



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



Form

990-PF

Department of the Treasury  
Internal Revenue Service

Return of Private Foundation

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

Do not enter Social Security numbers on this form as it may be made public. By law, the IRS cannot redact the information on the form.

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

OMB No 1545-0052





2013

Open to Public Inspection

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

Name of foundation THE MAXFIELD FOUNDATION		A Employer identification number  77-0099366	
Number and street (or P O box number if mail is not delivered to street address) 171 MAIN STREET NO 256		B Telephone number (see instructions)  (650) 559-1560	
City or town, state or province, country, and ZIP or foreign postal code LOS ALTOS, CA 94022		C If exemption application is pending, check here <input type="checkbox"/>	
G Check all that apply <div><input type="checkbox"/> Initial return <input type="checkbox"/> Final return <input type="checkbox"/> Address change</div> <div><input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Amended return <input type="checkbox"/> Name change</div>		D 1. Foreign organizations, check here <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/>	
H Check type of organization <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/>	
I Fair market value of all assets at end of year (from Part II, col. (c), line 16) <input checked="" type="checkbox"/> \$ 5,918,520	J Accounting method <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____ (Part I, column (d) must be on cash basis.)	F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>	

Part I Analysis of Revenue and Expenses <small>(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions) )</small>		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc , received (attach schedule)				
	2 Check <input checked="" type="checkbox"/> if the foundation is <b>not</b> required to attach Sch B				
	3 Interest on savings and temporary cash investments	22,274	22,274		
	4 Dividends and interest from securities. . . . .	63,827	63,827		
	5a Gross rents . . . . .				
	b Net rental income or (loss) _____				
	6a Net gain or (loss) from sale of assets not on line 10	74,582			
	b Gross sales price for all assets on line 6a 2,007,806				
	7 Capital gain net income (from Part IV , line 2) . . . .		252,209		
	8 Net short-term capital gain . . . . .				
	9 Income modifications . . . . .				
	10a Gross sales less returns and allowances				
	b Less Cost of goods sold . . . . .				
Operating and Administrative Expenses	c Gross profit or (loss) (attach schedule) . . . . .				
	11 Other income (attach schedule) . . . . .				
	12 <b>Total.</b> Add lines 1 through 11 . . . . .	160,683	338,310		
	13 Compensation of officers, directors, trustees, etc	0	0		0
	14 Other employee salaries and wages . . . . .				
	15 Pension plans, employee benefits . . . . .				
	16a Legal fees (attach schedule) . . . . .				
	b Accounting fees (attach schedule) . . . . .	4,056	4,056		0
	c Other professional fees (attach schedule) . . . . .				
	17 Interest . . . . .				
	18 Taxes (attach schedule) (see instructions)	351	341		10
	19 Depreciation (attach schedule) and depletion . . .				
	20 Occupancy . . . . .				
	21 Travel, conferences, and meetings . . . . .				
	22 Printing and publications . . . . .				
	23 Other expenses (attach schedule) . . . . .	13,172	13,172		0
	24 <b>Total operating and administrative expenses.</b>				
	Add lines 13 through 23 . . . . .	17,579	17,569		10
	25 Contributions, gifts, grants paid . . . . .	566,000			566,000
	26 <b>Total expenses and disbursements.</b> Add lines 24 and 25	583,579	17,569		566,010
	27 Subtract line 26 from line 12				
	a <b>Excess of revenue over expenses and disbursements</b>	-422,896			
	b <b>Net investment income</b> (if negative, enter -0-)		320,741		
	c <b>Adjusted net income</b> (if negative, enter -0-)				

Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions )	Beginning of year	End of year	
			(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash—non-interest-bearing . . . . .			
	2	Savings and temporary cash investments . . . . .	646,640	201,411	201,411
	3	Accounts receivable ▶ _____ Less allowance for doubtful accounts ▶ _____			
	4	Pledges receivable ▶ _____ Less allowance for doubtful accounts ▶ _____			
	5	Grants receivable . . . . .			
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions) . . . . .			
	7	Other notes and loans receivable (attach schedule) ▶ _____ Less allowance for doubtful accounts ▶ _____			
	8	Inventories for sale or use . . . . .			
	9	Prepaid expenses and deferred charges . . . . .			
	10a	Investments—U S and state government obligations (attach schedule)	904,134	 525,394	515,853
	b	Investments—corporate stock (attach schedule) . . . . .	2,471,394	 2,988,863	3,334,216
	c	Investments—corporate bonds (attach schedule). . . . .	227,733	 384,581	384,462
	11	Investments—land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
	12	Investments—mortgage loans . . . . .			
	13	Investments—other (attach schedule) . . . . .	964,565	 691,321	1,482,578
	14	Land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
	15	Other assets (describe ▶ _____)			
	16	Total assets (to be completed by all filers—see the instructions Also, see page 1, item I)	5,214,466	4,791,570	5,918,520
Liabilities	17	Accounts payable and accrued expenses . . . . .			
	18	Grants payable . . . . .			
	19	Deferred revenue . . . . .			
	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable (attach schedule) . . . . .			
	22	Other liabilities (describe ▶ _____)			
	23	Total liabilities (add lines 17 through 22) . . . . .	0	0	
Net Assets or Fund Balances		Foundations that follow SFAS 117, check here ▶ <input type="checkbox"/> and complete lines 24 through 26 and lines 30 and 31.			
	24	Unrestricted . . . . .			
	25	Temporarily restricted . . . . .			
	26	Permanently restricted . . . . .			
		Foundations that do not follow SFAS 117, check here ▶ <input checked="" type="checkbox"/> and complete lines 27 through 31.			
	27	Capital stock, trust principal, or current funds . . . . .	0	0	
	28	Paid-in or capital surplus, or land, bldg , and equipment fund	0	0	
	29	Retained earnings, accumulated income, endowment, or other funds	5,214,466	4,791,570	
	30	Total net assets or fund balances (see page 17 of the instructions) . . . . .	5,214,466	4,791,570	
	31	Total liabilities and net assets/fund balances (see page 17 of the instructions) . . . . .	5,214,466	4,791,570	

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	5,214,466
2	Enter amount from Part I, line 27a . . . . .	2	-422,896
3	Other increases not included in line 2 (itemize) ▶ _____	3	0
4	Add lines 1, 2, and 3 . . . . .	4	4,791,570
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	4,791,570

Part IV Capital Gains and Losses for Tax on Investment Income

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

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

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

2	Capital gain net income or (net capital loss)	{ If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 }	2	252,209
3	Net short-term capital gain or (loss) as defined in sections 1222(5) and (6)  If gain, also enter in Part I, line 8, column (c) (see instructions) If (loss), enter -0- in Part I, line 8 . . . . .		3	

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

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

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

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

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

1 Enter the appropriate amount in each column for each year, see page 18 of the instructions before making any entries

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2012	549,380	5,749,646	0 095550
2011	767,966	6,651,298	0 115461
2010	488,838	6,567,822	0 074429
2009	350,105	6,147,150	0 056954
2008	426,109	7,682,666	0 055464

2	Total of line 1, column (d). . . . .	2	0 397858
3	Average distribution ratio for the 5-year base period—divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years . . . .	3	0 079572
4	Enter the net value of noncharitable-use assets for 2013 from Part X, line 5. . . . .	4	5,850,198
5	Multiply line 4 by line 3. . . . .	5	465,512
6	Enter 1% of net investment income (1% of Part I, line 27b). . . . .	6	3,207
7	Add lines 5 and 6. . . . .	7	468,719
8	Enter qualifying distributions from Part XII, line 4. . . . .  If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate See the Part VI instructions	8	566,010

Part VI Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948—see page 18 of the instructions)			
1a Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1		1	3,207
Date of ruling or determination letter _____ (attach copy of letter if necessary—see instructions)			
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input checked="" type="checkbox"/> and enter 1% of Part I, line 27b . . . . .			
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	3,207
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	3,207
6 Credits/Payments			
a	2013 estimated tax payments and 2012 overpayment credited to 2013	6a	1,610
b	Exempt foreign organizations—tax withheld at source . . . . .	6b	
c	Tax paid with application for extension of time to file (Form 8868)	6c	
d	Backup withholding erroneously withheld . . . . .	6d	
7 Total credits and payments Add lines 6a through 6d. . . . .		7	1,610
8 Enter any penalty for underpayment of estimated tax Check here <input checked="" 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	1,597
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 checked="" type="checkbox"/> Refunded <input type="checkbox"/>		11	

Part VII-A Statements Regarding Activities			
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign? . . . . .		1a	No
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see page 19 of the instructions for definition)? . . . . .		1b	No
If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.			
c Did the foundation file Form 1120-POL for this year?. . . . .		1c	No
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year (1) On the foundation <input checked="" type="checkbox"/> \$ 0 (2) On foundation managers <input checked="" type="checkbox"/> \$ 0			
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers <input checked="" type="checkbox"/> \$ 0			
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? . . . . .		2	No
If "Yes," attach a detailed description of the activities.			
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes . . . . .		3	No
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?. . . . .		4a	No
b If "Yes," has it filed a tax return on Form 990-T for this year?. . . . .		4b	
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? . . . . .		5	No
If "Yes," attach the statement required by General Instruction T.			
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either <ul style="list-style-type: none"><li>By language in the governing instrument, or</li><li>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? . . . . .</li></ul>		6	Yes
7 Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col. (c), and Part XV.		7	Yes
8a Enter the states to which the foundation reports or with which it is registered (see instructions) <input checked="" type="checkbox"/> CA			
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation .		8b	Yes
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2013 or the taxable year beginning in 2013 (see instructions for Part XIV)? If "Yes," complete Part XIV . . . . .		9	No
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses.		10	No

Part VII-A

Statements Regarding Activities *(continued)*

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions).	11		No
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		No
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	Yes	
Website address ▶N/A				
14	The books are in care of ▶ROBERT R MAXFIELD Telephone no ▶(650) 559-1560 Located at ▶171 MAIN STREET 256 LOS ALTOS CA ZIP +4 ▶94022			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of <b>Form 1041</b> —Check here . . . . . ▶ <input type="checkbox"/> and enter the amount of tax-exempt interest received or accrued during the year . . . . . ▶	15		
16	At any time during calendar year 2013, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country?	16	Yes	No
See instructions for exceptions and filing requirements for Form TD F 90-22.1 If "Yes", enter the name of the foreign country ▶				

Part VII-B

Statements Regarding Activities for Which Form 4720 May Be Required

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.			Yes	No
1a	During the year did the foundation (either directly or indirectly) (1) Engage in the sale or exchange, or leasing of property with a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?. . . . . <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)?. . . . . <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (6) Agree to pay money or property to a government official? ( <b>Exception.</b> Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days ). . . . . <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
b	If any answer is "Yes" to 1a(1)–(6), did <b>any</b> of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see page 20 of the instructions)?. . . Organizations relying on a current notice regarding disaster assistance check here. . . . . ▶ <input type="checkbox"/>	1b		
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2013?. . . . .	1c		No
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))			
a	At the end of tax year 2013, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2013?. . . . . <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If "Yes," list the years ▶ 20____, 20____, 20____, 20____			
b	Are there any years listed in 2a for which the foundation is <b>not</b> applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to <b>all</b> years listed, answer "No" and attach statement—see instructions ). . . . .	2b		
c	If the provisions of section 4942(a)(2) are being applied to <b>any</b> of the years listed in 2a, list the years here ▶ 20____, 20____, 20____, 20____			
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?. . . . . <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
b	If "Yes," did it have excess business holdings in 2013 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969, (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? ( <i>Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2013.</i> ). . . . .	3b		
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a		No
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2013?	4b		No

Part VII-B

Statements Regarding Activities for Which Form 4720 May Be Required (continued)

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

Part VIII

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

1 List all officers, directors, trustees, foundation managers and their compensation (see instructions).				
(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
ROBERT R MAXFIELD	PRESIDENT / CFO	0	0	0
171 MAIN STREET 256 LOS ALTOS,CA 94022	0 00			
MELINDA C MAXFIELD	VICE PRESIDENT	0	0	0
171 MAIN STREET 256 LOS ALTOS,CA 94022	0 00			
MICHAEL P GROOM	SECRETARY	0	0	0
1570 THE ALAMEDA STE 100 SAN JOSE,CA 95126	0 00			
2 Compensation of five highest-paid employees (other than those included on line 1—see instructions). If none, enter "NONE."				
(a) Name and address of each employee paid more than \$50,000	(b) Title, and average hours per week devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
NONE				
Total number of other employees paid over \$50,000.				0

Part VIII

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

3 Five highest-paid independent contractors for professional services (see instructions). If none, enter "NONE".		
(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
NONE		
Total number of others receiving over \$50,000 for professional services. . . . .		0

Part IX-A

Summary of Direct Charitable Activities

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

Part IX-B

Summary of Program-Related Investments (see instructions)

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



Part X

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

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	5,714,511
b	Average of monthly cash balances. . . . .	1b	224,776
c	Fair market value of all other assets (see instructions). . . . .	1c	0
d	Total (add lines 1a, b, and c). . . . .	1d	5,939,287
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	5,939,287
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions). . . . .	4	89,089
5	Net value of noncharitable-use assets. Subtract line 4 from line 3 Enter here and on Part V, line 4	5	5,850,198
6	Minimum investment return. Enter 5% of line 5. . . . .	6	292,510

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	292,510
2a	Tax on investment income for 2013 from Part VI, line 5. . . . .	2a	3,207
b	Income tax for 2013 (This does not include the tax from Part VI ). . . . .	2b	
c	Add lines 2a and 2b. . . . .	2c	3,207
3	Distributable amount before adjustments Subtract line 2c from line 1. . . . .	3	289,303
4	Recoveries of amounts treated as qualifying distributions. . . . .	4	0
5	Add lines 3 and 4. . . . .	5	289,303
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	289,303

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	566,010
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	566,010
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income Enter 1% of Part I, line 27b (see instructions). . . . .	5	3,207
6	Adjusted qualifying distributions. Subtract line 5 from line 4. . . . .	6	562,803
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				289,303
2	Undistributed income, if any, as of the end of 2013				
a	Enter amount for 2012 only. . . . .			0	
b	Total for prior years 20____, 20____, 20____		0		
3	Excess distributions carryover, if any, to 2013				
a	From 2008. . . . .				45,983
b	From 2009. . . . .				44,067
c	From 2010. . . . .				165,015
d	From 2011. . . . .				439,817
e	From 2012. . . . .				263,158
f	Total of lines 3a through e. . . . .	958,040			
4	Qualifying distributions for 2013 from Part XII, line 4 ▶ \$ 566,010				
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. . . . .				289,303
e	Remaining amount distributed out of corpus	276,707			
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	1,234,747			
b	Prior years' undistributed income Subtract line 4b from line 2b. . . . .		0		
c	Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed. . . . .		0		
d	Subtract line 6c from line 6b Taxable amount—see instructions . . . . .		0		
e	Undistributed income for 2012 Subtract line 4a from line 2a Taxable amount—see instructions . . . . .			0	
f	Undistributed income for 2013 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2014 . . . . .				0
7	Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions). . . . .	0			
8	Excess distributions carryover from 2008 not applied on line 5 or line 7 (see instructions). . .	45,983			
9	Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a . . . . .	1,188,764			
10	Analysis of line 9				
a	Excess from 2009. . . .				44,067
b	Excess from 2010. . . .				165,015
c	Excess from 2011. . . .				439,817
d	Excess from 2012. . . .				263,158
e	Excess from 2013. . . .				276,707

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

1a

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

b

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

☐ 4942(j)(3) or ☐ 4942(j)(5)

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

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

1

Information Regarding Foundation Managers:

a

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

ROBERT R MAXFIELD

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

2

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

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

a

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

ROBERT R MAXFIELD  
171 MAIN STREET 256  
LOS ALTOS, CA 94022  
(650) 559-1560

b

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

FORMAL WRITTEN REQUEST

c

Any submission deadlines

N/A

d

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

PURSUANT TO ARTICLE 2, SECTION 1 OF THE BYLAWS OF THE MAXFIELD FOUNDATION, THE PRIMARY PURPOSE FOR WHICH THIS FOUNDATION IS FORMED IS TO RECEIVE AND MAINTAIN A FUND OR FUNDS OF REAL OR PERSONAL PROPERTY, OR BOTH, AND SUBJECT TO THE RESTRICTIONS AND LIMITATIONS HEREINAFTER SET FORTH, TO USE AND APPLY THE WHOLE OR ANY PART OF THE INCOME THEREFROM AND THE PRINCIPAL THEREOF EXCLUSIVELY FOR CANCER AND LEUKEMIA RESEARCH EITHER DIRECTLY OR BY CONTRIBUTIONS TO ORGANIZATIONS THAT QUALIFY AS EXEMPT ORGANIZATIONS UNDER SECTION 501 (C) (3) OF THE INTERNAL REVENUE CODE, AS AMENDED, AND ITS REGULATIONS AS THEY NOW EXIST OR AS THEY MAY HEREAFTER BE AMENDED. THE SECONDARY PURPOSE FOR WHICH THIS FOUNDATION IS FORMED IS TO MAKE CONTRIBUTIONS OF FUNDS, AT THE TIMES AND IN AMOUNTS AS DETERMINED BY THE BOARD OF DIRECTORS, TO ORGANIZATIONS UNDER SECTION 501 (C) (3) OF THE INTERNAL REVENUE CODE, AS AMENDED.

Part XV

Supplementary Information (continued)

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a Paid during the year See Additional Data Table				
Total . . . . .			3a	566,000
b Approved for future payment				
Total . . . . .			3b	0

Enter gross amounts unless otherwise indicated

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

Form **990-PF** (2013)

Part XVII

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

1

Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?

Yes

No

a

Transfers from the reporting foundation to a noncharitable exempt organization of

(1)

Cash.

1a(1)

No

(2)

Other assets.

1a(2)

No

b

Other transactions

(1)

Sales of assets to a noncharitable exempt organization.

1b(1)

No

(2)

Purchases of assets from a noncharitable exempt organization.

1b(2)

No

(3)

Rental of facilities, equipment, or other assets.

1b(3)

No

(4)

Reimbursement arrangements.

1b(4)

No

(5)

Loans or loan guarantees.

1b(5)

No

(6)

Performance of services or membership or fundraising solicitations.

1b(6)

No

c

Sharing of facilities, equipment, mailing lists, other assets, or paid employees.

1c

No

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

2a

Is the foundation directly or indirectly affiliated with, or related to, one or more tax-exempt organizations described in section 501(c) of the Code (other than section 501(c)(3)) or in section 527?

Yes

No

b

If "Yes," complete the following schedule

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

Sign Here

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

\*\*\*\*\*

Signature of officer or trustee

2014-05-08

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

WILLIAM T MELTON JR

Preparer's Signature

Date

2014-05-08

Check if self-employed

PTIN

P00351253

Firm's name

ABBOTT STRINGHAM & LYNCH

Firm's EIN

77-0051130

Firm's address

1550 LEIGH AVE SAN JOSE, CA 95125

Phone no

(408) 377-8700

Form 990-PF (2013)

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

(a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co )	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo , day, yr )	(d) Date sold (mo , day, yr )
110 SHS US TREASURY NOTE #F 25 2 2/28/15		2013-03-20	2013-04-10
140 SHS US TREASURY NOTE #F 25 2 2/28/15		2013-03-20	2013-04-10
280 SHS US TREASURY NOTE #F 25 2 2/28/15		2013-03-20	2013-04-19
250 SHS US TREASURY NOTE #F 25 2 2/28/15		2013-03-20	2013-04-25
10 SHS CORRECTIONS CORP OF AMER NEW		2013-05-08	2013-06-25
4 SHS CORRECTIONS CORP OF AMER NEW		2013-05-16	2013-07-31
16 SHS CORRECTIONS CORP OF AMER NEW		2013-05-10	2013-07-31
4 SHS REALTY INCOME CORP		2013-04-01	2013-06-25
8 SHS CBL & ASSOC PPTYS INC		2013-06-11	2013-09-04
42 SHS COLE REAL ESTATE		2013-08-16	2013-11-11
120 SHS TELE2 REDEMPTION SHARES		2013-06-21	2013-09-23
20 SHS CAMPUS CREST CMNTYS INC COM		2013-05-09	2013-08-15
100 SHS KDDI CORP ADR		2013-01-25	2013-05-10
25000 SHS US TREASURY NOTES 02/28/2015		2013-03-18	2013-07-02
25 SHS KDDI CORP ADR		2013-01-25	2013-05-13
8 SHS LASALLE HOTEL PROPERTIES		2012-12-20	2013-04-17
30 SHS US TREASURY NOTE #F2 5 11/15/21		2012-11-16	2013-03-18
460 SHS US TREASURY NOTE #F2 5 11/15/21		2012-11-16	2013-03-18
460 SHS US TREASURY NOTE #F2 5 11/15/21		2012-11-16	2013-03-18
18 SHS COLE REAL ESTATE		2013-08-16	2013-12-20
25 SHS WALGREEN CO		2012-12-11	2013-04-23
10 SHS AIR PRODUCTS & CHEMICALS		2013-03-07	2013-07-25
1800 SHS US TREAS BILL #F0 3 9/19/13		2013-05-01	2013-09-19
12 SHS APARTMENT INVT & MGMT CO A		2013-06-04	2013-10-30
53000 SHS US TREASURY NOTES 02/28/2015		2013-03-18	2013-08-15
64000 SHS US TREASURY NOTES 02/28/2015		2013-03-18	2013-08-15
25 SHS NIELSEN HOLDINGS BV		2013-06-11	2013-11-11
8 SHS AMERICAN RLTY CAP PPTYS INC		2013-05-28	2013-10-30
2200 SHS US TREAS BILL #F0 3 12/12/13		2013-07-09	2013-12-12
15 SHS AETNA INC NEW		2013-01-04	2013-06-11

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

(a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co )	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo , day, yr )	(d) Date sold (mo , day, yr )
25 SHS VIACOM INC CL B NEW		2013-04-11	2013-09-16
75 SHS KDDI CORP ADR		2013-01-25	2013-07-03
16 SHS CAMPUS CREST CMNTYS INC COM		2013-03-01	2013-08-08
4 SHS APARTMENT INVT & MGMT CO A		2013-05-09	2013-10-21
15 SHS ENI S P A ADR		2013-04-11	2013-09-24
12 SHS CAMPUS CREST CMNTYS INC COM		2013-03-01	2013-08-15
100 SHS ISHARES TR MSCI EMERGING MKTS INDEX FD		2013-01-10	2013-07-01
345 SHS ISHARES TR MSCI EAFE INDEX FUND		2013-01-10	2013-07-01
415 SHS ISHARES TR MSCI EMERGING MKTS INDEX FD		2013-01-10	2013-07-01
1 SHS APARTMENT INVT & MGMT CO A		2013-05-09	2013-10-30
250 SHS US TREAS BILL #F0 3 3/14/13		2012-09-20	2013-03-14
4 SHS AMERICAN TOWER REIT COM		2012-11-07	2013-05-09
10 SHS APARTMENT INVT & MGMT CO A		2013-02-11	2013-08-15
106 SHS EXPRESS SCRIPTS		2000-03-22	2013-07-01
228 SHS TRIQUINT SEMICONDUCTOR		2000-03-22	2013-07-01
31 SHS GOOGLE		2000-03-22	2013-07-01
361 SHS GILEAD		2000-03-22	2013-07-01
470 SHS CISCO		2000-03-22	2013-07-01
483 SHS ORACLE		2000-03-22	2013-07-01
53 SHS AMAZON		2000-03-22	2013-07-01
56 SHS INTUIT		2000-03-22	2013-07-01
58 SHS SIGMA-ALDRICH		2000-03-22	2013-07-01
63 SHS APPLE		2000-03-22	2013-07-01
86 SHS QUALCOMM		2000-03-22	2013-07-01
9 SHS MICROSOFT		2000-03-22	2013-07-01
10 SHS THERMO FISHER SCIENTIFIC		2012-10-18	2013-04-23
25 SHS BNP PARIBAS SPON ADR		2013-03-20	2013-09-24
13 SHS APARTMENT INVT & MGMT CO A		2013-02-11	2013-08-19
2 SHS LASALLE HOTEL PROPERTIES		2012-09-14	2013-03-25
10 SHS LASALLE HOTEL PROPERTIES		2012-09-12	2013-03-25



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

(a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co )	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo , day, yr )	(d) Date sold (mo , day, yr )
250 SHS US TREASURY NOTE #F2 125 2 8/15/21		2012-08-16	2013-02-27
5 SHS LASALLE HOTEL PROPERTIES		2012-09-14	2013-04-03
11 SHS LASALLE HOTEL PROPERTIES		2012-09-21	2013-04-15
14 SHS AMERICAN RLTY CAP PPTYS INC		2013-05-28	2013-12-20
7 SHS LASALLE HOTEL PROPERTIES		2012-09-21	2013-04-17
4 SHS AMERICAN CAMPUS CMMTYS INC		2012-11-07	2013-06-04
24 SHS APARTMENT INVT & MGMT CO A		2013-02-11	2013-09-09
4 SHS REALTY INCOME CORP		2013-04-01	2013-10-30
5 SHS LASALLE HOTEL PROPERTIES		2012-09-14	2013-04-15
1090 SHS US TREASURY NOTE #F2 125 2 8/15/21		2012-08-16	2013-03-18
1120 SHS US TREASURY NOTE #F2 125 2 8/15/21		2012-08-16	2013-03-18
30 SHS US TREASURY NOTE #F2 125 2 8/15/21		2012-08-16	2013-03-18
510 SHS US TREASURY NOTE #F2 125 2 8/15/21		2012-08-16	2013-03-18
60 SHS US TREASURY NOTE #F2 125 2 8/15/21		2012-08-16	2013-03-18
14 SHS AMERICAN CAMPUS CMMTYS INC		2012-10-26	2013-06-04
5 SHS AETNA INC NEW		2012-11-01	2013-06-11
11 SHS CBL & ASSOC PPTYS INC		2013-01-03	2013-08-26
8 SHS COMMONWEALTH REIT COM		2013-02-28	2013-10-23
2 SHS REALTY INCOME CORP		2013-04-01	2013-11-26
8 SHS COMMONWEALTH REIT COM		2013-02-28	2013-10-30
9 SHS CBL & ASSOC PPTYS INC		2013-01-03	2013-09-04
15 SHS WASTE MANAGEMENT INC NEW		2012-08-02	2013-04-05
4 SHS AMERICAN TOWER REIT COM		2012-05-22	2013-01-23
2 SHS AMERICAN CAMPUS CMMTYS INC		2012-09-27	2013-06-04
25000 SHS WALT DISNEY COMPANY		2013-02-27	2013-11-04
2 SHS APARTMENT INVT & MGMT CO A		2013-02-11	2013-10-21
15 SHS DOLLAR GENERAL CORP		2013-01-04	2013-09-16
6 SHS AMERICAN TOWER REIT COM		2012-05-22	2013-02-01
8 SHS COMMONWEALTH REIT COM		2013-02-28	2013-11-14
25 SHS BARRICK GOLD CORP		2012-05-29	2013-02-13

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

(a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co )	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo , day, yr )	(d) Date sold (mo , day, yr )
30 SHS VODAFONE GP PLC NEW ADR		2012-06-20	2013-03-07
8 SHS COMMONWEALTH REIT COM		2013-02-28	2013-11-20
5 SHS NIELSEN HOLDINGS BV		2013-02-13	2013-11-11
5 SHS NIELSEN HOLDINGS BV		2013-02-13	2013-11-11
250 SHS US TREAS BILL #F0 6 6/27/13		2012-09-20	2013-06-27
6 SHS AMERICAN CAMPUS CMMTYS INC		2012-07-11	2013-04-19
25 SHS SEAGATE TECHNOLOGY PLC		2012-04-11	2013-01-22
14 SHS COMMONWEALTH REIT COM		2013-02-28	2013-12-12
20 SHS LOWES COS INC		2012-03-14	2013-01-04
6 SHS REGENCY CENTERS CORP		2012-09-10	2013-07-03
8 SHS SENIOR HSG PPTY TR SBI		2013-01-23	2013-11-20
10 SHS AMERICAN CAMPUS CMMTYS INC		2012-07-11	2013-05-09
4 SHS AMERICAN CAMPUS CMMTYS INC		2012-07-11	2013-05-14
8 SHS TANGER FACTORY OUTLET CENTERS		2012-08-02	2013-06-11
8 SHS REGENCY CENTERS CORP		2012-09-10	2013-07-22
2 SHS AMERICAN TOWER REIT COM		2012-06-19	2013-05-03
4 SHS AMERICAN TOWER REIT COM		2012-06-19	2013-05-09
6 SHS AMERICAN CAMPUS CMMTYS INC		2012-07-11	2013-06-04
6 SHS TANGER FACTORY OUTLET CENTERS		2012-08-02	2013-07-03
235 SHS CISCO SYS INC		2000-03-22	2013-12-06
483 SHS ORACLE CORP		2000-03-22	2013-12-06
62 SHS APPLE INC		2000-03-22	2013-12-06
2 SHS AMERICAN TOWER REIT COM		2012-05-22	2013-05-03
20000 SHS TOYOTA MOTOR CREDIT CORP 10/05/2017		2012-10-02	2013-09-25
200 SHS JPMORGAN CHASE #B1 875 3 3/20/15		2012-03-17	2013-03-11
250 SHS US TREAS BILL #F0 3 9/19/13		2012-09-20	2013-09-19
15 SHS SUNCORP GROUP ADR		2012-04-11	2013-04-12
25 SHS EMBRAER SA ADR		2012-03-23	2013-04-01
10 SHS LOWES COS INC		2012-06-20	2013-07-02
3 SHS CBL & ASSOC PPTYS INC		2012-07-27	2013-08-08

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

(a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co )	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo , day, yr )	(d) Date sold (mo , day, yr )
20 SHS COACH INC		2012-09-26	2013-10-16
20000 SHS ENERGY NW WA ELEC		2012-09-11	2013-10-02
25 SHS WALGREEN CO		2012-10-18	2013-11-08
5 SHS WASTE MANAGEMENT INC NEW		2012-08-02	2013-08-23
15 SHS CBL & ASSOC PPTYS INC		2012-07-27	2013-08-26
20000 SHS ONTARIO PROVINCE OF		2012-10-18	2013-11-18
30 SHS EMBRAER SA ADR		2012-07-13	2013-08-26
60 SHS AKZO NOBEL NV ADR		2011-11-21	2013-01-04
15 SHS AVAGO TECHNOLOGIES		2012-09-21	2013-11-08
15 SHS COACH INC		2012-08-29	2013-10-16
45 SHS AB FOODS LTD ADR		2011-11-21	2013-01-17
10 SHS SSE PLC ADR		2012-04-11	2013-06-12
28 SHS DUKE REALTY CORP		2012-02-01	2013-04-05
30 SHS WASTE MANAGEMENT INC NEW		2012-06-20	2013-08-23
20000 SHS DOMINION RESOURCES		2012-09-11	2013-11-18
20 SHS LOWES COS INC		2012-03-14	2013-05-23
2 SHS REGENCY CENTERS CORP		2012-09-10	2013-11-20
5 SHS VODAFONE GP PLC NEW ADR		2012-06-20	2013-09-03
100 SHS SUMITOMO MITSUI FIN ADR		2011-11-21	2013-02-13
20 SHS BARRICK GOLD CORP		2011-11-21	2013-02-13
25 SHS NEWMONT MINING CORP		2011-11-21	2013-02-13
45 SHS AB FOODS LTD ADR		2011-11-21	2013-02-19
20 SHS VODAFONE GP PLC NEW ADR		2012-05-29	2013-09-03
20 SHS MAGNA INTL INC CL A		2011-11-21	2013-03-01
35 SHS VODAFONE GP PLC NEW ADR		2012-05-29	2013-09-09
1 SHS DIGITAL REALTY TRUST INC		2012-06-28	2013-10-15
10 SHS LOWES COS INC		2012-03-14	2013-07-02
15 SHS ACCENTURE PLC CL A		2011-11-21	2013-03-19
20 SHS GENERAL DYNAMICS CORP		2011-11-21	2013-03-19
25 SHS SUMITOMO MITSUI FIN ADR		2011-11-21	2013-03-20

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

(a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co )	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo , day, yr )	(d) Date sold (mo , day, yr )
125 SHS SUMITOMO MITSUI FIN ADR		2011-11-21	2013-03-21
75 SHS EAST JAPAN RAIL ADR		2011-11-21	2013-03-21
50 SHS SUMITOMO MITSUI FIN ADR		2011-11-21	2013-03-22
20 SHS MAGNA INTL INC CL A		2011-11-21	2013-04-05
100 SHS EAST JAPAN RAIL ADR		2011-11-21	2013-04-08
55 SHS EAST JAPAN RAIL ADR		2011-11-21	2013-04-09
75 SHS SUNCORP GROUP ADR		2011-11-21	2013-04-11
55 SHS SUNCORP GROUP ADR		2011-11-21	2013-04-12
10 SHS COLONIAL PROPERTIES TR ALABAMA		2011-08-15	2013-01-07
1 SHS ESSEX PROPERTY TRUST INC		2011-10-11	2013-03-13
15 SHS JOHNSON & JOHNSON		2011-11-21	2013-04-23
35 SHS BARRICK GOLD CORP		2011-11-21	2013-04-23
50 SHS NORDEA BK SWEDEN AB ADR		2011-11-21	2013-04-24
5 SHS EMBRAER SA ADR		2012-03-23	2013-08-26
5 SHS JOHNSON & JOHNSON		2011-11-21	2013-05-09
50 SHS ALLIANZ AKTIENGES ADR		2011-11-21	2013-05-09
3 SHS ESSEX PROPERTY TRUST INC		2011-10-13	2013-04-01
14 SHS CBL & ASSOC PPTYS INC		2012-02-01	2013-08-08
14 SHS CBL & ASSOC PPTYS INC		2012-01-26	2013-08-08
15 SHS JOHNSON & JOHNSON		2011-11-21	2013-06-11
19 SHS CBL & ASSOC PPTYS INC		2012-01-12	2013-08-02
50 SHS EXELON CORP		2011-11-21	2013-06-11
40 SHS SSE PLC ADR		2011-11-21	2013-06-12
50 SHS KON AHOLD ADR		2011-11-21	2013-06-12
1 SHS CBL & ASSOC PPTYS INC		2012-01-12	2013-08-08
8 SHS CBL & ASSOC PPTYS INC		2011-11-08	2013-06-04
6 SHS POST PROPERTIES INC		2011-11-08	2013-06-11
0 5 SHS SINOPEC/CHINA PETE&CHM ADR		2011-11-21	2013-07-02
10 SHS POST PROPERTIES INC		2011-11-08	2013-07-03
20 SHS UNITEDHEALTH GROUP INC		2011-11-21	2013-07-17

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

(a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co )	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo , day, yr )	(d) Date sold (mo , day, yr )
20 SHS BHP BILLITON PLC-ADR		2011-11-21	2013-07-31
85 SHS NORDEA BK SWEDEN AB ADR		2011-11-21	2013-07-31
50 SHS TIM PARTICIPACOES SA ADR		2012-02-01	2013-10-16
4 SHS TANGER FACTORY OUTLET CENTERS		2011-09-09	2013-05-28
3 SHS CBL & ASSOC PPTYS INC		2011-11-08	2013-08-02
2 SHS TANGER FACTORY OUTLET CENTERS		2011-09-09	2013-06-11
25 SHS UNITEDHEALTH GROUP INC		2011-11-21	2013-08-23
50 SHS KON AHOLD ADR		2011-11-21	2013-08-26
7 SHS COLONIAL PROPERTIES TR ALABAMA		2011-03-29	2013-01-04
6 SHS COLONIAL PROPERTIES TR ALABAMA		2011-03-29	2013-01-07
30 SHS DETROIT ENERGY CO		2011-11-21	2013-09-23
30 SHS MARATHON OIL CORP		2011-11-21	2013-09-23
15 SHS ENI S P A ADR		2011-11-21	2013-09-24
65 SHS KON AHOLD ADR		2011-11-21	2013-09-24
6 SHS HEALTH CARE REIT INC		2011-03-21	2013-02-05
9 SHS HEALTH CARE REIT INC		2011-03-21	2013-02-11
30 SHS TEVA PHARM INDS LTD ADR		2011-11-21	2013-10-31
35 SHS TEVA PHARM INDS LTD ADR		2011-11-21	2013-11-08
9 SHS LASALLE HOTEL PROPERTIES		2011-02-16	2013-02-21
5 SHS DOUGLAS EMMETT INC		2011-04-21	2013-05-09
17 SHS LASALLE HOTEL PROPERTIES		2011-01-13	2013-02-21
4 SHS HCP INCORPORATED		2010-12-15	2013-01-29
1 SHS ESSEX PROPERTY TRUST INC		2011-10-24	2013-12-12
7 SHS FEDL RLTY INVT TRUST S B I		2011-01-13	2013-03-08
6 SHS LASALLE HOTEL PROPERTIES		2011-01-25	2013-03-25
1 SHS ESSEX PROPERTY TRUST INC		2011-10-13	2013-12-12
17 SHS LASALLE HOTEL PROPERTIES		2011-01-18	2013-03-25
2 SHS LASALLE HOTEL PROPERTIES		2011-01-13	2013-03-25
8 SHS HCP INCORPORATED		2011-03-23	2013-06-25
11617 3 SHS OLD WESTBURY GLOBAL OPPORTUNITIES FUND		2011-02-17	2013-05-24

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

(a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co )	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo , day, yr )	(d) Date sold (mo , day, yr )
4 SHS TAUBMAN CENTERS INC		2011-03-29	2013-07-03
774 28 SHS OLD WESTBURY GLOBAL OPPORTUNITIES FUND		2011-02-17	2013-05-24
4 SHS TAUBMAN CENTERS INC		2011-03-29	2013-07-26
2 SHS HCP INCORPORATED		2011-03-23	2013-07-22
3 SHS FEDL RLTY INVT TRUST S B I		2010-08-24	2013-01-02
4 SHS FEDL RLTY INVT TRUST S B I		2010-08-24	2013-01-03
2 SHS FEDL RLTY INVT TRUST S B I		2011-01-13	2013-06-11
4 SHS DIGITAL REALTY TRUST INC		2010-12-17	2013-05-17
4 SHS DIGITAL REALTY TRUST INC		2010-12-17	2013-05-20
6 SHS HCP INCORPORATED		2011-03-23	2013-09-09
10 SHS HCP INCORPORATED		2010-12-15	2013-06-04
2 SHS FEDL RLTY INVT TRUST S B I		2010-08-24	2013-02-11
5 SHS GENERAL GROWTH PROPERTIES COM		2010-11-18	2013-05-09
1 SHS COLONIAL PROPERTIES TR ALABAMA		2010-07-15	2013-01-04
20 SHS GENERAL GROWTH PROPERTIES COM		2010-11-18	2013-05-10
14 SHS HCP INCORPORATED		2010-12-15	2013-06-11
6 SHS AMERICAN CAMPUS CMMTYS INC		2010-08-17	2013-02-11
24 SHS HOST HOTEL & RESORTS INC		2010-08-12	2013-02-13
5 SHS KIMCO REALTY CORP MD		2010-11-05	2013-05-09
1 SHS FEDL RLTY INVT TRUST S B I		2010-08-24	2013-03-08
2 SHS FEDL RLTY INVT TRUST S B I		2011-01-13	2013-07-31
12 SHS HCP INCORPORATED		2011-03-23	2013-10-15
4 SHS HCP INCORPORATED		2011-03-23	2013-10-21
12 SHS HCP INCORPORATED		2011-03-23	2013-10-23
10 SHS KIMCO REALTY CORP MD		2010-11-05	2013-06-11
15 SHS CUBESMART COM		2011-03-21	2013-10-30
2 SHS DIGITAL REALTY TRUST INC		2010-12-17	2013-07-31
6 SHS CUBESMART COM		2011-03-21	2013-11-11
1 SHS PUBLIC STORAGE		2010-07-06	2013-02-28
16 SHS AMERICAN CAMPUS CMMTYS INC		2010-08-24	2013-04-19

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

(a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co )	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo , day, yr )	(d) Date sold (mo , day, yr )
4 SHS FEDL RLTY INVT TRUST S B I		2011-01-13	2013-09-09
2 SHS HEALTH CARE REIT INC		2011-03-21	2013-12-03
16 SHS KIMCO REALTY CORP MD		2010-11-05	2013-07-31
1 SHS BOSTON PROPERTIES INC		2010-07-06	2013-04-01
10 SHS COLONIAL PROPERTIES TR ALABAMA		2010-04-09	2013-01-04
2 SHS AVALONBAY COMM INC		2010-04-22	2013-01-23
4 SHS AVALONBAY COMM INC		2010-04-22	2013-01-25
16 SHS TANGER FACTORY OUTLET CENTERS		2010-04-09	2013-01-17
4 SHS TAUBMAN CENTERS INC		2010-04-09	2013-01-23
6 SHS THE MACERICH CO		2010-04-09	2013-01-23
4 SHS TANGER FACTORY OUTLET CENTERS		2010-04-09	2013-01-25
6 SHS VENTAS INC		2010-04-09	2013-01-25
3 SHS DIGITAL REALTY TRUST INC		2010-12-17	2013-10-15
12 SHS KIMCO REALTY CORP MD		2010-11-05	2013-09-09
2 SHS BOSTON PROPERTIES INC		2010-07-06	2013-05-16
6 SHS AVALONBAY COMM INC		2010-04-22	2013-03-13
36 SHS GENERAL GROWTH PROPERTIES COM		2010-11-18	2013-10-14
2 SHS TAUBMAN CENTERS INC		2010-04-09	2013-03-13
3 SHS UDR INC COM		2010-04-09	2013-03-13
4 SHS THE MACERICH CO		2010-04-09	2013-03-13
8 SHS KIMCO REALTY CORP MD		2010-11-05	2013-10-14
4 SHS HOST HOTEL & RESORTS INC		2010-08-12	2013-07-22
3 SHS TAUBMAN CENTERS INC		2010-06-14	2013-05-28
8 SHS KIMCO REALTY CORP MD		2010-11-05	2013-10-21
2 SHS TAUBMAN CENTERS INC		2010-04-09	2013-04-01
4 SHS PUBLIC STORAGE		2010-07-06	2013-07-08
4 SHS KILROY REALTY CORPORATION		2010-07-23	2013-07-31
4 SHS TAUBMAN CENTERS INC		2010-04-09	2013-04-17
2 SHS TAUBMAN CENTERS INC		2010-06-14	2013-07-03
6 SHS THE MACERICH CO		2010-04-09	2013-05-08

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

(a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co )	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo , day, yr )	(d) Date sold (mo , day, yr )
5 SHS DDR CORP COM		2010-04-09	2013-05-09
14 SHS TANGER FACTORY OUTLET CENTERS		2010-04-09	2013-05-17
200 SHS FHLB #F2 75 6 12/12/14		2010-02-02	2013-03-12
4 SHS TANGER FACTORY OUTLET CENTERS		2010-04-09	2013-05-20
50 SHS MICROSOFT CORP		2010-08-05	2013-09-16
1 SHS TAUBMAN CENTERS INC		2010-04-09	2013-05-28
2 SHS TANGER FACTORY OUTLET CENTERS		2010-04-09	2013-05-28
8 SHS VENTAS INC		2010-04-09	2013-06-04
4 SHS THE MACERICH CO		2010-04-09	2013-06-11
8 SHS LIBERTY PROPERTY TRUST SBI		2010-04-09	2013-06-11
3 SHS VENTAS INC		2010-04-09	2013-06-25
5 SHS VENTAS INC		2010-04-09	2013-06-25
50 SHS MICROSOFT CORP		2010-08-05	2013-10-22
850 SHS FHLB #F2 75 6 12/12/14		2010-02-02	2013-05-01
4 SHS BOSTON PROPERTIES INC		2010-07-06	2013-10-14
6 SHS BOSTON PROPERTIES INC		2010-07-06	2013-10-14
400 SHS FHLB #F3 25 3 9/12/14		2009-10-07	2013-01-17
2 SHS VENTAS INC		2010-04-09	2013-07-22
2 SHS BOSTON PROPERTIES INC		2010-07-06	2013-10-21
7 SHS EQUITY RESIDENTIAL		2009-10-16	2013-02-01
2 SHS PUBLIC STORAGE		2010-07-06	2013-10-23
2 SHS EQUITY RESIDENTIAL		2009-09-30	2013-01-29
2 SHS BOSTON PROPERTIES INC		2010-07-06	2013-11-14
8 SHS EQUITY RESIDENTIAL		2009-10-16	2013-02-28
4 SHS EQUITY RESIDENTIAL		2009-10-16	2013-03-01
10 SHS VENTAS INC		2010-04-09	2013-09-09
2 SHS AVALONBAY COMM INC		2010-04-22	2013-10-03
4 SHS VENTAS INC		2010-04-09	2013-10-15
2 SHS AVALONBAY COMM INC		2010-04-22	2013-10-30
2 SHS VENTAS INC		2010-04-09	2013-10-21



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

<b>(a)</b> List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co )	<b>(b)</b> How acquired P—Purchase D—Donation	<b>(c)</b> Date acquired (mo , day, yr )	<b>(d)</b> Date sold (mo , day, yr )
2 SHS VENTAS INC		2010-04-09	2013-10-23
7 SHS CUBESMART COM		2010-04-09	2013-10-30
400 SHS FHLB #F3 25 3 9/12/14		2009-10-07	2013-05-01
1 SHS SIMON PPTY GROUP INC		2009-06-17	2013-01-15
4 SHS SIMON PPTY GROUP INC		2009-06-17	2013-01-18
4 SHS LIBERTY PROPERTY TRUST SBI		2010-04-09	2013-12-12
12 SHS BRE PROPERTIES INC A		2010-04-09	2013-12-13
3 SHS PUBLIC STORAGE		2009-05-19	2013-02-01
2 SHS SIMON PPTY GROUP INC		2009-06-17	2013-03-12
1 SHS SIMON PPTY GROUP INC		2009-06-17	2013-03-20
1 SHS PUBLIC STORAGE		2009-05-19	2013-02-28
2 SHS PUBLIC STORAGE		2009-03-19	2013-01-04
2 SHS PUBLIC STORAGE		2009-03-19	2013-02-01
4 SHS SIMON PPTY GROUP INC		2009-06-17	2013-06-19
4 SHS SIMON PPTY GROUP INC		2009-06-17	2013-08-08
4 SHS BOSTON PROPERTIES INC		2009-01-14	2013-03-21
1 SHS BOSTON PROPERTIES INC		2009-01-14	2013-04-01
2 SHS SIMON PPTY GROUP INC		2009-06-17	2013-09-04
23671 55 SHS OLD WESTBURY REAL RETN FUND		2008-03-25	2013-05-24
1251 73 SHS OLD WESTBURY REAL RETN FUND		2008-03-13	2013-05-24
58926 83 SHS OLD WESTBURY REAL RETN FUND		2008-02-27	2013-05-24
10 SHS BOSTON PROPERTIES INC		2007-07-27	2013-02-01
2 SHS BOSTON PROPERTIES INC		2007-07-27	2013-03-21
5 SHS SIMON PPTY GROUP INC		2005-02-23	2013-01-15
CAPITAL GAINS DIVIDENDS	P		

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
11,003		11,000	3
14,004		14,000	4
28,009		28,001	8
25,012		25,001	11
334		379	-45
132		157	-25
526		617	-91
164		181	-17
155		181	-26
577		461	116
297			297
212		263	-51
1,145		882	263
24,982		25,001	-19
286		221	65
207		206	1
3,068		3,155	-87
47,060		48,379	-1,319
47,060		48,379	-1,319
248		195	53
1,239		918	321
1,061		878	183
180,000		179,962	38
340		367	-27
52,981		53,002	-21
63,978		64,003	-25
993		846	147
108		131	-23
220,000		219,938	62
926		681	245

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
2,076		1,657	419
932		662	270
179		195	-16
117		126	-9
696		715	-19
127		146	-19
3,882		4,472	-590
20,017		19,941	76
16,108		18,559	-2,451
28		32	-4
25,000		24,988	12
336		301	35
282		289	-7
6,521			6,521
1,479			1,479
27,521			27,521
18,735			18,735
11,452			11,452
14,622			14,622
14,823			14,823
3,452			3,452
4,637			4,637
25,760			25,760
5,176			5,176
274			274
806		589	217
857		681	176
357		375	-18
49		59	-10
247		291	-44

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
26,036		26,222	-186
124		147	-23
286		296	-10
176		227	-51
181		188	-7
162		182	-20
675		692	-17
172		180	-8
130		147	-17
113,045		114,327	-1,282
116,156		117,473	-1,317
3,111		3,147	-36
52,893		53,492	-599
6,223		6,293	-70
568		622	-54
309		222	87
219		241	-22
201		178	23
76		90	-14
197		176	21
175		197	-22
577		513	64
316		261	55
81		88	-7
24,716		25,005	-289
58		58	0
857		668	189
460		391	69
186		176	10
797		984	-187

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
804		838	-34
191		176	15
199		169	30
199		169	30
25,000		24,971	29
262		264	-2
925		650	275
316		308	8
712		610	102
306		295	11
186		189	-3
444		440	4
179		176	3
271		262	9
432		394	38
167		139	28
336		278	58
244		264	-20
201		196	5
4,865			4,865
16,991			16,991
34,924			34,924
167		130	37
19,748		19,988	-240
20,410		19,986	424
25,000		24,956	44
186		125	61
869		780	89
424		286	138
64		59	5

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
1,077		1,082	-5
20,043		20,351	-308
1,486		902	584
210		171	39
298		293	5
19,923		19,973	-50
1,007		726	281
1,305		879	426
658		532	126
808		844	-36
1,176		765	411
236		214	22
484		364	120
1,263		982	281
19,863		19,983	-120
851		610	241
97		98	-1
159		140	19
822		525	297
638		955	-317
1,123		1,622	-499
1,280		765	515
635		542	93
1,104		670	434
1,157		948	209
55		73	-18
424		305	119
1,140		824	316
1,398		1,253	145
210		131	79

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
1,041		656	385
1,032		781	251
414		262	152
1,145		670	475
1,466		1,041	425
787		573	214
927		624	303
681		458	223
215		197	18
150		125	25
1,280		945	335
615		1,672	-1,057
546		380	166
168		156	12
426		315	111
764		470	294
451		376	75
301		247	54
301		241	60
1,270		945	325
414		299	115
1,566		2,163	-597
944		799	145
787		630	157
21		16	5
180		119	61
281		246	35
36		39	-3
490		410	80
1,330		890	440

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
1,142		1,129	13
1,069		646	423
1,347		1,399	-52
144		107	37
65		45	20
68		54	14
1,815		1,112	703
859		630	229
150		128	22
129		110	19
2,028		1,519	509
1,065		781	284
696		623	73
1,132		819	313
373		295	78
562		443	119
1,120		1,156	-36
1,306		1,348	-42
225		256	-31
135		95	40
425		492	-67
189		131	58
147		139	8
745		531	214
148		171	-23
147		125	22
420		481	-61
49		58	-9
349		286	63
93,752		93,403	349



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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
303		205	98
6,248		6,225	23
304		205	99
93		71	22
314		229	85
421		305	116
211		152	59
254		195	59
253		195	58
248		214	34
472		328	144
214		152	62
114		74	40
21		15	6
452		294	158
653		459	194
280		164	116
411		330	81
125		86	39
106		76	30
211		152	59
494		428	66
168		143	25
510		428	82
220		172	48
279		157	122
110		97	13
101		63	38
152		87	65
698		426	272

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
398		303	95
111		96	15
358		274	84
100		70	30
214		136	78
278		194	84
554		388	166
561		339	222
324		164	160
354		236	118
141		85	56
397		282	115
164		146	18
244		206	38
223		140	83
762		583	179
715		530	185
154		82	72
73		57	16
247		157	90
163		137	26
74		55	19
251		123	128
166		137	29
154		82	72
613		347	266
208		117	91
320		164	156
152		82	70
422		236	186

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
95		64	31
531		296	235
20,848		20,082	766
152		85	67
1,641		1,269	372
84		41	43
72		42	30
566		376	190
247		157	90
307		267	40
200		130	70
334		235	99
1,728		1,269	459
88,440		85,349	3,091
428		280	148
639		421	218
41,951		41,116	835
143		87	56
213		140	73
381		205	176
342		173	169
116		61	55
204		140	64
444		234	210
220		117	103
617		435	182
252		194	58
253		174	79
253		194	59
129		87	42

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
132		87	45
130		55	75
41,651		41,116	535
159		51	108
637		204	433
131		134	-3
666		449	217
465		196	269
319		102	217
158		51	107
152		65	87
291		116	175
310		116	194
664		204	460
625		204	421
404		192	212
100		48	52
290		102	188
14,303		23,672	-9,369
756		1,252	-496
34,941		58,927	-23,986
1,053		954	99
202		191	11
797		1,091	-294
73,705			73,705

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			3
			4
			8
			11
			-45
			-25
			-91
			-17
			-26
			116
			297
			-51
			263
			-19
			65
			1
			-87
			-1,319
			-1,319
			53
			321
			183
			38
			-27
			-21
			-25
			147
			-23
			62
			245

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			419
			270
			-16
			-9
			-19
			-19
			-590
			76
			-2,451
			-4
			12
			35
			-7
			6,521
			1,479
			27,521
			18,735
			11,452
			14,622
			14,823
			3,452
			4,637
			25,760
			5,176
			274
			217
			176
			-18
			-10
			-44

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			-186
			-23
			-10
			-51
			-7
			-20
			-17
			-8
			-17
			-1,282
			-1,317
			-36
			-599
			-70
			-54
			87
			-22
			23
			-14
			21
			-22
			64
			55
			-7
			-289
			0
			189
			69
			10
			-187

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			-34
			15
			30
			30
			29
			-2
			275
			8
			102
			11
			-3
			4
			3
			9
			38
			28
			58
			-20
			5
			4,865
			16,991
			34,924
			37
			-240
			424
			44
			61
			89
			138
			5



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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			-5
			-308
			584
			39
			5
			-50
			281
			426
			126
			-36
			411
			22
			120
			281
			-120
			241
			-1
			19
			297
			-317
			-499
			515
			93
			434
			209
			-18
			119
			316
			145
			79

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			385
			251
			152
			475
			425
			214
			303
			223
			18
			25
			335
			-1,057
			166
			12
			111
			294
			75
			54
			60
			325
			115
			-597
			145
			157
			5
			61
			35
			-3
			80
			440

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			13
			423
			-52
			37
			20
			14
			703
			229
			22
			19
			509
			284
			73
			313
			78
			119
			-36
			-42
			-31
			40
			-67
			58
			8
			214
			-23
			22
			-61
			-9
			63
			349

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			98
			23
			99
			22
			85
			116
			59
			59
			58
			34
			144
			62
			40
			6
			158
			194
			116
			81
			39
			30
			59
			66
			25
			82
			48
			122
			13
			38
			65
			272

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			95
			15
			84
			30
			78
			84
			166
			222
			160
			118
			56
			115
			18
			38
			83
			179
			185
			72
			16
			90
			26
			19
			128
			29
			72
			266
			91
			156
			70
			186


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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			31
			235
			766
			67
			372
			43
			30
			190
			90
			40
			70
			99
			459
			3,091
			148
			218
			835
			56
			73
			176
			169
			55
			64
			210
			103
			182
			58
			79
			59
			42

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			45
			75
			535
			108
			433
			-3
			217
			269
			217
			107
			87
			175
			194
			460
			421
			212
			52
			188
			-9,369
			-496
			-23,986
			99
			11
			-294
			73,705

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> <i>Paid during the year</i>				
LAKE TAHOE SCHOOL 995 TAHOE BOULEVARD INCLINE VILLAGE,NV 89451		PUB CHAR	EDUCATION	10,000
MONTALVO ASSOCIATION 15400 MONTALVO ROAD SARATOGA,CA 95071		PUB CHAR	DEVELOPMENT OF THE ARTS	30,000
LUCILE PACKARD FOUNDATION FOR CHILDREN'S HEALTH 400 HAMILTON PALO ALTO,CA 94301		PUB CHAR	PEDIATRIC MEDICAL CARE AND RESEARCH	25,000
AMAZON CONSERVATION TEAM 4211 N FAIRFAX DR ARLINGTON,VA 22203		PUB CHAR	ENVIRONMENTAL RESEARCH	50,000
ANGELES ARRIEN FOUNDATION PO BOX 1278 SAUSALITO,CA 94966		PUB CHAR	HEALING RESEARCH	30,000
LUCILE PACKARD FOUNDATION FOR CHILDREN'S HEALTH 400 HAMILTON PALO ALTO,CA 94301		PUB CHAR	PEDIATRIC MEDICAL CARE AND RESEARCH	10,000
RICE UNIVERSITY PO BOX 1892 HOUSTON,TX 77251		PUB CHAR	EDUCATION	251,000
FOUNDATION FOR SHAMANIC STUDIES PO BOX 670 BELDEN STATION NORWALK,CT 06852		PUB CHAR	HEALING RESEARCH	35,000
SANTA FE INSTITUTE 1399 HYDE PARK ROAD SANTA FE,NM 87501		PUB CHAR	SCIENCE RESEARCH	125,000
<b>Total . . . . .</b>  <b>3a</b>				566,000



# TY 2013 Accounting Fees Schedule

**Name:** THE MAXFIELD FOUNDATION

**EIN:** 77-0099366

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
ACCOUNTING FEES	4,056	4,056		0

# TY 2013 Investments Corporate Bonds Schedule

**Name:** THE MAXFIELD FOUNDATION

**EIN:** 77-0099366

Name of Bond	End of Year Book Value	End of Year Fair Market Value
AMEX CR #B2.375 3 3/24/17	20,259	20,558
ANHEUSER-BUSCH #B1.9 1 1/31/17	39,998	39,972
APPLE #B.492 5 5/3/18	19,955	19,966
BB&T CORP #B2.15 3 3/22/2017	20,604	20,221
BERKSHIRE HATHAWAY #B1.9 1 1/31/17	10,000	10,230
BNY MELLON #B2.4 1 1/17/17	30,882	30,703
CISCO INC #B5.5 2 2/22/16	22,729	22,003
COCA COLA #B1.8 3 9/1/16	20,560	20,480
DIAGEO DAP PLC #B0.625 4 4/29/16	24,954	24,863
DOM RES #B1.4 3 9/15/17	0	0
ENERGY NW WA ELEC #C2.147 1 7/1/20	0	0
GE CAP CORP #B2.9 1 1/9/14	25,855	26,099
JPMORGAN CHASE #B1.435 3 9/22/15	37,672	37,458
JPMORGAN CHASE #B1.875 3 3/20/15	0	0
KFW #B1.25 2 2/15/17	19,926	20,193
NBC UNIVERSAL #B2.875 4 4/1/16	26,454	26,024
PRAXAIR INC #B.75 2 2/21/16	24,857	24,940
TEXAS INSTRUMENT B2.375 5 5/16/16	19,899	20,731
TOYOTA #B1.25 4 10/5/17	0	0
TOYOTA #B.8 5 5/17/16	19,977	20,021

TY 2013 Investments Corporate

Stock Schedule

**Name:** THE MAXFIELD FOUNDATION

**EIN:** 77-0099366

Name of Stock	End of Year Book Value	End of Year Fair Market Value
BT GLOBAL LC CORE	113,284	137,347
BT GLOBAL LC STRAT	409,100	504,490
BESSEMER TRUST OLD WESTBURY GL SC FD	739,359	1,158,335
ISHARES RUSS 1000 INDEX	225,059	308,478
ISHARES TR MSCI EAFE INDEX FUND	131,784	152,977
ISHARES TR MSCI EMERGING MKTS INDEX FD	152,636	147,453
OAKMARK INTERNATIONAL CL I	155,057	187,650
S&P SPDR	224,847	306,585
MS INVESTMENT MANAGEMENT	150,927	174,430
AMAZON	13,044	21,136
APPLE	0	0
CISCO	4,625	5,271
ECHELON	614,664	142,760
EXPRESS SCRIPTS	5,634	7,445
GILEAD	13,060	27,111
GOOGLE	21,815	34,742
INTUIT	3,377	4,274
MICROSOFT	0	0
ORACLE	0	0
QUALCOMM	5,266	6,386
SIGMA-ALDRICH	4,258	5,453
TRIQUINT SEMICONDUCTOR	1,067	1,893

# **TY 2013 Investments Government Obligations Schedule**

**Name:** THE MAXFIELD FOUNDATION

**EIN:** 77-0099366

**US Government Securities - End of  
Year Book Value:**

500,394

**US Government Securities - End of  
Year Fair Market Value:**

489,928

**State & Local Government  
Securities - End of Year Book  
Value:**

25,000

**State & Local Government  
Securities - End of Year Fair  
Market Value:**

25,925

**TY 2013 Investments - Other Schedule****Name:** THE MAXFIELD FOUNDATION**EIN:** 77-0099366

Category / Item	Listed at Cost or FMV	Book Value	End of Year Fair Market Value
ARCHSTONE PARTNERS	AT COST	0	798,477
OLD WESTBURY GLOBAL OPPORTUNITIES FUND	AT COST	454,524	521,985
BESSEMER TRUST OLD WESTBURY REAL RETN FUND	AT COST	236,797	162,116

**TY 2013 Other Expenses Schedule****Name:** THE MAXFIELD FOUNDATION**EIN:** 77-0099366

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
INVESTMENT MANAGEMENT FEES	12,797	12,797		0
REGISTRY OF CHARITABLE TRUSTS	75	75		0
MISCELLANEOUS EXPENSES	300	300		0

# TY 2013 Taxes Schedule

**Name:** THE MAXFIELD FOUNDATION

**EIN:** 77-0099366

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
CA FORM 199	10	0		10
FOREIGN TAX	341	341		0