGEO PLC SPONSORED ADR NEW	75.	75.
DIAMOND HILL LONG-SHORT FD CL I #11	97.	97.
DREYFUS EMG MKT DEBT LOC C-I #6083	1,406.	1,406.
DRIEHAUS ACTIVE INCOME FUND	768.	768.
E M C CORP MASS COM	18.	18.
EATON VANCE GLOBAL MACRO - I #0088	235.	123.
FID ADV EMER MKTS INC- CL I #607	202.	202.
GATEWAY FUND - Y #1986	347.	347.
GOLDMAN SACHS GRP INC COM	35.	35.
HSBC HLDGS PLC SPONSORED ADR NEW	89.	89.
INTEL CORP COM	49.	49.
INTL BUSINESS MACHINES CORP COM	27.	27.
ISHARES S&P 500 INDEX FUND	691.	691.
ISHARES TR-S&P MIDCAP 400 GROWTH IND	463.	463.
ISHARES S&P MIDCAP 400/BARRA VALUE	536.	536.
ISHARES S & P SMALLCAP 600 INDEX FUND	531.	531.

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## FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
-----	-----	-----
JP MORGAN CHASE & CO COM	131.	131.
JOHNSON CTLS INC COM W/RTS ATTACHED EXP	71.	71.
MCKESSON HBOC INC COM	30.	30.
MERGER FD SH BEN INT	859.	859.
MICROSOFT CORP COM	75.	75.
NATIONAL OILWELL INC COM	20.	20.
ASG GLOBAL ALTERNATIVES-Y #1993	1,079.	1,079.
NESTLE S A SPONSORED ADR REPSTG REG SH	115.	115.
ORACLE CORP COM	21.	21.
PIMCO FOREIGN BOND FUND-INST	730.	730.
RIDGEWORTH SEIX HY BD-I #5855	3,437.	3,437.
SPDR DJ WILSHIRE INTERNATIONAL REAL	1,980.	1,980.
SCHLUMBERGER LTD COM	63.	63.
TJX COS INC NEW COM	34.	34.
TARGET CORP COM	96.	96.
TEVA PHARMACEUTICAL INDS LTD ADR	57.	57.
THERMO ELECTRON CORP COM W/RTS ATTACHED	27.	27.
3M CO COM	81.	81.
TOTAL FINA ELF S A SPONSORED ADR	161.	161.
US BANCORP DEL COM NEW W/RIGHTS ATTACHED	87.	87.
UNION PAC CORP COM	111.	111.
UNITED PARCEL SERVICE CL B COM	79.	79.
UNITEDHEALTH GRP INC COM	72.	72.
VANGUARD INTERMEDIATE TERM B	1,870.	1,870.
VANGUARD SHORT TERM BOND ETF	1,873.	1,873.
VANGUARD FTSE DEVELOPED ETF	3,531.	3,531.
VANGUARD MSCI EMERGING MARKETS EFT	2,781.	2,781.
VANGUARD REIT VIPER	1,689.	1,183.
VODAFONE GROUP PLC SPONSORED ADR	38.	38.
EATON CORP PLC	92.	59.
WF ADV TREAS PLUS MM FD-INST #793	14.	14.
	-----	-----
	28,045.	27,394.
	=====	=====

TOTAL  
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## FORM 990PF, PART I - ACCOUNTING FEES

=====

DESCRIPTION -----	REVENUE AND EXPENSES PER BOOKS -----	NET INVESTMENT INCOME -----	ADJUSTED NET INCOME -----	CHARITABLE PURPOSES -----
TAX PREPARATION FEE (NON-ALLOC	1,000.			1,000.
TOTALS	1,000.	NONE	NONE	1,000.
	=====	=====	=====	=====

## FORM 990PF, PART I - OTHER PROFESSIONAL FEES

=====

DESCRIPTION -----	REVENUE AND EXPENSES PER BOOKS -----	NET INVESTMENT INCOME -----
WELLS FARGO BANK - AGENT	14,971.	14,971.
	-----	-----
TOTALS	14,971.	14,971.
	=====	=====

## FORM 990PF, PART I - TAXES

=====

DESCRIPTION -----	REVENUE AND EXPENSES PER BOOKS -----	NET INVESTMENT INCOME -----
FOREIGN TAXES	93.	93.
FEDERAL ESTIMATES - PRINCIPAL	248.	
FOREIGN TAXES ON QUALIFIED FOR	377.	377.
FOREIGN TAXES ON NONQUALIFIED	218.	218.
	-----	-----
TOTALS	936.	688.
	=====	=====

FORM 990PF, PART I - OTHER EXPENSES

=====

DESCRIPTION -----	REVENUE AND EXPENSES PER BOOKS -----		NET INVESTMENT INCOME -----	
		5.		5.
ADR FEES		5.		5.
TOTALS	-----	5.	-----	5.
	=====		=====	

THE HERBERT AND PEGGY STOCKHAM FOUNDATION

63-1254357

FORM 990PF, PART II - CORPORATE STOCK

=====

DESCRIPTION	ENDING BOOK VALUE	ENDING FMV
-----	-----	---
256210105 DODGE&COX INCOME FD		
4812C0803 JPMORGAN HI YL #3580		
693390304 PIMCO LOW DURATN #36		
693390700 PIMCO TOT RTN FD #35		
94985D582 WELLS FARGO FD #4705		
693391559 PIMCO EMERG MKT #137		
464287499 ISHARES MIDCAP INDEX		
626124242 MUNDER MIDCAP #32		
780905451 ROYCE PREMIER FD#566		
784924425 SSGA EMERG MKT #1510		
94985D244 WELLS FARGO FD #4132		
04315J837 ARTIO INTL FD #1529		
256206103 DODGE&COX INTL FD		
26852M105 EII INTERNATL FD #30		
722005667 PIMCO COMMOD FD #45		
779919109 TROWE RE FD #122		
345370860 FORD MOTOR CO		
364760108 GAP INC		
437076102 HOME DEPOT INC		
654106103 NIKE INC CL B		
778296103 ROSS STORES INC		
126650100 CVS/CAREMARK CORPORA		
742718109 PROCTER & GAMBLE CO		
902494103 TYSON FOODS INC CL A		
931142103 WALMART STORES INC		
166764100 CHEVRON CORP		
171798101 CIMAREX ENERGY CO		
20825C104 CONOCOPHILLIPS		
30231G102 EXXON MOBIL CORP		
	2,726.	4,366.
	1,926.	2,998.

THE HERBERT AND PEGGY STOCKHAM FOUNDATION  
 FORM 990PF, PART II - CORPORATE STOCK  
 =====

63-1254357

DESCRIPTION -----	ENDING BOOK VALUE -----	ENDING FMV ---
406216101 HALLIBURTON CO		
674599105 OCCIDENTAL PETE CORP		
03076C106 AMERIPRISE FINL INC		
172967101 CITIGROUP INC		
46625H100 JPMORGAN CHASE & CO	2,715.	4,737.
693475105 PNC FINANCIAL SVCS		
91529Y106 UNUM GROUP		
031162100 AMGEN INC		
110122108 BRISTOL MYERS SQUIBB		
14149Y108 CARDINAL HEALTH INC		
345838106 FOREST LABS INC		
478160104 JOHNSON & JOHNSON		
58155Q103 MCKESSON CORP	2,371.	4,035.
58405U102 MEDCO HEALTH SOLUTNS		
235851102 DANAHER CORP		
369604103 GENERAL ELECTRIC CO		
907818108 UNION PACIFIC CORP	3,164.	4,368.
913017109 UNITED TECHNOLOGIES		
88579Y101 3M CO		
037833100 APPLE INC	2,937.	4,488.
17275R102 CISCO SYSTEMS INC	3,787.	7,293.
219350105 CORNING INC	3,098.	4,037.
428236103 HEWLETT PACKARD CO		
44919P508 IAC INTERACTIVE CORP		
458140100 INTEL CORP		
459200101 INTERNATIONAL BUSINE	2,852.	2,626.
594918104 MICROSOFT CORP	1,884.	2,881.
68389X105 ORACLE CORPORATION	2,007.	3,290.
882508104 TEXAS INSTRUMENTS		

THE HERBERT AND PEGGY STOCKHAM FOUNDATION

63-1254357

FORM 990PF, PART II - CORPORATE STOCK

=====

DESCRIPTION	ENDING BOOK VALUE	ENDING FMV
-----	-----	---
459506101 INTERNATL FLAVORS		
81211K100 SEALED AIR CORP		
92343V104 VERIZON COMMUNIC		
210371100 CONSTELLATION ENERGY		
H0023R105 ACE LIMITED		
G6852T105 PARTNERRE LTD COM		
H8912P106 TYCO ELECTRONICS LTD		
H89128104 TYCO INTERNATL LTD		
03524A108 ANHEUSER-BUSCH INBEV		
04351G101 ASCENA RETAIL GROUP	2,005.	3,620.
057224107 BAKER HUGHES INC CO		
14040H105 CAPITAL ONE FINANCIA	2,282.	3,601.
156700106 CENTURYLINK, INC		
191216100 COCA COLA CO		
20030N101 COMCAST CORP CLASS A	2,173.	4,625.
22160K105 COSTCO WHOLESALE COR		
22544R305 CREDIT SUISSE COMM R	59,382.	48,234.
25264S833 DIAMOND HILL LONG-SH	19,178.	25,525.
278865100 ECOLAB INC		
438516106 HONEYWELL INTERNATIO		
448108100 HUSSMAN STRATEGIC GR		
45865V100 INTERCONTINENTALEXCH		
461202103 INTUIT COM		
464287200 ISHARES CORE S & P 5	16,975.	24,506.
464287465 ISHARES MSCI EAFE		
464287606 ISHARES S&P MID-CAP	36,859.	53,017.
464287705 ISHARES S&P MID-CAP	23,146.	35,450.
464287804 ISHARES CORE S&P SMA	30,027.	51,073.
50075N104 KRAFT FOODS INC		

THE HERBERT AND PEGGY STOCKHAM FOUNDATION

63-1254357

FORM 990PF, PART II - CORPORATE STOCK

=====

DESCRIPTION -----	ENDING BOOK VALUE -----	ENDING FMV ---
580135101 MCDONALDS CORP		
583334107 MEADWESTVACO CORP		
589509108 MERGER FD SH BEN INT	35,042.	35,208.
637071101 NATIONAL OILWELL INC	2,806.	3,022.
744573106 PUBLIC SVC ENTERPRIS		
747525103 QUALCOMM INC		
78463X863 SPDR DJ WILSHIRE INT	38,456.	41,859.
87612E106 TARGET CORP	3,496.	3,859.
887389104 TIMKEN CO		
91324P102 UNITEDHEALTH GROUP I	2,646.	4,669.
922042858 VANGUARD FTSE EMERGI	84,235.	82,157.
922908553 VANGUARD REIT VIPER	32,868.	39,059.
983134107 WYNN RESORTS LTD		
G1151C101 ACCENTURE PLC		
H0023R105 ACE LIMITED		
001055102 AFLAC INC	2,454.	3,607.
008252108 AFFILIATED MANAGERS	2,104.	3,904.
037411105 APACHE CORP	2,827.	2,922.
084670702 BERKSHIRE HATHAWAY I	3,732.	5,217.
088606108 BHP BILLITON LIMITED	1,868.	1,841.
097023105 BOEING CO	2,388.	4,368.
12572Q105 CME GROUP INC	2,558.	3,766.
150870103 CELANESE CORP	1,734.	2,378.
25243Q205 DIAGEO PLC - ADR	2,351.	2,913.
254687106 WALT DISNEY CO	2,962.	5,195.
268648102 E M C CORP MASS	2,450.	2,289.
367829884 GATEWAY FUND - Y #19		
375558103 GILEAD SCIENCES INC	1,263.	3,455.
38141G104 GOLDMAN SACHS GROUP	1,741.	3,013.



THE HERBERT AND PEGGY STOCKHAM FOUNDATION

63-1254357

FORM 990PF, PART II - CORPORATE STOCK

=====

DESCRIPTION -----	ENDING BOOK VALUE -----	ENDING FMV ---
38259P508 GOOGLE INC	2,578.	4,483.
478366107 JOHNSON CONTROLS INC	1,807.	3,488.
611740101 MONSTER BEVERAGE COR	1,778.	2,643.
641069406 NESTLE S.A. REGISTER	2,518.	2,944.
66987V109 NOVARTIS AG - ADR		
806857108 SCHLUMBERGER LTD	3,229.	3,965.
872540109 TJX COS INC NEW	2,782.	3,951.
881624209 TEVA PHARMACEUTICAL		
883556102 THERMO FISHER SCIENT	1,431.	2,784.
89151E109 TOTAL S.A. - ADR	2,539.	3,186.
902973304 US BANCORP DEL NEW	2,765.	3,474.
911312106 UNITED PARCEL SERVIC	2,422.	3,363.
92857W209 VODAFONE GROUP PLC N		
G29183103 EATON CORP PLC	2,212.	3,273.
071813109 BAXTER INTL INC	3,143.	3,130.
189754104 COACH INC	2,760.	2,863.
231021106 CUMMINS INC.	2,118.	2,256.
277923728 EATON VANCE GLOBAL M	11,577.	11,290.
404280406 HSBC - ADR	2,019.	2,040.
63872T885 ASG GLOBAL ALTERNATI	35,839.	35,559.
921943858 VANGUARD FTSE DEVELO	100,541.	115,287.
	-----	-----
TOTALS	635,533.	759,450.
	=====	=====

THE HERBERT AND PEGGY STOCKHAM FOUNDATION

63-1254357

FORM 990PF, PART II - CORPORATE BONDS

=====

DESCRIPTION -----	ENDING BOOK VALUE -----	ENDING FMV ---
261980494 DREYFUS EMG MKT DEBT	43,708.	42,054.
51855Q655 LAUDUS MONDRIAN INTL	25,704.	22,974.
693390882 PIMCO FOREIGN BD FD	24,667.	24,451.
76628T645 RIDGEWORTH SEIX HY B	58,222.	57,318.
921937819 VANGUARD INTERMEDIAT	59,953.	58,824.
921937827 VANGUARD SHORT TERM	173,686.	172,009.
262028855 DRIEHAUS ACTIVE INCO	60,898.	61,698.
315920702 FID ADV EMER MKTS IN	18,387.	18,076.
	-----	-----
TOTALS	465,225.	457,404.
	=====	=====

THE HERBERT AND PEGGY STOCKHAM FOUNDATION

63-1254357

FORM 990PF, PART II - OTHER INVESTMENTS

=====

COST/  
FMV

C OR F  
-----

DESCRIPTION  
-----

261980494	DREYFUS EMG MKT DEBT	C
262028855	DRIEHAUS ACTIVE INCO	C
51855Q655	LAUDUS MONDRIAN INTL	C
693390882	PIMCO FOREIGN BD FD	C
76628T645	RIDGEWORTH SEIX HY B	C
921937819	VANGUARD INTERMEDIAT	C
921937827	VANGUARD SHORT TERM	C

TOTALS

FORM 990PF, PART III - OTHER DECREASES IN NET WORTH OR FUND BALANCES  
=====

DESCRIPTION -----	AMOUNT -----
MUTUAL FUND POSTING DATE AFTER TYE	1,379.
ROC BASIS ADJUSTMENT	584.
ROUNDING	7.
	-----
TOTAL	1,970.
	=====

FORM 990PF, PART VII-A, LINE 14 - BOOKS ARE IN THE CARE OF  
=====

NAME: WELLS FARGO BANK NA

ADDRESS: ONE WEST 4TH STREET D4000-062  
WINSTON SALEM, NC 27101-4000

TELEPHONE NUMBER: (855) 739-2921

FORM 990PF, PART VIII - LIST OF OFFICERS, DIRECTORS, AND TRUSTEES

=====

OFFICER NAME:

HERBERT STOCKHAM

ADDRESS:

2940 ARGYLE ROAD  
BIRMINGHAM, AL 35213

TITLE:

PRESIDENT

AVERAGE HOURS PER WEEK DEVOTED TO POSITION: 40

OFFICER NAME:

KATE STOCKHAM

ADDRESS:

6 PEACHTREE STREET  
BIRMINGHAM, AL 35213

TITLE:

SECRETARY & TREASURE

AVERAGE HOURS PER WEEK DEVOTED TO POSITION: 40

OFFICER NAME:

PEGGY STOCKHAM

ADDRESS:

2940 ARGYLE ROAD  
BIRMINGHAM, AL 35213

TITLE:

BOARD MEMBER

AVERAGE HOURS PER WEEK DEVOTED TO POSITION: 40

OFFICER NAME:

CAROLINE S. THOMAS

ADDRESS:

3257 ROCKLEDGE ROAD  
BIRMINGHAM, AL 35213

TITLE:

BOARD MEMBER

AVERAGE HOURS PER WEEK DEVOTED TO POSITION: 40

THE HERBERT AND PEGGY STOCKHAM FOUNDATION

63-1254357

FORM 990PF, PART VIII - LIST OF OFFICERS, DIRECTORS, AND TRUSTEES

=====

OFFICER NAME:

MARGARET S MILLER

ADDRESS:

501 SEVEN OAKS PARK

BIRMINGHAM, AL 35242

TITLE:

BOARD MEMBER

AVERAGE HOURS PER WEEK DEVOTED TO POSITION: 40

STATEMENT 17

THE HERBERT AND PEGGY STOCKHAM FOUNDATION  
FORM 990PF, PART XV - LINES 2a - 2d  
=====

63-1254357

RECIPIENT NAME:

HERBERT STOCKHAM

ADDRESS:

2940 ARGYLE ROAD

BIRMINGHAM, AL 35213

RECIPIENT'S PHONE NUMBER: 404-238-0444

FORM, INFORMATION AND MATERIALS:

LETTER FORM

SUBMISSION DEADLINES:

NONE

RESTRICTIONS OR LIMITATIONS ON AWARDS:

NONE

STATEMENT 18



RECIPIENT NAME:  
UAB C GLENN COBBS ENDOWED  
SUPPORT FUND  
ADDRESS:  
1720 2ND AVENUE SOUTH  
BIRMINGHAM, AL 35294  
RELATIONSHIP:  
NONE  
PURPOSE OF GRANT:  
GENERAL SUPPORT  
FOUNDATION STATUS OF RECIPIENT:  
PC  
AMOUNT OF GRANT PAID ..... 1,000.

RECIPIENT NAME:  
MITCHELLS PLACE INC  
ADDRESS:  
4778 OVERTON ROAD  
IRONDALE, AL 35210  
RELATIONSHIP:  
NONE  
PURPOSE OF GRANT:  
GENERAL  
FOUNDATION STATUS OF RECIPIENT:  
PC  
AMOUNT OF GRANT PAID ..... 2,000.

RECIPIENT NAME:  
CAMP WINNATASKA  
ADDRESS:  
260 WINNATASKA DRIVE  
PELL CITY, AL 35128  
RELATIONSHIP:  
NONE  
PURPOSE OF GRANT:  
GENERAL  
FOUNDATION STATUS OF RECIPIENT:  
PC  
AMOUNT OF GRANT PAID ..... 2,000.

THE HERBERT AND PEGGY STOCKHAM FOUNDATION

63-1254357

FORM 990PF, PART XV, LINE 3a - CONTRIBUTIONS, GIFTS, GRANTS PAID

RECIPIENT NAME:

LITTLE TRAVERSE  
CONSERVANCY

ADDRESS:

3264 POWELL ROAD  
HARBOR SPRINGS, MI 49740

RELATIONSHIP:

NONE

PURPOSE OF GRANT:

CHARITABLE

FOUNDATION STATUS OF RECIPIENT:

PC

AMOUNT OF GRANT PAID ..... 3,000.

RECIPIENT NAME:

HERITAGE FOUNDATION

ADDRESS:

214 MASSACHUSETTS AVE NE  
WASHINGTON, DC 20002

RELATIONSHIP:

NONE

PURPOSE OF GRANT:

CHARITABLE

FOUNDATION STATUS OF RECIPIENT:

PC

AMOUNT OF GRANT PAID ..... 2,000.

RECIPIENT NAME:

INDEPENDENT PRESBYTERIAN  
CHURCH

ADDRESS:

3100 HIGHLAND AVE S  
BIRMINGHAM, AL 35205

RELATIONSHIP:

NONE

PURPOSE OF GRANT:

RELIGIOUS

FOUNDATION STATUS OF RECIPIENT:

PC

AMOUNT OF GRANT PAID ..... 5,000.

STATEMENT 20

RECIPIENT NAME:  
BIG OAK RANCH  
ADDRESS:  
200 BROAD ST. 3RD FLOOR  
GADSDEN, AL 35901  
RELATIONSHIP:  
NONE  
PURPOSE OF GRANT:  
CHARITABLE  
FOUNDATION STATUS OF RECIPIENT:  
PC  
AMOUNT OF GRANT PAID ..... 3,000.

RECIPIENT NAME:  
HILLSDALE COLLEGE  
ADDRESS:  
33 E COLLEGE ST  
HILLSDALE, MI 49242  
RELATIONSHIP:  
NONE  
PURPOSE OF GRANT:  
EDUCATIONAL  
FOUNDATION STATUS OF RECIPIENT:  
PC  
AMOUNT OF GRANT PAID ..... 2,000.

RECIPIENT NAME:  
HARBOR SPRINGS AREA  
HISTORICAL SOCIETY  
ADDRESS:  
PO BOX 812  
HARBOR SPRINGS, MI 49740  
RELATIONSHIP:  
NONE  
PURPOSE OF GRANT:  
GENERAL  
FOUNDATION STATUS OF RECIPIENT:  
PC  
AMOUNT OF GRANT PAID ..... 1,000.

RECIPIENT NAME:  
HAMPDEN-SYDNEY COLLEGE  
ADDRESS:  
PO BOX 854  
HAMPDEN-SYDNEY, VA 23943  
RELATIONSHIP:  
NONE  
PURPOSE OF GRANT:  
GENERAL  
FOUNDATION STATUS OF RECIPIENT:  
PC  
AMOUNT OF GRANT PAID ..... 1,000.

RECIPIENT NAME:  
MEDIA RESEARCH CENTER  
ADDRESS:  
325 S PATRICK ST  
ALEXANDRIA, VA 22314  
RELATIONSHIP:  
NONE  
PURPOSE OF GRANT:  
CHARITABLE  
FOUNDATION STATUS OF RECIPIENT:  
PC  
AMOUNT OF GRANT PAID ..... 3,000.

RECIPIENT NAME:  
QUEENS UNIVERSITY OF  
CHARLOTTE  
ADDRESS:  
1900 SELWYN AVENUE  
CHARLOTTE, NC 28274  
RELATIONSHIP:  
NONE  
PURPOSE OF GRANT:  
SUPPORT  
FOUNDATION STATUS OF RECIPIENT:  
PC  
AMOUNT OF GRANT PAID ..... 2,000.

RECIPIENT NAME:  
SOUTHEASTERN LEGAL  
FOUNDATION  
ADDRESS:  
2255 SEWELL MILL ROAD  
MARIETTA, GA 30062  
RELATIONSHIP:  
NONE  
PURPOSE OF GRANT:  
CHARITABLE  
FOUNDATION STATUS OF RECIPIENT:  
PC  
AMOUNT OF GRANT PAID ..... 1,000.

RECIPIENT NAME:  
NATIONAL RIGHT TO WORK  
LEGAL DEFENSE  
ADDRESS:  
8001 BRADDOCK RD 600  
SPRINGFIELD, VA 22160  
RELATIONSHIP:  
NONE  
PURPOSE OF GRANT:  
CHARITABLE  
FOUNDATION STATUS OF RECIPIENT:  
PC  
AMOUNT OF GRANT PAID ..... 5,000.

RECIPIENT NAME:  
BIRMINGHAM SOUTHERN  
COLLEGE  
ADDRESS:  
900 ARKADELPHIA ROAD  
BIRMINGHAM, AL 35254  
RELATIONSHIP:  
NONE  
PURPOSE OF GRANT:  
EDUCATIONAL  
FOUNDATION STATUS OF RECIPIENT:  
PC  
AMOUNT OF GRANT PAID ..... 4,000.

RECIPIENT NAME:

GATEWAY

ADDRESS:

1401 20TH ST S  
BIRMINGHAM, AL 35205

RELATIONSHIP:

NONE

PURPOSE OF GRANT:

CHARITABLE

FOUNDATION STATUS OF RECIPIENT:

PC

AMOUNT OF GRANT PAID ..... 4,000.

RECIPIENT NAME:

YWCA OF BIRMINGHAM

ADDRESS:

309 NORHT 23RD ST  
BIRMINGHAM, AL 35203

RELATIONSHIP:

NONE

PURPOSE OF GRANT:

CHARITABLE

FOUNDATION STATUS OF RECIPIENT:

PC

AMOUNT OF GRANT PAID ..... 2,000.

RECIPIENT NAME:

PLANNED PARENTHOOD OF  
ALABAMA

ADDRESS:

1211 27TH PLACE SOUTH  
BIRMINGHAM, AL 35205

RELATIONSHIP:

NONE

PURPOSE OF GRANT:

CHARITABLE

FOUNDATION STATUS OF RECIPIENT:

PC

AMOUNT OF GRANT PAID ..... 1,000.

RECIPIENT NAME:  
ST MARTINS IN THE PINES  
ADDRESS:  
4941 MONTEVALLO ROAD  
INRONDALE, AL 35210  
RELATIONSHIP:  
NONE  
PURPOSE OF GRANT:  
SUPPORT  
FOUNDATION STATUS OF RECIPIENT:  
PC  
AMOUNT OF GRANT PAID ..... 1,000.

RECIPIENT NAME:  
FRIENDS OF THE ALABAMA  
ARCHIVES  
ADDRESS:  
PO BOX 300100  
MONTGOMERY, AL 36130  
RELATIONSHIP:  
NONE  
PURPOSE OF GRANT:  
CHARITABLE  
FOUNDATION STATUS OF RECIPIENT:  
PC  
AMOUNT OF GRANT PAID ..... 1,000.

RECIPIENT NAME:  
CORNERSTONE SCHOOLS OF  
ALABAMA  
ADDRESS:  
6715 W GROVER CLEVELAND BLVD  
HOMOSASSA, FL 34446  
RELATIONSHIP:  
NONE  
PURPOSE OF GRANT:  
EDUCATIONAL  
FOUNDATION STATUS OF RECIPIENT:  
PC  
AMOUNT OF GRANT PAID ..... 4,000.

RECIPIENT NAME:  
INDIAN SPRINGS SCHOOL  
ADDRESS:  
190 WOODWARD DRIVE  
INDIAN SPRINGS, AL 35124  
RELATIONSHIP:  
NONE  
PURPOSE OF GRANT:  
GENERAL  
FOUNDATION STATUS OF RECIPIENT:  
PC  
AMOUNT OF GRANT PAID ..... 1,000.

RECIPIENT NAME:  
BETTER BASICS  
ADDRESS:  
200 BEACON PARKWAY WEST, STE 200  
BIRMINGHAM, AL 35209  
RELATIONSHIP:  
NONE  
PURPOSE OF GRANT:  
CHARITABLE  
FOUNDATION STATUS OF RECIPIENT:  
PC  
AMOUNT OF GRANT PAID ..... 2,000.

RECIPIENT NAME:  
FIRST LIGHT  
ADDRESS:  
2230 FOURTH AVENUE N  
BIRMINGHAM, AL 35203  
RELATIONSHIP:  
NONE  
PURPOSE OF GRANT:  
CHARITABLE  
FOUNDATION STATUS OF RECIPIENT:  
PC  
AMOUNT OF GRANT PAID ..... 3,000.



RECIPIENT NAME:  
JARROW MONTESSORI SCHOOL  
ADDRESS:  
3900 ORANGE COURT  
BOULDER, CO 80304  
RELATIONSHIP:  
NONE  
PURPOSE OF GRANT:  
GENERAL  
FOUNDATION STATUS OF RECIPIENT:  
PC  
AMOUNT OF GRANT PAID ..... 3,000.

RECIPIENT NAME:  
COMMUNITY FOUNDATION OF  
BOULDER  
ADDRESS:  
1123 SPRUCE STREET  
BOULDER, CO 80302  
RELATIONSHIP:  
NONE  
PURPOSE OF GRANT:  
GENERAL  
FOUNDATION STATUS OF RECIPIENT:  
PC  
AMOUNT OF GRANT PAID ..... 2,000.

RECIPIENT NAME:  
AGING SERVICES FOUNDATION  
OF BOULDER COUNTY  
ADDRESS:  
PO BOX 471  
BOULDER, CO 80306  
RELATIONSHIP:  
NONE  
PURPOSE OF GRANT:  
GENERAL  
FOUNDATION STATUS OF RECIPIENT:  
PC  
AMOUNT OF GRANT PAID ..... 1,000.

THE HERBERT AND PEGGY STOCKHAM FOUNDATION

63-1254357

FORM 990PF, PART XV, LINE 3a - CONTRIBUTIONS, GIFTS, GRANTS PAID

=====

RECIPIENT NAME:

HOOVER INSTITUTE

ADDRESS:

STANFORD UNIVERSITY

STANFORD, CA 94305

RELATIONSHIP:

NONE

PURPOSE OF GRANT:

CHARITABLE

FOUNDATION STATUS OF RECIPIENT:

PC

AMOUNT OF GRANT PAID ..... 2,000.

TOTAL GRANTS PAID:

64,000.

=====

STATEMENT 28