Form **990-PF**

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

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

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

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

OMB No 1545 0052

2013

Open to Public Inspection

For calendar year 2013 or tax year beginning , and ending

Name of foundation
THE PAULINE AND AUSTIN NEUHOFF FOUNDATION

A Employer identification number
73-1645131

Number and street (or P O box number if mail is not delivered to street address) P.O. BOX 195367 Room/suite

B Telephone number
214-904-1700

City or town, state or province, country, and ZIP or foreign postal code
DALLAS, TX 75219

C If exemption application is pending, check here ▶ ☐

G Check all that apply ☐ Initial return ☐ Initial return of a former public charity ☐ Final return ☐ Amended return ☐ Address change ☐ Name change

D 1. Foreign organizations, check here ▶ ☐

2. Foreign organizations meeting the 85% test, check here and attach computation ▶ ☐

H Check type of organization: ☒ 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) ▶$ 13,490,113.

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))

		(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	90,000.		N/A	
	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	318,626.	318,626.		STATEMENT 1
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	32,038.			
	b Gross sales price for all assets on line 6a 211,501.				
	7 Capital gain net income (from Part IV, line 2)		32,038.		
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less returns and allowances				
	b Less Cost of goods sold				
	c Gross profit or (loss)				
	11 Other income	86,908.	86,908.		STATEMENT 2
	12 **Total.** Add lines 1 through 11	527,572.	437,572.		
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc	0.	0.		0.
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees				
	b Accounting fees STMT 3	3,625.	3,625.		0.
	c Other professional fees STMT 4	37,027.	37,027.		0.
	17 Interest				
	18 Taxes STMT 5	10,465.	5,222.		0.
	19 Depreciation and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses STMT 6	21,191.	21,191.		0.
	24 **Total operating and administrative expenses** Add lines 13 through 23	72,308.	67,065.		0.
	25 Contributions, gifts, grants paid	746,811.			746,811.
	26 **Total expenses and disbursements.** Add lines 24 and 25	819,119.	67,065.		746,811.
	27 Subtract line 26 from line 12:				
	a Excess of revenue over expenses and disbursements	-291,547.			
	b **Net investment income** (if negative, enter -0-)		370,507.		
	c **Adjusted net income** (if negative, enter -0-)			N/A	

MAY 2 2014

90-18

20

Part II Balance Sheets Attached schedules and amounts in the description column should be for end-of-year amounts only

		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1 Cash - non-interest-bearing	512,237.	28,071.	28,071.
	2 Savings and temporary cash investments	195,163.	251,863.	251,863.
	3 Accounts receivable ▶			
	Less: allowance for doubtful accounts ▶			
	4 Pledges receivable ▶			
	Less: allowance for doubtful accounts ▶			
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons			
	7 Other notes and loans receivable ▶			
	Less: allowance for doubtful accounts ▶			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10a Investments - U S. and state government obligations			
	b Investments - corporate stock STMT 7	6,114,272.	6,330,809.	7,999,426.
	c Investments - corporate bonds STMT 8	4,597,651.	4,541,745.	4,561,982.
	11 Investments - land, buildings, and equipment basis ▶ 133,929.			
	Less accumulated depreciation ▶	133,929.	133,929.	133,929.
	12 Investments - mortgage loans			
	13 Investments - other			
	14 Land, buildings, and equipment: basis ▶			
	Less accumulated depreciation ▶			
	15 Other assets (describe ▶ STATEMENT 9)	538,554.	514,842.	514,842.
	16 **Total assets** (to be completed by all filers - see the instructions. Also, see page 1, item 1)	12,091,806.	11,801,259.	13,490,113.
Liabilities	17 Accounts payable and accrued expenses			
	18 Grants payable		1,000.	
	19 Deferred revenue			
	20 Loans from officers, directors, trustees, and other disqualified persons			
	21 Mortgages and other notes payable			
	22 Other liabilities (describe ▶)			
	23 **Total liabilities** (add lines 17 through 22)	0.	1,000.	
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 ▶ [X] and complete lines 27 through 31.			
	27 Capital stock, trust principal, or current funds	0.	0.	
	28 Paid-in or capital surplus, or land, bldg., and equipment fund	0.	0.	
	29 Retained earnings, accumulated income, endowment, or other funds	12,091,806.	11,800,259.	
	30 **Total net assets or fund balances**	12,091,806.	11,800,259.	
	31 **Total liabilities and net assets/fund balances**	12,091,806.	11,801,259.	

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	12,091,806.
2	Enter amount from Part I, line 27a	2	-291,547.
3	Other increases not included in line 2 (itemize) ▶	3	0.
4	Add lines 1, 2, and 3	4	11,800,259.
5	Decreases not included in line 2 (itemize) ▶	5	0.
6	Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	11,800,259.

Part IV Capital Gains and Losses for Tax on Investment Income

	(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.)	(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a	SEE ATTACHED - U.S. TRUST SCHEDULE	P	VARIOUS	VARIOUS
b	SEE ATTACHED - U.S. TRUST SCHEDULE	P	VARIOUS	VARIOUS
c	CATERPILLAR ADJUSTMENT	P	VARIOUS	VARIOUS
d	CAPITAL GAINS DIVIDENDS			
e				

	(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a	22,719.		22,538.	181.
b	154,861.		156,925.	-2,064.
c	460.			460.
d	33,461.			33,461.
e				

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

	(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col (j), if any	(l) Gains (Col (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
a				181.
b				-2,064.
c				460.
d				33,461.
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 32,038.

3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6):
If gain, also enter in Part I, line 8, column (c).
If (loss), enter -0- in Part I, line 8 } 3 N/A

Part V Qualification Under Section 4940(e) for Reduced Tax on Net Investment Income

(For optional use by domestic private foundations subject to the section 4940(a) tax on net investment income.)

If section 4940(d)(2) applies, leave this part blank.

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period? ☐ Yes ☒ No

If "Yes," the foundation does not qualify under section 4940(e). Do not complete this part.

1 Enter the appropriate amount in each column for each year; see the instructions before making any entries.

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2012	534,399.	11,479,942.	.046551
2011	634,621.	10,313,961.	.061530
2010	69,355.	1,056,044.	.065674
2009	113,178.	883,318.	.128128
2008	56,078.	918,661.	.061043

2	**Total** of line 1, column (d)	2	.362926
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	.072585
4	Enter the net value of noncharitable-use assets for 2013 from Part X, line 5	4	11,652,009.
5	Multiply line 4 by line 3	5	845,761.
6	Enter 1% of net investment income (1% of Part I, line 27b)	6	3,705.
7	Add lines 5 and 6	7	849,466.
8	Enter qualifying distributions from Part XII, line 4	8	746,811.

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

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

1a Exempt operating foundations described in section 4940(d)(2), check here ▶ ☐ and enter "N/A" on line 1. Date of ruling or determination letter. ______ (attach copy of letter if necessary-see instructions)				
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ ☐ and enter 1% of Part I, line 27b			1	7,410.
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b)				
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)			2	0.
3 Add lines 1 and 2			3	7,410.
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)			4	0.
5 **Tax based on investment income.** Subtract line 4 from line 3. If zero or less, enter -0-			5	7,410.
6 Credits/Payments:				
a 2013 estimated tax payments and 2012 overpayment credited to 2013	6a	2,250.		
b Exempt foreign organizations - tax withheld at source	6b			
c Tax paid with application for extension of time to file (Form 8868)	6c			
d Backup withholding erroneously withheld	6d			
7 Total credits and payments Add lines 6a through 6d			7	2,250.
8 Enter any **penalty** for underpayment of estimated tax. Check here ☐ if Form 2220 is attached			8	100.
9 **Tax due** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ▶			9	5,260.
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

		Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?	1a		X
b Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see instructions for the definition)?	1b		X
If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities			
c Did the foundation file **Form 1120-POL** for this year?	1c		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. ▶ $ 0. (2) On foundation managers. ▶ $ 0.			
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ▶ $ 0.			
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? *If "Yes," attach a detailed description of the activities*	2		X
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? *If "Yes," attach a conformed copy of the changes*	3		X
4a Did the foundation have unrelated business gross income of $1,000 or more during the year?	4a		X
b If "Yes," has it filed a tax return on **Form 990-T** for this year? N/A	4b		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? *If "Yes," attach the statement required by General Instruction T.*	5		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	6	X	
7 Did the foundation have at least $5,000 in assets at any time during the year? *If "Yes," complete Part II, col (c), and Part XV*	7	X	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ TX			
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by *General Instruction G? If "No," attach explanation*	8b	X	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2013 or the taxable year beginning in 2013 (see instructions for Part XIV)? *If "Yes," complete Part XIV*	9		X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses	10		X

323531
10-10-13

Part VII-A Statements Regarding Activities *(continued)*

			Yes	No
11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)	11		X
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	X	

Website address ▶ N/A

14 The books are in care of ▶ AUSTIN P. NEUHOFF Telephone no. ▶ 214-904-1700

Located at ▶ P.O. BOX 195367 ZIP+4 ▶ 75219

15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here ▶ ☐

and enter the amount of tax-exempt interest received or accrued during the year ▶ 15 N/A

			Yes	No
16	At any time during calendar year 2013, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country?	16		X
	See the instructions for exceptions and filing requirements for Form TD F 90-22.1. If "Yes," enter the name of the foreign country ▶			

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

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.

				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?	☐ Yes ☒ No			
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?	☐ Yes ☒ No			
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?	☐ Yes ☒ No			
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?	☐ Yes ☒ No			
	(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)?	☐ Yes ☒ No			
	(6) Agree to pay money or property to a government official? (**Exception.** Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.)	☐ Yes ☒ No			
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)?	N/A	1b		
	Organizations relying on a current notice regarding disaster assistance check here	▶ ☐			
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2013?		1c		X
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)):				
a	At the end of tax year 2013, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2013?	☐ Yes ☒ No			
	If "Yes," list the years ▶ ______, ______, ______, ______				
b	Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to **all** years listed, answer "No" and attach statement - see instructions.)	N/A	2b		
c	If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here. ▶ ______, ______, ______, ______				
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?	☐ Yes ☒ No			
b	If "Yes," did it have excess business holdings in 2013 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969; (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest; or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? *(Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2013.)*	N/A	3b		
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?		4a		X
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2013?		4b		X

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

5a During the year did the foundation pay or incur any amount to:

(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? ☐ Yes ☒ No

(2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive? ☐ Yes ☒ No

(3) Provide a grant to an individual for travel, study, or other similar purposes? ☐ Yes ☒ No

(4) Provide a grant to an organization other than a charitable, etc., organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? ☐ Yes ☒ No

(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? ☐ Yes ☒ No

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

Organizations relying on a current notice regarding disaster assistance check here ▶ ☐

c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? N/A ☐ Yes ☐ No

If "Yes," attach the statement required by Regulations section 53 4945-5(d).

6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? ☐ Yes ☒ No

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? | 6b | | X (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? N/A | 7b |

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

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

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
AUSTIN P. NEUHOFF P.O. BOX 195367 DALLAS, TX 75219	TRUSTEE 2.00	0.	0.	0.
PAULINE S. NEUHOFF P.O. BOX 195367 DALLAS, TX 75219	TRUSTEE 2.00	0.	0.	0.
NANCY SEAY P.O. BOX 195367 DALLAS, TX 75219	TRUSTEE 2.00	0.	0.	0.

2 Compensation of five highest-paid employees (other than those included on line 1). If none, enter "NONE."

(a) Name and address of each employee paid more than $50,000	(b) Title, and average hours per week devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
NONE				

Total number of other employees paid over $50,000 ▶ 0

323551
10-10-13

Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors *(continued)*

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

(a) Name and address of each person paid more than $50,000	(b) Type of service	(c) Compensation
NONE		

Total number of others receiving over $50,000 for professional services ▶ 0

Part IX-A Summary of Direct Charitable Activities

List the foundation's four largest direct charitable activities during the tax year. Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc.	Expenses
1 N/A	
2	
3	
4	

Part IX-B Summary of Program-Related Investments

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

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	11,526,013.
b	Average of monthly cash balances	1b	303,438.
c	Fair market value of all other assets	1c	
d	Total (add lines 1a, b, and c)	1d	11,829,451.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) — 1e: 0.		
2	Acquisition indebtedness applicable to line 1 assets	2	0.
3	Subtract line 2 from line 1d	3	11,829,451.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	177,442.
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3. Enter here and on Part V, line 4	5	11,652,009.
6	**Minimum investment return.** Enter 5% of line 5	6	582,600.

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	582,600.
2a	Tax on investment income for 2013 from Part VI, line 5	2a	7,410.		
b	Income tax for 2013. (This does not include the tax from Part VI.)	2b			
c	Add lines 2a and 2b			2c	7,410.
3	Distributable amount before adjustments. Subtract line 2c from line 1			3	575,190.
4	Recoveries of amounts treated as qualifying distributions			4	0.
5	Add lines 3 and 4			5	575,190.
6	Deduction from distributable amount (see instructions)			6	0.
7	**Distributable amount** as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1			7	575,190.

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	746,811.
b	Program-related investments - total from Part IX-B	1b	0.
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	**Qualifying distributions.** Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	746,811.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b	5	0.
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	746,811.

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				575,190.
2 Undistributed income, if any, as of the end of 2013				
a Enter amount for 2012 only			0.	
b Total for prior years: ______ , ______ , ______		0.		
3 Excess distributions carryover, if any, to 2013:				
a From 2008 — 10,587.				
b From 2009 — 69,424.				
c From 2010 — 17,064.				
d From 2011 — 124,913.				
e From 2012 —				
f **Total** of lines 3a through e	221,988.			
4 Qualifying distributions for 2013 from Part XII, line 4. ▶ $ 746,811.				
a Applied to 2012, but not more than line 2a			0.	
b Applied to undistributed income of prior years (Election required - see instructions)		0.		
c Treated as distributions out of corpus (Election required - see instructions)	0.			
d Applied to 2013 distributable amount				575,190.
e Remaining amount distributed out of corpus	171,621.			
5 Excess distributions carryover applied to 2013 (If an amount appears in column (d), the same amount must be shown in column (a).)	0.			0.
6 **Enter the net total of each column as indicated below:**				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	393,609.			
b Prior years' undistributed income. Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b. Taxable amount - see instructions		0.		
e Undistributed income for 2012. Subtract line 4a from line 2a. Taxable amount - see instr.			0.	
f Undistributed income for 2013. Subtract lines 4d and 5 from line 1 This amount must be distributed in 2014				0.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3)	0.			
8 Excess distributions carryover from 2008 not applied on line 5 or line 7	10,587.			
9 **Excess distributions carryover to 2014.** Subtract lines 7 and 8 from line 6a	383,022.			
10 Analysis of line 9:				
a Excess from 2009 — 69,424.				
b Excess from 2010 — 17,064.				
c Excess from 2011 — 124,913.				
d Excess from 2012 —				
e Excess from 2013 — 171,621.				

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

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

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

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

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

1 **Information Regarding Foundation Managers:**

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

NONE

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

NONE

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

Check here ▶ [X] if the foundation only makes contributions to preselected charitable organizations and does not accept unsolicited requests for funds If the foundation makes gifts, grants, etc (see instructions) to individuals or organizations under other conditions, complete items 2a, b, c, and d.

a The name, address, and telephone number or e-mail address of the person to whom applications should be addressed:

THE FOUNDATION ONLY MAKES CONTRIBUTIONS TO PRE-SELECTED CHARITABLE ORGS AND DOES NOT ACCEPT UNSOLICITED APPLICATIONS FOR FUNDS.

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:

CONTRIBUTIONS ARE GENERALLY MADE TO CHARITABLE ORGANIZATIONS WITHIN THE STATE OF TEXAS.

Part XV Supplementary Information (continued)

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a Paid during the year				
AMAZON OUTREACH DALLAS, TX	N/A	EXEMPT	COMMUNITY	50.
AMERICAN HEART ASSOCIATION DALLAS, TX	N/A	EXEMPT	MEDICAL	50.
ATTACK STARS DALLAS, TX	N/A	EXEMPT	EDUCATIONAL	200.
AT&T PERFORMING ARTS DALLAS, TX	N/A	EXEMPT	COMMUNITY	904.
BAYLOR HEALTH CARE FOUNDATION DALLAS, TX	N/A	EXEMPT	EDUCATIONAL	1,000.
Total SEE CONTINUATION SHEET(S)			▶ 3a	746,811.
b Approved for future payment				
NONE				
Total			▶ 3b	0.

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated.	Unrelated business income (a) Business code	Unrelated business income (b) Amount	Excluded by section 512, 513, or 514 (c) Exclusion code	Excluded by section 512, 513, or 514 (d) Amount	(e) Related or exempt function income
1 Program service revenue:					
a					
b					
c					
d					
e					
f					
g Fees and contracts from government agencies					
2 Membership dues and assessments					
3 Interest on savings and temporary cash investments					
4 Dividends and interest from securities			14	318,626.	
5 Net rental income or (loss) from real estate:					
a Debt-financed property					
b Not debt-financed property					
6 Net rental income or (loss) from personal property					
7 Other investment income			16	86,908.	
8 Gain or (loss) from sales of assets other than inventory			14	33,461.	-1,423.
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue:					
a					
b					
c					
d					
e					
12 Subtotal. Add columns (b), (d), and (e)		0.		438,995.	-1,423.

13 Total. Add line 12, columns (b), (d), and (e) 13 437,572.

(See worksheet in line 13 instructions to verify calculations.)

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

Line No. ▼	Explain below how each activity for which income is reported in column (e) of Part XVI-A contributed importantly to the accomplishment of the foundation's exempt purposes (other than by providing funds for such purposes).
	NOT APPLICABLE

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

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

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

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

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

b If "Yes," complete the following schedule.

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

Sign Here

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

Austin Neuhoff | 5/12/14 | SECRETARY

Signature of officer or trustee | Date | Title

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

Paid Preparer Use Only

Print/Type preparer's name	Preparer's signature	Date	Check ☐ if self-employed	PTIN
DAVID EPPERSON, CPA	David Epperson	5/9/14		P00158801

Firm's name ▶ SAVILLE DODGEN & COMPANY CPA — Firm's EIN ▶ 90-0525804

Firm's address ▶ 700 N. PEARL STREET, SUITE 1100 DALLAS, TX 75201 — Phone no. (214)922-9727

323622 10-10-13

Schedule B
(Form 990, 990-EZ, or 990-PF)
Department of the Treasury
Internal Revenue Service

Schedule of Contributors

▶ Attach to Form 990, Form 990-EZ, or Form 990-PF.
▶ Information about Schedule B (Form 990, 990-EZ, or 990-PF) and its instructions is at www irs gov/form990 .

OMB No 1545-0047

2013

Name of the organization
THE PAULINE AND AUSTIN NEUHOFF FOUNDATION

Employer identification number
73-1645131

Organization type (check one)

Filers of: **Section:**

Form 990 or 990-EZ
- [ ] 501(c)( ) (enter number) organization
- [ ] 4947(a)(1) nonexempt charitable trust **not** treated as a private foundation
- [ ] 527 political organization

Form 990-PF
- [X] 501(c)(3) exempt private foundation
- [ ] 4947(a)(1) nonexempt charitable trust treated as a private foundation
- [ ] 501(c)(3) taxable private foundation

Check if your organization is covered by the **General Rule** or a **Special Rule.**
Note. Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule See instructions.

General Rule

- [X] For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, $5,000 or more (in money or property) from any one contributor Complete Parts I and II.

Special Rules

- [ ] For a section 501(c)(3) organization filing Form 990 or 990-EZ that met the 33 1/3% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi) and received from any one contributor, during the year, a contribution of the greater of **(1)** $5,000 or **(2)** 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1. Complete Parts I and II

- [ ] For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than $1,000 for use *exclusively* for religious, charitable, scientific, literary, or educational purposes, or the prevention of cruelty to children or animals. Complete Parts I, II, and III

- [ ] For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions for use *exclusively* for religious, charitable, etc , purposes, but these contributions did not total to more than $1,000 If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose Do not complete any of the parts unless the **General Rule** applies to this organization because it received *nonexclusively* religious, charitable, etc., contributions of $5,000 or more during the year ▶ $ ____________

Caution. An organization that is not covered by the General Rule and/or the Special Rules does not file Schedule B (Form 990, 990-EZ, or 990-PF), but it **must** answer "No" on Part IV, line 2, of its Form 990, or check the box on line H of its Form 990-EZ or on its Form 990-PF, Part I, line 2, to certify that it does not meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF).

Name of organization: THE PAULINE AND AUSTIN NEUHOFF FOUNDATION

Employer identification number: 73-1645131

Part I **Contributors** (see instructions). Use duplicate copies of Part I if additional space is needed.

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	AUSTIN & PAULINE NEUHOFF P.O. BOX 195367 DALLAS, TX 75219	$ 90,000.	Person [X] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions.)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions.)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions.)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions.)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions.)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions.)

Name of organization: THE PAULINE AND AUSTIN NEUHOFF FOUNDATION

Employer identification number: 73-1645131

Part II Noncash Property (see instructions). Use duplicate copies of Part II if additional space is needed.

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		$	

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		$	

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		$	

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		$	

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		$	

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		$	

Name of organization	Employer identification number
THE PAULINE AND AUSTIN NEUHOFF FOUNDATION	73-1645131

Part III *Exclusively* religious, charitable, etc., individual contributions to section 501(c)(7), (8), or (10) organizations that total more than $1,000 for the year. Complete columns (a) through (e) and the following line entry. For organizations completing Part III, enter the total of *exclusively* religious, charitable, etc., contributions of $1,000 or less for the year. (Enter this information once.) ▶ $

Use duplicate copies of Part III if additional space is needed.

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held

(e) Transfer of gift

Transferee's name, address, and ZIP + 4	Relationship of transferor to transferee

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held

(e) Transfer of gift

Transferee's name, address, and ZIP + 4	Relationship of transferor to transferee

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held

(e) Transfer of gift

Transferee's name, address, and ZIP + 4	Relationship of transferor to transferee

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held

(e) Transfer of gift

Transferee's name, address, and ZIP + 4	Relationship of transferor to transferee

Part XV Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
BOY SCOUTS OF AMERICA DALLAS, TX	N/A	EXEMPT	COMMUNITY	100.
CAMP JOHN MARC DALLAS, TX	N/A	EXEMPT	RELIGIOUS	1,000.
CHRIST FAMILY CLINIC DALLAS, TX	N/A	EXEMPT	RELIGIOUS	500.
DALLAS ABORETUM DALLAS, TX	N/A	EXEMPT	COMMUNITY	500,000.
EDUCATIONAL OPPORTUNITIES DALLAS, TX	N/A	EXEMPT	EDUCATIONAL	100.
EPISCOPAL SCHOOL OF DALLAS DALLAS, TX	N/A	EXEMPT	EDUCATION	25,000.
EPISCOPAL SCHOOL OF DALLAS BOOSTERS DALLAS, TX	N/A	EXEMPT	RELIGIOUS	50.
ESDPA DALLAS, TX	N/A	EXEMPT	RELIGIOUS	1,000.
FAMILY LEGACY DALLAS, TX	N/A	EXEMPT	RELIGIOUS	150.
FRIENDS OF THE LOST BOYS DALLAS, TX	N/A	EXEMPT	COMMUNITY	1,000.
Total from continuation sheets				744,607.

Part XV Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
GIVE VICTORY DALLAS, TX	N/A	EXEMPT	COMMUNITY	40.
HIGHLAND PARK BASKETBALL DALLAS, TX	N/A	EXEMPT	EDUCATIONAL	125.
HIGHLAND BELLES BOOSTER CLUB DALLAS, TX	N/A	EXEMPT	COMMUNITY	325.
HIGHLAND PARK PRESBYSTERIAN CHURCH DALLAS, TX	N/A	EXEMPT	RELIGIOUS	50,200.
HP CHEER BOOSTER CLUB DALLAS, TX	N/A	EXEMPT	COMMUNITY	3,500.
HP CHOIR BOOSTER CLUB DALLAS, TX	N/A	EXEMPT	COMMUNITY	100.
LA FIESTA DE LAS SEIS BANDERAS DALLAS, TX	N/A	EXEMPT	COMMUNITY	3,000.
LANGHAM PARTNERSHIP DALLAS, TX	N/A	EXEMPT	EDUCATIONAL	5,000.
MAD FOR PLAID DALLAS, TX	N/A	EXEMPT	EDUCATIONAL	25,000.
PARENTAL CARE MINISTRIES DALLAS, TX	N/A	EXEMPT	RELIGIOUS	100.
Total from continuation sheets				

THE PAULINE AND AUSTIN NEUHOFF FOUNDATION 73-1645131

Part XV Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
PARK CITIES PRESBYTERIAN CHURCH DALLAS, TX	N/A	EXEMPT	RELIGIOUS	350.
PARK CITIES YMCA DALLAS, TX	N/A	EXEMPT	COMMUNITY	100.
PARKINSON VOICE PROJECT DALLAS, TX	N/A	EXEMPT	COMMUNITY	4,615.
PRACTICE MINISTRIES DALLAS, TX	N/A	EXEMPT	RELIGIOUS	300.
RONALD MCDONALD HOUSE DALLAS, TX	N/A	EXEMPT	RELIGIOUS	250.
SEASIDE REPETORY THEATRE DALLAS, TX	N/A	EXEMPT	COMMUNITY	250.
SEASIDE INTERFAITH CHAPEL DALLAS, TX	N/A	EXEMPT	RELIGIOUS	5,000.
SKY RANCH DALLAS, TX	N/A	EXEMPT	COMMUNITY	5,000.
SPIDER CLUB DALLAS, TX	N/A	EXEMPT	COMMUNITY	1,000.
ST. MARKS SEASIDE, FL	N/A	EXEMPT	COMMUNITY	500.
Total from continuation sheets				

Part XV Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
ST. PAUL MEDICAL FOUNDATION DALLAS, TX	N/A	EXEMPT	COMMUNITY	100.
TEXAS EXES SCHOLARSHIP FOUNDATION DALLAS, TX	N/A	EXEMPT	COMMUNITY	100,000.
TEXAS SCOTTISH RITE VAN, TX	N/A	EXEMPT	EDUCATIONAL	622.
THE CLAYTON DABNEY FOUNDATION DALLAS, TX	N/A	EXEMPT	COMMUNITY	5,500.
THE SENIOR SOURCE DALLAS, TX	N/A	EXEMPT	COMMUNITY	250.
TRINITY CHRISTIAN ACADEMY DALLAS, TX	N/A	EXEMPT	EDUCATIONAL	100.
UNIVERSITY OF RICHMOND RICHMOND, VA	N/A	EXEMPT	EDUCATIONAL	1,000.
WEST DALLAS COMMUNITY SCHOOL DALLAS, TX	N/A	EXEMPT	EDUCATIONAL	200.
WORLD VISION, INC. DALLAS, TX	N/A	EXEMPT	COMMUNITY	1,680.
YOUTH FRONT DALLAS, TX	N/A	EXEMPT	EDUCATIONAL	500.
Total from continuation sheets				

Part XV Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
CAMPUS CRUSADES FOR CHRIST ORLANDO, FL	N/A	EXEMPT	RELIGIOUS	1,000.
Total from continuation sheets				

FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 1

SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	(A) REVENUE PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME
AMERICAN NATIONAL BANK	1,156.	0.	1,156.	1,156.	
U.S. TRUST COMPANY	33,461.	33,461.	0.	0.	
U.S. TRUST COMPANY	165,643.	0.	165,643.	165,643.	
U.S. TRUST COMPANY	151,827.	0.	151,827.	151,827.	
TO PART I, LINE 4	352,087.	33,461.	318,626.	318,626.	

FORM 990-PF OTHER INCOME STATEMENT 2

DESCRIPTION	(A) REVENUE PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME
U.S. TRUST COMPANY	86,451.	86,451.	
DENTON FARM	457.	457.	
TOTAL TO FORM 990-PF, PART I, LINE 11	86,908.	86,908.	

FORM 990-PF ACCOUNTING FEES STATEMENT 3

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ACCOUNTING	3,625.	3,625.		0.
TO FORM 990-PF, PG 1, LN 16B	3,625.	3,625.		0.

FORM 990-PF OTHER PROFESSIONAL FEES STATEMENT 4

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FEES	37,027.	37,027.		0.
TO FORM 990-PF, PG 1, LN 16C	37,027.	37,027.		0.

FORM 990-PF TAXES STATEMENT 5

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FOREIGN TAX	1,419.	1,419.		0.
INCOME TAXES	5,243.	0.		0.
PROPERTY TAXES	3,803.	3,803.		0.
TO FORM 990-PF, PG 1, LN 18	10,465.	5,222.		0.

FORM 990-PF OTHER EXPENSES STATEMENT 6

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
MISCELLANEOUS	6,906.	6,906.		0.
PO BOX	180.	180.		0.
ROYALTY EXPENSES	14,105.	14,105.		0.
TO FORM 990-PF, PG 1, LN 23	21,191.	21,191.		0.

FORM 990-PF CORPORATE STOCK STATEMENT 7

DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
ABBOTT LABS - 2,800 SHARES	66,232.	107,324.
ABBVIE - 2,800 SHARES	71,823.	147,868.
ABM INDS INC - 6,000 SHARES	129,021.	171,540.
ACCENTURE - 42 SHARES	2,430.	3,453.
ADIDAS - 101 SHARES	3,655.	6,446.
ADP - 1,800 SHARES	87,562.	145,438.
AIA GROUP - 327 SHARES	5,072.	6,562.
AIR PRODS & CHEMS INC - 1,500 SHARES	133,205.	167,670.
ALLERGAN INC - 1,200 SHARES	79,416.	133,296.
AMADEUS - 76 SHARES	2,514.	3,257.
AMERICAN NATIONAL BANK - 1,284 SHARES	770,400.	770,400.
AMGEN INC - 1,800 SHARES	97,201.	205,344.
ANADARKO PETE CORP - 1,500 SHARES	93,826.	118,980.
ANHEUSER BUSCH - 40 SHARES	4,061.	4,258.
APPLE INC - 200 SHARES	101,243.	112,204.
ARCHER DANIELS - 4,000 SHARES	147,562.	173,600.
ARM HOLDINGS - 52 SHARES	1,415.	2,846.
ASML HOLDINGS - 44 SHARES	2,713.	4,123.
ASSA ABLOY - 174 SHARES	2,200.	4,603.
AT&T INC - 4,000 SHARES	115,016.	140,640.
BAIDU INC - 22 SHARES	2,508.	3,913.
BANCO BILBAO	2,985.	3,321.
BG GROUP - 182 SHARES	0.	0.
BURBERRY GROUP - 79 SHARES	3,326.	3,967.
CANADIAN NATIONAL RAILWAY - 104 SHARES	3,949.	5,930.
CARNIVAL - 105 SHARES	3,697.	4,218.
CERNER CORP - 2,000 SHARES	41,915.	111,480.
CHECK POINT SOFTWARE TECH - 61 SHARES	0.	0.
CHINA MOBIL - 76 SHARES	4,100.	3,974.
CHUBB CORP - 2,000 SHARES	117,300.	193,260.
CISCO SYS - 7,000 SHARES	132,363.	157,010.
CNOOC, LTD. - 19 SHARES	0.	0.
COMPASS GROUP - 289 SHARES	3,510.	4,634.
CULLEN FROST BANKERS - 3,000 SHARES	160,346.	223,290.
DASSAULT SYS - 24 SHARES	1,965.	2,984.
DEUTSCHE - 78 SHARES	3,659.	3,763.
DOVER CORP - 1,800 SHARES	98,262.	173,772.
ELEKTA - 151 SHARES	0.	0.
EMBRAER - 106 SHARES	3,029.	3,411.
EMERSON - 2,500 SHARES	130,972.	175,450.
EXPERIAN - 150 SHARES	2,737.	2,768.
EXPRESS SCRIPTS - 4860 SHARES	446,902.	341,366.
EXXON MOBIL - 2,000 SHARES	160,334.	202,400.
FANUC CORP - 175 SHARES	4,491.	5,342.
FLSMIDTH & CO - 404 SHARES	0.	0.
FRESENIUS MED CARE - 150 SHARES	5,427.	5,337.
GENERAL ELECTRIC CO - 8,000 SHARES	119,039.	224,240.

GENERAL MILLS INC - 3,000 SHARES	109,057.	149,730.
HANG LUNG PPTYS - 165 SHARES	0.	0.
HENNES & MAURITZ - 507 SHARES	3,331.	4,677.
HONG KONG EXCHANGES & CLEARING - 185 SHARES	3,743.	3,085.
HSBC HOLDINGS PLC - 74 SHARES	3,308.	4,080.
INDUSTRIAL & COML BK CHINA - 187 SHARES	2,790.	2,527.
ING GROEP - 432 SHARES	4,626.	6,052.
INTESA SANPAOLO - 226 SHARES	3,160.	3,352.
ITAU UNIBANCO HLDG - 181 SHARES	3,357.	2,456.
JOHNSON & JOHNSON - 2,500 SHARES	154,894.	228,975.
KDDI CORP - 156 SHARES	0.	0.
KIMBERLY CLARK - 1,500 SHARES	97,679.	156,690.
KINGFISHER PLC - 556 SHARES	4,759.	7,085.
KOMATSU, LTD - 134 SHARES	3,397.	2,724.
KONE OY - 118 SHARES	2,557.	2,667.
KUBOTA - 48 SHARES	3,593.	3,971.
LAS VEGAS SANDS CORP - 64 SHARES	2,649.	5,048.
LI & FUNG LTD - 900 SHARES	0.	0.
LULULEMON - 67 SHARES	4,553.	3,955.
LVMH - 206 SHARES	6,595.	7,528.
MEDTRONIC - 3,000 SHARES	119,878.	172,170.
MERCADOLIBRE INC - 25 SHARES	1,743.	2,695.
MICHELIN COMPAGNIE GENERAL- 216 SHARES	3,307.	4,598.
MICROSOFT CORP - 4,000 SHARES	105,616.	149,640.
MITSUBISHI UFJ FINL GROUP - 808 SHARES	3,825.	5,397.
NESTLES - 79 SHARES	5,022.	5,801.
NOKIA - 168 SHARES	1,360.	1,362.
NOVARTIS - 69 SHARES	4,170.	5,546.
NOVO-NORDISK - 39 SHARES	4,614.	7,206.
NUCOR - 1800 SHARES	82,247.	96,084.
OMNICOM GROUP INC - 2,000 SHARES	92,049.	148,740.
PACIFIC RUBIALES - 210 SHARES	4,301.	3,625.
PEARSON - 177 SHARES	3,344.	3,965.
PEPSICO - 2,500 SHARES	156,869.	207,350.
PERMANENT PORTFOLIO - 6,492 SHARES	300,000.	279,550.
PLUM CREEK - 3,000 SHARES	118,527.	139,530.
POTASH CORP - 98 SHARES	0.	0.
PRICE T ROWE GROUP, INC. - 2,500 SHARES	148,182.	209,425.
PROCTOR & GAMBLE - 2,000 SHARES	128,409.	162,820.
PT BK MANDIRI PERSERO - 150 SHARES	1,349.	968.
PUBLICIS - 380 SHARES	5,717.	8,707.
RECKITT BENCKISER - 355 SHARES	3,887.	5,636.
RIO TINTO - 2,100 SHARES	141,154.	118,503.
ROCHE HLDG - 80 SHARES	4,958.	5,604.
ROYAL BK - 227 SHARES	0.	0.
ROYAL DUTCH SHELL PLC - 2,500 SHARES	166,677.	178,175.
SABMILLER - 86 SHARES	3,455.	4,417.
SAP - 37 SHARES	2,174.	3,224.
SBERBANK RUSSIA - 193 SHARES	0.	0.
SCHLUMBERGER, LTD. - 1768 SHARES	151,540.	159,314.
SIEMENS - 34 SHARES	0.	0.
SIGMA ALDRICH - 500 SHARES	21,250.	47,005.
SINA - 22 SHARES	1,315.	1,854.
SONOCO PRODUCTS CO - 4,000 SHARES	136,447.	166,880.

SOUTHERN COPPER CORP - 65 SHARES	2,103.	1,866.
SUMITOMO - 864 SHARES	4,476.	4,554.
SWATCH GROUP - 113 SHARES	2,106.	3,745.
SYNGENTA - 51 SHARES	3,632.	4,077.
SYSCO CORP - 4,000 SHARES	113,701.	144,400.
TAIWAN SEMICONDUCTOR MFG - 229 SHARES	4,172.	3,994.
TARGET - 2,500 SHARES	130,960.	158,175.
TATA MTRS - 89 SHARES	2,185.	2,741.
TENCENT HOLDINGS - 68 SHARES	1,490.	4,338.
TEVA PHARMACEUTICAL - 109 SHARES	0.	0.
TORTOISE ENERGY INFRASTRUCTURE CORP - 2,500 SHARES	87,132.	119,175.
TOYOTA MOTOR CORP - 53 SHARES	4,238.	6,462.
TURKIYE GARANTI BANKASI - 485 SHARES	0.	0.
UNITED PARCEL SERVICES - 2,000 SHARES	135,290.	210,160.
VODAFONE GROUP - 83 SHARES	0.	0.
WALMART DE MEXICO - 90 SHARES	0.	0.
XCEL ENERGY - 5,000 SHARES	125,017.	139,700.
YANDEX - 110 SHARES	2,889.	4,747.
YUM BRANDS - 69 SHARES	4,601.	5,217.
TOTAL TO FORM 990-PF, PART II, LINE 10B	6,330,809.	7,999,426.

FORM 990-PF CORPORATE BONDS STATEMENT 8

DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
ABBOTT LABS - 200,000 SHARES	200,218.	215,354.
ALLSTATE CORP - 25,000 SHARES	25,202.	25,692.
AMGEN INC - 25,000 SHARES	26,069.	28,810.
AT&T INC - 225,000 SHARES	234,870.	239,225.
AUSTRALIAN GOVERNMENT - 94,000 SHARES	97,650.	88,033.
BERKSHIRE HATHAWAY - 200,000 SHARES	211,596.	206,140.
CANADA GOVERNMENT - 98,000 SHARES	98,382.	94,095.
CATERPILLAR FINL SVCS - 25,000 SHARES	0.	0.
CISCO SYS - 200,000 SHARES	213,114.	224,966.
COLUMBIA SHORT TERM BOND FUND - 30,426 SHARES	300,000.	303,043.
CREDIT SUISSE FIRST BOSTON USA INC - 15,000 SHARES	14,720.	15,025.
DU PONT E I DE NEMOURS & CO - 225,000 SHARES	232,089.	233,784.
GENERAL ELECTRIC CO - 200,000 SHARES	222,762.	218,090.
HEWLETT PACKARD CO - 225,000 SHARES	231,213.	230,231.
JP MORGAN CHASE & CO - 200,000 SHARES	199,892.	200,000.
LILLY ELI & CO - 25,000 SHARES	25,739.	27,916.
MCDONALDS CORP - 25,000 SHARES	25,302.	28,406.
NEW ZEALAND GOVERNMENT - 118,000 SHARES	99,715.	105,978.
NORWEGIAN GOVERNMENT - 512,000 SHARES	99,390.	88,441.
PEPSICO - 200,000 SHARES	212,722.	200,230.
PIMCO HIGH YIELD FD - 20,000 SHARES	186,000.	192,200.
SHELL INTERNATIONAL - 200,000 SHARES	205,394.	219,224.

SWEDEN GOVERNMENT - 530,000 SHARES	97,991.	97,695.
TOTAL - 200,000 SHARES	203,764.	208,714.
TOYOTA MOTOR CORP - 200,000 SHARES	216,672.	214,208.
UNITED STATES TREASURY (1.875%) - 30,019.75 SHARES	19,281.	31,640.
US BANCCORP - 200,000 SHARES	209,920.	206,090.
VERIZON COMMUNICATIONS - 200,000 SHARES	208,978.	208,560.
WALMART STORES INC GLOBAL NT - 200,000 SHARES	212,748.	202,166.
WELLS FARGO - 200,000 SHARES	210,352.	208,026.
TOTAL TO FORM 990-PF, PART II, LINE 10C	4,541,745.	4,561,982.

FORM 990-PF OTHER ASSETS STATEMENT 9

DESCRIPTION	BEGINNING OF YR BOOK VALUE	END OF YEAR BOOK VALUE	FAIR MARKET VALUE
ROYALTY INTEREST	514,286.	514,286.	514,286.
DIVIDEND RECEIVABLE	24,268.	0.	0.
RENTAL INCOME RECEIVABLE	0.	457.	457.
DONOR RECEIVABLE	0.	99.	99.
TO FORM 990-PF, PART II, LINE 15	538,554.	514,842.	514,842.

Proceeds From Broker Transactions

We have adjusted tax costs for amortization of premium paid for the acquisition of municipal bonds through date of sale and for non-taxable dividends. An asterisk symbol (*) next to the tax cost indicates that the tax cost has been adjusted for the current year's return of capital. However, we have not made adjustments to the cost basis of all partnerships.

If applicable, we have shown IRC Section 988 translation gains and losses separately within the sales sections. Please note these gains or losses are not entitled to capital gains treatment. Rather, under IRC Section 988, they are either ordinary income or loss. However, we have not made adjustments to the cost basis of all partnerships.

Short term transactions

This category includes sales of assets held 12 months or less

Description	Symbol	Cusip	Quantity sold	Date of acquisition	Sale date	Sales price less commissions	Cost or other basis	Net gain or loss
LI & FUNG LTD	LFUGY	501897102	184	07/26/12	01/16/13	$543.58	$669.39	$-125.81
SWATCH GROUP AG	SWGAY	870123106	27	09/04/12	01/29/13	$730.47	$560.19	$170.28
LAS VEGAS SANDS CORP	LVS	517834107	9	03/22/12	01/31/13	$494.07	$521.57	$-27.50
LAS VEGAS SANDS CORP	LVS	517834107	8	06/01/12	01/31/13	$439.17	$359.44	$79.73
CHECK POINT SOFTWARE TECH LTOR	CHKP	M22465104	11	05/24/12	04/26/13	$496.20	$577.98	$-81.78
MERCADOLIBRE INC	MELI	58733R102	4	11/28/12	05/01/13	$391.71	$282.54	$109.17
MERCADOLIBRE INC	MELI	58733R102	1	11/28/12	05/09/13	$119.65	$70.63	$49.02
TAIWAN SEMICONDUCTOR MFG ADR	TSM	874039100	66	07/26/12	06/07/13	$1,233.10	$883.74	$349.36
TAIWAN SEMICONDUCTOR MFG ADR	TSM	874039100	86	07/26/12	06/13/13	$1,560.49	$1,151.54	$408.95
ACCENTURE PLC	ACN	G1151C101	1	01/28/13	06/28/13	$71.75	$72.10	$-0.35
ACCENTURE PLC	ACN	G1151C101	9	04/29/13	06/28/13	$645.74	$731.11	$-85.37
ROYAL BANK OF SCOTLAND	RBS	780097689	1	12/26/12	07/01/13	$8.60	$10.37	$-1.77
ROYAL BANK OF SCOTLAND	RBS	780097689	10	12/2[illegible]/12	07/01/13	$85.96	$103.10	$-17.14
ROYAL BANK OF SCOTLAND	RBS	780097689	10	12/19/12	07/01/13	$85.95	$102.76	$-16.81
ROYAL BANK OF SCOTLAND	RBS	780097689	23	12/20/12	07/01/13	$197.70	$238.65	$-40.95
ROYAL BANK OF SCOTLAND	RBS	780097689	15	12/20/12	07/01/13	$125.03	$155.04	$-26.[illegible]
ROYAL BANK OF SCOTLAND	RBS	780097689	11	12/21/12	07/02/13	$91.23	$112.[illegible]	$-21.13
ROYAL BANK OF SCOTLAND	RBS	780097689	7[illegible]	12/18/12	07/02/13	$613.70	$747.54	$-133.84

Short term transactions

This category includes sales of assets held 12 months or less.

Description	Symbol	Cusip	Quantity sold	Date of acquisition	Sale date	Sales price less commissions	Cost or other basis	Net gain or loss
ROYAL BANK OF SCOTLAND	RBS	780097689	42	12/21/12	07/02/13	$348.32	$429 03	$-80 71
ROYAL BANK OF SCOTLAND	RBS	780097689	15	12/19/12	07/02/13	$124 40	$154 14	$-29 74
ROYAL BANK OF SCOTLAND	RBS	780097689	8	12/19/12	07/02/13	$66 35	$82.21	$-15 86
ROYAL BANK OF SCOTLAND	RBS	780097689	18	12/18/12	07/03/13	$147 92	$181 83	$-33 91
ROYAL BANK OF SCOTLAND	RBS	780097689	5	04/08/13	07/03/13	$41 09	$40.87	$0 22
ROYAL BANK OF SCOTLAND	RBS	780097689	57	04/05/13	07/03/13	$468.42	$476 57	$-8 15
SIEMENS A G SPONSORED ADR	SI	826197501	4	07/26/12	07/08/13	$413 42	$327 78	$85 64
ELEKTA AB	EKTAY	28617Y101	31	12/11/12	07/24/13	$536.05	$486 13	$49 92
ELEKTA AB	EKTAY	28617Y101	36	12/11/12	07/26/13	$609 96	$564.53	$45.43
MITSUBISHI UFJ FINL GROUP INC	MTU	606822104	100	04/12/13	07/29/13	$614 80	$680 89	$-66 09
BURBERRY GROUP PLC	BURBY	12082W204	11	11/29/12	09/16/13	$563 74	$466 20	$97 54
ACCENTURE PLC	ACN	G1151C101	4	01/28/13	09/24/13	$299.72	$288 39	$11 33
ACCENTURE PLC	ACN	G1151C101	4	12/20/12	09/24/13	$299 72	$272 55	$27 17
ASML HOLDINGS NV	ASML	N07059210	6	07/05/13	10/15/13	$582 68	$488 15	$94 53
ASML HOLDINGS NV	ASML	N07059210	7	06/07/13	10/15/13	$679 80	$563 78	$116 02
DASSAULT SYS S A SPONSORED ADR	DAST Y	237545108	4	01/29/13	10/16/13	$448 69	$456 80	$-8 11
ASML HOLDINGS NV	ASML	N07059210	8	06/07/13	10/22/13	$753 88	$644 31	$109.57
ASML HOLDINGS NV	ASML	N07059210	3	03/05/13	10/22/13	$282 70	$216 33	$66 37
TULLOW OIL PLC	TUWOY	899415202	242	01/03/13	11/01/13	$1,806.96	$2,521 64	$-714 68
TULLOW OIL PLC	TUWOY	899415202	81	05/21/13	11/01/13	$604 81	$659 67	$-54.86
ELEKTA AB	EKTAY	28617Y101	24	12/11/12	11/07/13	$347 36	$376 36	$-29 00
ELEKTA AB	EKTAY	28617Y101	43	01/30/13	11/07/13	$622 35	$649 75	$-27 40
ELEKTA AB	EKTAY	28617Y101	20	03/07/13	11/07/13	$289.47	$293 28	$-3 81
ELEKTA AB	EKTAY	28617Y101	60	12/10/12	11/07/13	$868 39	$916 99	$-48 60
ELEKTA AB	EKTAY	28617Y101	38	01/24/13	11/07/13	$549.98	$571 46	$-21 48
SYNGENTA AG SPONSORED ADR	SYT	87160A100	7	01/24/13	11/18/13	$551 29	$602.35	$-51 06
SYNGENTA AG SPONSORED ADR	SYT	87160A100	6	07/25/13	11/18/13	$472 54	$474 92	$-2.38
YUM BRANDS INC	YUM	988498101	7	07/16/13	11/22/13	$549 07	$500 82	$48 25

U.S. TRUST

Bank of America Private Wealth Management

IM PAULINE AUSTIN NEUHOFF FDN

Short term transactions

This category includes sales of assets held 12 months or less

Description	Symbol	Cusip	Quantity sold	Date of acquisition	Sale date	Sales price less commissions	Cost or other basis	Net gain or loss
HSBC HLDGS PLC SPONSORED ADR N	HBC	404280406	11	03 05 13	12 04 13	$595 33	$594 66	$0 67
TATA MTRS LTD SPONSORED ADR	TTM	876568502	8	01 10 13	12 13 13	$241 76	$205 28	$36 48
Total short term gain/loss from sales:						$22,718 97	$22 538 72	$180 65

Long term transactions

This category includes sales of assets held more than 12 months.

Description	Symbol	Cusip	Quantity sold	Date of acquisition	Sale date	Sales price less commissions	Cost or other basis	Net gain or loss
ARM HLDGS PLC SPONSORED ADR	ARMH	042068106	14	06 20 11	01 02 13	$541 81	$380 94	$160 87
BG PLC ADR FINAL INSTALLMENT N	BRGY Y	055434203	182	06 20 11	01 03 13	$3 003 66	$3 884 40	$-880 74
LI & FUNG LTD	LFUGY	501897102	169	09 01 11	01 04 13	$618 51	$633 33	$-14 82
LI & FUNG LTD	LFUGY	501897102	81	09 08 11	01 04 13	$296 44	$302 26	$-5 82
FLSMIDTH & CO A/S	FLIDY	343793105	230	06 20 11	01 07 13	$1 336 73	$1 764 10	$-427 37
FLSMIDTH & CO A/S	FLIDY	343793105	174	06 20 11	01 08 13	$1 016 40	$1 334 58	$-318 18
LI & FUNG LTD	LFUGY	501897102	95	09 16 11	01 16 13	$280 65	$343 85	$-63 20
LI & FUNG LTD	LFUGY	501897102	146	09 08 11	01 16 13	$431 32	$544 81	$-113 49
LI & FUNG LTD	LFUGY	501897102	92	09 19 11	01 16 13	$271 79	$315 11	$-43 32
LI & FUNG LTD	LFUGY	501897102	133	08 31 11	01 16 13	$392 91	$468 80	$-75 89
KDDI CORP	KDDIY	48667L106	156	06 20 11	01 24 13	$2 690 14	$2 782 65	$-92 51
EMBRAER S A	ERJ	29082A107	14	06 20 11	01 24 13	$431 91	$441 42	$-9 51
VODAFONE GROUP PLC NEW SPONSO	VOD	92857W209	40	11 23 11	02 01 13	$1,091 12	$1 046 08	$45 04
GENERAL ELECTRIC NT	GE 13	36960 4AY9	25000	03 25 08	02 01 13	$25 000 00	$25 784 25	$-784 25
VODAFONE GROUP PLC NEW SPONSO	VOD	92857W209	43	01 25 12	02 01 13	$1 172 95	$1 175 59	$-2 64
TEVA PHARMACEUTICAL INDS LTD	TEVA	881624209	17	06 20 11	02 06 13	$646 95	$797 20	$-150 35
CARNIVAL CORP PAIRED CTF 1 COM	CCL	143658300	24	06 20 11	02 13 13	$895 07	$853 44	$41 63
TOYOTA MOTORS CORP ADR 2	TM	892331307	5	06 20 11	03 05 13	$518 13	$399 80	$118 33
SCHLUMBERGER LTD	SLB	806857108	4	06 20 11	03 05 13	$308 95	$329 16	$-20 21
NESTLE S A ADR REG	NSRGY	641069406	7	06 20 11	03 05 13	$494 88	$437 78	$57 10

Long term transactions

This category includes sales of assets held more than 12 months.

Description	Symbol	Cusip	Quantity sold	Date of acquisition	Sale date	Sales price less commissions	Cost or other basis	Net gain or loss
EMBRAER S A	ERJ	29082A107	12	06/20/11	03/05/13	$407.63	$378 36	$29 27
NOVARTIS AG SPONSORED ADR	NVS	66987V109	5	06/20/11	03/05/13	$344.69	$302.15	$42 54
SWATCH GROUP AG	SWGAY	870123106	22	11/04/11	03/07/13	$621 15	$453 23	$167.92
SBERBANK RUSSIA	SBRCY	80585Y308	193	09/12/11	03/27/13	$2,395 50	$2,051 21	$344 29
TOYOTA MOTORS CORP ADR 2	TM	892331307	6	06/20/11	03/27/13	$615 88	$479.76	$136 12
TURKIYE GARANTI BANKASI A S	TKGBY	900148701	485	06/20/11	04/02/13	$2,535 09	$2,143 70	$391 39
KOMATSU LTD ADR (NEW)	KMTU Y	500458401	53	06/20/11	04/05/13	$1,214 29	$1,550 25	$-335 96
EMBRAER S A	ERJ	29082A107	21	06/20/11	04/15/13	$723.39	$662 13	$61 26
TOYOTA MOTORS CORP ADR 2	TM	892331307	6	06/20/11	04/17/13	$669 45	$479 76	$189.69
CHECK POINT SOFTWARE TECH LTOR	CHKP	M22465104	9	04/24/12	04/26/13	$405.98	$538 90	$-132 92
CHECK POINT SOFTWARE TECH LTOR	CHKP	M22465104	10	11/17/11	04/26/13	$451 10	$543 72	$-92.62
CHECK POINT SOFTWARE TECH LTOR	CHKP	M22465104	7	11/10/11	04/26/13	$315.77	$402.26	$-86 49
CHECK POINT SOFTWARE TECH LTOR	CHKP	M22465104	12	11/09/11	04/26/13	$541 31	$687 00	$-145.69
CHECK POINT SOFTWARE TECH LTOR	CHKP	M22465104	12	12/22/11	04/26/13	$541.31	$654.72	$-113 41
ARM HLDGS PLC SPONSORED ADR	ARMH	042068106	11	06/20/11	05/01/13	$523 32	$299 31	$224.01
MERCADOLIBRE INC	MELI	58733R102	5	09/20/11	05/09/13	$598 22	$348.76	$249 46
MERCADOLIBRE INC	MELI	58733R102	2	09/15/11	05/09/13	$239 29	$137.18	$102 11
SCHLUMBERGER LTD	SLB	806857108	13	06/20/11	05/20/13	$1,004.06	$1,069 77	$-65 71
CNOOC LTD SPONSORED ADR	CEO	126132109	5	06/20/11	05/21/13	$931.71	$1,149.90	$-218 19
TEVA PHARMACEUTICAL INDS LTD	TEVA	881624209	29	06/20/11	06/12/13	$1,131 79	$1,360.10	$-228 31
POTASH CORP SASK INC	POT	73755L107	22	06/20/11	06/13/13	$884 87	$1,134.54	$-249 67
ITAU UNIBANCO BANCO MULTIPLO S	ITUB	465562106	0 7	06/20/11	06/17/13	$9 77	$14 15	$-4.38
POTASH CORP SASK INC	POT	73755L107	15	06/20/11	06/24/13	$578 16	$773 55	$-195 39
SIEMENS A G SPONSORED ADR	SI	826197501	11	06/20/11	06/25/13	$1,098 97	$1,438 69	$-339 72
SAP AKTIENGESELLSCHAFT SPONSOR	SAP	803054204	8	06/20/11	07/03/13	$566 62	$484 77	$81 85
SIEMENS A G SPONSORED ADR	SI	826197501	5	09/15/11	07/08/13	$516 78	$485 27	$31 51
SIEMENS A G SPONSORED ADR	SI	826197501	7	08/30/11	07/08/13	$723 49	$718 06	$5.43
ITAU UNIBANCO BANCO MULTIPLO S	ITUB	465562106	119	06/20/11	07/08/13	$1,395 54	$2,406 29	$-1,010 75

U.S. TRUST
Bank of America Private Wealth Management

IM PAULINE AUSTIN NEUHOFF FDN

Long term transactions

This category includes sales of assets held more than 12 months

Description	Symbol	Cusip	Quantity sold	Date of acquisition	Sale date	Sales price less commissions	Cost or other basis	Net gain or loss
SIEMENS A G SPONSORED ADR	SI	826197501	7	06/20/11	07/08/13	$723.49	$915.53	$-192.04
SAP AKTIENGLSELLSCHAFT SPONSOR	SAP	803054204	9	06/20/11	07/09/13	$647.08	$545.36	$101.72
CNOOC LTD SPONSORED ADR	CEO	126132109	2	06/20/11	07/15/13	$349.50	$459.96	$-110.46
UNITED STATES TREAS NTS	UNIT13	912828BD1	31677	12/04/03	07/15/13	$31,677.00	$31,665.08	$11.92
CNOOC LTD SPONSORED ADR	CEO	126132109	2	06/20/11	07/16/13	$351.98	$459.06	$-107.08
RECKITT BENCKISER PLC	RBGLY	756255204	57	06/20/11	07/17/13	$800.68	$624.15	$176.53
ASSA ABLOY AB	ASAZY	045387107	38	06/20/11	07/22/13	$622.63	$355.60	$267.03
TENCENT HLDGS LTD	TCEHY	88032Q109	26	06/20/11	07/22/13	$1,095.82	$658.84	$436.98
YANDEX NV	YNDX	N97284108	23	06/20/11	07/24/13	$696.40	$692.53	$3.87
POTASH CORP SASK INC	POT	73755L107	10	06/20/11	07/29/13	$372.27	$515.70	$-143.43
CNOOC LTD SPONSORED ADR	CEO	126132109	3	06/20/11	07/30/13	$542.20	$680.04	$-147.74
TENCENT HLDGS LTD	TCEHY	88032Q109	21	06/20/11	07/30/13	$962.80	$532.14	$430.66
POTASH CORP SASK INC	POT	73755L107	14	11/28/11	07/31/13	$424.47	$593.49	$-169.02
POTASH CORP SASK INC	POT	73755L107	37	06/20/11	07/31/13	$1,121.80	$1,908.09	$-786.29
MERCADOLIBRE INC	MELI	58733R102	2	09/15/11	08/02/13	$256.03	$137.17	$118.86
TENCENT HLDGS LTD	TCEHY	88032Q109	15	06/20/11	08/02/13	$693.69	$380.10	$313.59
CNOOC LTD SPONSORED ADR	CEO	126132109	3	06/20/11	08/26/13	$601.10	$689.94	$-88.84
CNOOC LTD SPONSORED ADR	CEO	126132109	3	08/09/11	08/26/13	$601.09	$554.90	$46.19
CNOOC LTD SPONSORED ADR	CEO	126132109	1	08/09/11	08/27/13	$196.46	$184.97	$11.49
INDUSTRIAL & COML BK CHINA	IDCBY	455807107	111	06/20/11	09/09/13	$1,524.34	$1,656.12	$-131.78
KINGFISHER PLC SPONSORED ADR P	KGFHY	495724403	57	06/20/11	09/13/13	$1,094.52	$744.72	$349.80
ITAU UNIBANCO BANCO MULTIPLO S	ITUB	465562106	26	06/20/11	09/17/13	$361.24	$525.74	$-164.50
MERCADOLIBRE INC	MELI	58733R102	3	09/16/11	09/25/13	$386.71	$204.54	$182.17
CARNIVAL CORP PAIRED CTF 1 COM	CCL	143658300	21	06/20/11	09/25/13	$686.15	$746.76	$-60.61
ASSA ABLOY AB	ASAZY	045387107	31	06/20/11	09/26/13	$713.46	$593.70	$119.76
ASSA ABLOY AB	ASAZY	045387107	25	06/20/11	09/27/13	$570.43	$317.50	$252.93
CATERPILLAR FINL SVCS CORP	CAT13	14912L4C2	25000	10/29/08	09/30/13	$25,000.00	$25,000.00	$0.00
SCHLUMBERGER LTD	SLB	806857108	8	06/20/11	10/08/13	$705.17	$658.72	$46.45

U.S. TRUST
Bank of America Private Wealth Management

IM PAULINE AUSTIN NEUHOFF FDN

Long term transactions

This category includes sales of assets held more than 12 months.

Description	Symbol	Cusip	Quantity sold	Date of acquisition	Sale date	Sales price less commissions	Cost or other basis	Net gain or loss
TEVA PHARMACEUTICAL INDS LTD	TEVA	881624209	30	06/20/11	10/10/13	$1,199 18	$1,407 00	$-207.82
TENCENT HLDGS LTD	TCEHY	88032Q109	12	06/20/11	10/11/13	$645 37	$304 08	$341 29
HANG LUNG PPTYS LTD	HLPP Y	41043M104	65	06/20/11	10/15/13	$1,074 65	$1,224.60	$-149 95
TEVA PHARMACEUTICAL INDS LTD	TEVA	881624209	33	06/20/11	10/15/13	$1,305 00	$1,547 70	$-242 70
SAP AKTIENGESELLSCHAFT SPONSOR	SAP	803054204	9	06/20/11	10/15/13	$653.73	$545 36	$108 37
HENNES & MAURITZ AB	HNNM Y	425883105	225	06/20/11	10/15/13	$1,869.24	$1,478 25	$390 99
SAP AKTIENGESELLSCHAFT SPONSOR	SAP	803054204	10	06/20/11	10/16/13	$726 20	$605 96	$120 24
HANG LUNG PPTYS LTD	HLPP Y	41043M104	27	06/20/11	10/16/13	$439 27	$508.68	$-69 41
DASSAULT SYS S A SPONSORED ADR	DAST Y	237545108	3	06/20/11	10/16/13	$336 52	$245.58	$90 94
HANG LUNG PPTYS LTD	HLPP Y	41043M104	24	06/20/11	10/17/13	$392.80	$452 16	$-59 36
HANG LUNG PPTYS LTD	HLPP Y	41043M104	25	06/20/11	10/18/13	$408 15	$471.00	$-62.85
HANG LUNG PPTYS LTD	HLPP Y	41043M104	15	10/08/12	10/18/13	$244.89	$260 07	$-15 18
HANG LUNG PPTYS LTD	HLPP Y	41043M104	9	10/08/12	10/21/13	$147 57	$156 04	$-8 47
BAIDU COM INC SPONSORED ADR RE	BIDU	056752108	5	04/26/12	10/30/13	$814 14	$677 91	$136 23
EMBRAER S A	ERJ	29082A107	19	06/20/11	10/31/13	$543 93	$599 07	$-55 14
TENCENT HLDGS LTD	TCEHY	88032Q109	14	06/20/11	10/31/13	$759 16	$354 76	$404 40
NOVARTIS AG SPONSORED ADR	NVS	66987V109	13	06/20/11	11/01/13	$1,004 12	$785 59	$218 53
WAL-MART DE MEXICO S A DE C V	WMMV Y	93114W107	90	06/20/11	11/06/13	$2,202.84	$2,625 30	$-422 46
HSBC HLDGS PLC SPONSORED ADR N	HBC	404280406	5	04/30/12	12/04/13	$270 60	$226 08	$44.52
KOMATSU LTD ADR (NEW)	KMTU Y	500458401	57	06/20/11	12/06/13	$1,142 58	$1,667 25	$-524 67
TENCENT HLDGS LTD	TCEHY	88032Q109	6	06/20/11	12/13/13	$360 88	$152 04	$208 84
HENNES & MAURITZ AB	HNNM Y	425883105	53	06/20/11	12/17/13	$458 11	$348.21	$109 90
CARNIVAL CORP PAIRED CTF 1 COM	CCL	143658300	17	06/20/11	12/20/13	$658 01	$604 52	$53 49
Total long term gain/loss from sales:						$154,860 90	$156,925 23	$-2,064 33