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Form **990-PF**

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

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

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

OMB No 1545-0052

2013

Open to Public Inspection

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

Name of foundation The Anna and John J Sie Foundation		A Employer identification number 83-6058353	
Number and street (or P O box number if mail is not delivered to street address) 3300 East First Avenue No 390		B Telephone number (see instructions) (303) 468-6060	
City or town, state or province, country, and ZIP or foreign postal code Denver, CO 80206		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)▶ \$ 87,677,208	J Accounting method ☒ Cash ☐ Accrual ☐ Other (specify) _____ (Part I, column (d) must be on cash basis.)		F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ▶ ☐

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions))		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc , received (attach schedule)				
	2 Check ▶ ☒ if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments				
	4 Dividends and interest from securities.	143,304	143,304		
	5a Gross rents				
	b Net rental income or (loss) _____				
	6a Net gain or (loss) from sale of assets not on line 10	8,246,950			
	b Gross sales price for all assets on line 6a 14,710,717				
	7 Capital gain net income (from Part IV, line 2) . . .		11,002,977		
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less returns and allowances				
Operating and Administrative Expenses	b Less Cost of goods sold				
	c Gross profit or (loss) (attach schedule)				
	11 Other income (attach schedule)	487,256	487,256		
	12 Total. Add lines 1 through 11	8,877,510	11,633,537		
	13 Compensation of officers, directors, trustees, etc	54,092	120		53,972
	14 Other employee salaries and wages	52,947	0		52,947
	15 Pension plans, employee benefits	61,311	0		61,311
	16a Legal fees (attach schedule).	49,427	0		49,427
	b Accounting fees (attach schedule).	3,949	1,350		2,599
	c Other professional fees (attach schedule)	150,625	113,750		36,875
	17 Interest				
	18 Taxes (attach schedule) (see instructions)	124,378	0		0
	19 Depreciation (attach schedule) and depletion . . .				
	20 Occupancy				
	21 Travel, conferences, and meetings	5,155	0		5,155
	22 Printing and publications				
	23 Other expenses (attach schedule).	53,186	17,453		35,733
	24 Total operating and administrative expenses. Add lines 13 through 23	555,070	132,673		298,019
	25 Contributions, gifts, grants paid	13,328,805			13,338,805
	26 Total expenses and disbursements. Add lines 24 and 25	13,883,875	132,673		13,636,824
	27 Subtract line 26 from line 12				
	a Excess of revenue over expenses and disbursements	-5,006,365			
	b Net investment income (if negative, enter -0-)		11,500,864		
	c Adjusted net income (if negative, enter -0-)				

Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)	Beginning of year	End of year	
			(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash—non-interest-bearing			
	2	Savings and temporary cash investments	7,608,212	8,795,573	8,795,573
	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) ▶ _____ 1,000,000 Less allowance for doubtful accounts ▶ _____ 0	1,000,000	1,000,000	1,000,000
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges			
	10a	Investments—U S and state government obligations (attach schedule)			
	b	Investments—corporate stock (attach schedule)	21,524,146	18,142,009	29,815,714
	c	Investments—corporate bonds (attach schedule).			
	11	Investments—land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
	12	Investments—mortgage loans			
	13	Investments—other (attach schedule)	40,637,028	37,825,439	48,064,921
	14	Land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
15	Other assets (describe ▶ _____)	1,000	1,000	1,000	
16	Total assets (to be completed by all filers—see the instructions Also, see page 1, item I)	70,770,386	65,764,021	87,677,208	
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 ▶ ☐ and complete lines 24 through 26 and lines 30 and 31.				
	24	Unrestricted			
	25	Temporarily restricted			
	26	Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ ☒ and complete lines 27 through 31.				
	27	Capital stock, trust principal, or current funds	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	70,770,386	65,764,021	
	30	Total net assets or fund balances (see page 17 of the instructions)	70,770,386	65,764,021	
31	Total liabilities and net assets/fund balances (see page 17 of the instructions)	70,770,386	65,764,021		

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	70,770,386
2	Enter amount from Part I, line 27a	2	-5,006,365
3	Other increases not included in line 2 (itemize) ▶ _____	3	0
4	Add lines 1, 2, and 3	4	65,764,021
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	65,764,021

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	11,002,977
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	7,281,001	80,825,946	0 090082
2011	6,306,074	82,185,625	0 076730
2010	7,486,884	47,714,064	0 156911
2009	3,779,245	44,978,082	0 084024
2008	4,009,879	53,651,838	0 074739

2	Total of line 1, column (d).	2	0 482486
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 096497
4	Enter the net value of noncharitable-use assets for 2013 from Part X, line 5.	4	84,474,994
5	Multiply line 4 by line 3.	5	8,151,583
6	Enter 1% of net investment income (1% of Part I, line 27b).	6	115,009
7	Add lines 5 and 6.	7	8,266,592
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	13,636,824

Part VI Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948—see page 18 of the instructions)			
1a	Exempt operating foundations described in section 4940(d)(2), check here ☐ and enter "N/A" on line 1	1	115,009
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☒ 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	115,009
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	115,009
6	Credits/Payments		
a	2013 estimated tax payments and 2012 overpayment credited to 2013	6a	71,559
b	Exempt foreign organizations—tax withheld at source	6b	
c	Tax paid with application for extension of time to file (Form 8868)	6c	42,675
d	Backup withholding erroneously withheld	6d	
7	Total credits and payments. Add lines 6a through 6d.	7	114,234
8	Enter any penalty for underpayment of estimated tax. Check here ☒ if Form 2220 is attached.	8	
9	Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed .	9	775
10	Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid .	10	
11	Enter the amount of line 10 to be Credited to 2014 estimated tax ☐ Refunded ☒	11	

Part VII-A Statements Regarding Activities			
1a	During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?	1a	No
b	Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see page 19 of the instructions for definition)? <i>If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.</i>	1b	No
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 ☐ \$ 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? <i>If "Yes," attach a detailed description of the activities.</i>	2	No
3	Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? <i>If "Yes," attach a conformed copy of the changes.</i>	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? <i>If "Yes," attach the statement required by General Instruction T.</i>	5	No
6	Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	6	Yes
7	Did the foundation have at least \$5,000 in assets at any time during the year? <i>If "Yes," complete Part II, col. (c), and Part XV.</i>	7	Yes
8a	Enter the states to which the foundation reports or with which it is registered (see instructions): ☐ CO		
b	If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? <i>If "No," attach explanation.</i>	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)? <i>If "Yes," complete Part XIV.</i>	9	No
10	Did any persons become substantial contributors during the tax year? <i>If "Yes," attach a schedule listing their names and addresses.</i>	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 Mary Beth Wallingford Telephone no (303) 468-6060 Located at 3300 East First Avenue No 390 Denver CO ZIP +4 80206			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 —Check here and enter the amount of tax-exempt interest received or accrued during the year.	15		
16	At any time during calendar year 2013, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country?	16	Yes	No
See instructions for exceptions and filing requirements for Form TD F 90-22.1 If "Yes", enter the name of the foreign country				

Part VII-B

Statements Regarding Activities for Which Form 4720 May Be Required

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.			Yes	No
1a	During the year did the foundation (either directly or indirectly) (1) Engage in the sale or exchange, or leasing of property with a disqualified person? 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 page 20 of the instructions)?. Organizations relying on a current notice regarding disaster assistance check here.	1b		No
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2013?.	1c		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?. If "Yes," list the years 20____, 20____, 20____, 20____			
b	Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement—see instructions).	2b		
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here 20____, 20____, 20____, 20____			
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?. Yes No			
b	If "Yes," did it have excess business holdings in 2013 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969, (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2013.).	3b		
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a		No
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2013?	4b		No

Part VII-B

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

5a	During the year did the foundation pay or incur any amount to			
	(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?	☐ Yes	☒ No	
	(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive?	☐ Yes	☒ No	
	(3) Provide a grant to an individual for travel, study, or other similar purposes?	☐ Yes	☒ No	
	(4) Provide a grant to an organization other than a charitable, etc , organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? (see instructions).	☒ Yes	☐ No	
	(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?	☐ Yes	☒ No	
b	If any answer is "Yes" to 5a(1)–(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)?	5b		No
	Organizations relying on a current notice regarding disaster assistance check here.			
c	If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?			
	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?			
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?			
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
Anna M Sie	Trustee	0	0	0
3300 East First Avenue 390 Denver,CO 80206	5 80			
John J Sie	Trustee	12,000	25,997	0
3300 East First Avenue 390 Denver,CO 80206	25 60			
Michelle S Whitten	Executive Director	42,092	4,968	0
3300 East First Avenue 390 Denver,CO 80206	10 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
Monticello Associates 1200 17th Street 2600 Denver,CO 80202	Investment advisor	93,750
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	78,523,534
b	Average of monthly cash balances.	1b	7,237,881
c	Fair market value of all other assets (see instructions).	1c	0
d	Total (add lines 1a, b, and c).	1d	85,761,415
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	85,761,415
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	1,286,421
5	Net value of noncharitable-use assets. Subtract line 4 from line 3 Enter here and on Part V, line 4	5	84,474,994
6	Minimum investment return. Enter 5% of line 5.	6	4,223,750

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	4,223,750
2a	Tax on investment income for 2013 from Part VI, line 5.	2a	115,009
b	Income tax for 2013 (This does not include the tax from Part VI).	2b	
c	Add lines 2a and 2b.	2c	115,009
3	Distributable amount before adjustments Subtract line 2c from line 1.	3	4,108,741
4	Recoveries of amounts treated as qualifying distributions.	4	10,000
5	Add lines 3 and 4.	5	4,118,741
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	4,118,741

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	13,636,824
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	13,636,824
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	115,009
6	Adjusted qualifying distributions. Subtract line 5 from line 4.	6	13,521,815
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				4,118,741
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.				
b From 2009.	1,028,299			
c From 2010.	5,133,802			
d From 2011.	2,216,049			
e From 2012.	3,383,461			
f Total of lines 3a through e.	11,761,611			
4 Qualifying distributions for 2013 from Part XII, line 4 ▶ \$ 13,636,824				
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.				4,118,741
e Remaining amount distributed out of corpus	9,518,083			
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	21,279,694			
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). . .	0			
9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a	21,279,694			
10 Analysis of line 9				
a Excess from 2009. . . .	1,028,299			
b Excess from 2010. . . .	5,133,802			
c Excess from 2011. . . .	2,216,049			
d Excess from 2012. . . .	3,383,461			
e Excess from 2013. . . .	9,518,083			

Part XIVPrivate 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)

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 XVSupplementary 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))

See Additional Data Table

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 of the person to whom applications should be addressed

b

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

c

Any submission deadlines

d

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

Part XV

Supplementary Information (continued)

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a Paid during the year See Additional Data Table				
Total			3a	13,338,805
b Approved for future payment See Additional Data Table				
Total			3b	27,333,555

Enter gross amounts unless otherwise indicated

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

Form **990-PF** (2013)

Form 990PF Part 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)
Marketable Securities			
Eton Park Overseas Fund	P		
Highside Investment Fund	P		
Convexity Capital Offshore LP	P		
Wellington Equity Research	P		
Newport Asia Institutional Fund	P		
Highclere Investment Fund	P		
Fortress Credit Opportunities Fund	P		
DirecTV	D		
Liberty Media Corporation	D		

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)
			542,752
2,660,780		2,117,522	543,258
1,848,242		2,000,000	-151,758
1,000,000		560,740	439,260
			1,190,567
			-23,022
			555,358
			5,407
2,343,121		613,478	1,729,643
6,858,574		687,062	6,171,512

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	
			542,752
			543,258
			-151,758
			439,260
			1,190,567
			-23,022
			555,358
			5,407
			1,729,643
			6,171,512

Form 990PF Part XV Line 1a - 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).

Anna M Sie
John J Sie

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
Adam's Camp 6767 South Spruce Street Suite 102 Centennial, CO 80112	N/A	PC	Sponsorship and scholarship support for camp for children with special needs	5,000
American Transplant Foundation 410 17th Street Suite 2200 Denver, CO 802024402	N/A	PC	General operating support	5,000
Arc ThriftMetropolitan Assoc for RC 12345 Alameda Pkwy Suite 111 Lakewood, CO 80228	N/A	PC	General operating support	10,000
Asian Performing Arts of Colorado Inc 7000 E Quincy Ave B-306 Denver, CO 802372207	N/A	PC	General operating support	25,000
Cancer League of Colorado PO Box 5373 Englewood, CO 80155	N/A	PC	General operating support	10,000
CESASC 1750 Fulton Ave Monterey Park, CA 91755	N/A	PC	General operating support	10,000
Denver Foundation (Fiscal Sponsor for Challenge Denver) 55 Madison St 8th Floor Denver, CO 80206	N/A	PC	To support programs that mobilize resources and strengthen our community	50,000
Make-a-Wish Foundation 7951 E Maplewood Avenue Suite 126 Greenwood Village, CO 801114769	N/A	PC	General operating support	330
Children's Hospital Colorado Foundation 13123 E 16th Ave Box 045 Aurora, CO 80045	N/A	PC	Sponsorship benefiting pediatric health care	125,000
Children's Hospital Colorado Foundation 13123 E 16th Ave Box 045 Aurora, CO 80045	N/A	PC	Sponsorship benefiting pediatric health care	12,000
Children's Hospital Colorado Foundation 13123 E 16th Ave Box 045 Aurora, CO 80045	N/A	PC	Sponsorship benefiting pediatric health care	170,000
Children's Hospital Colorado Foundation 13123 E 16th Ave Box 045 Aurora, CO 80045	N/A	PC	Sponsorship benefiting pediatric health care	10,000
Ciyota Inc for Global Livingston Institute 4492 Burr Place Boulder, CO 80303	N/A	PC	To support international development	15,000
Cleveland Clinic Lou Ruvo Center for Brain Trauma 888 W Bonneville Ave Las Vegas, NV 89106	N/A	PC	To support innovative research on devastating memory disorders associated with aging	50,000
Colorado Ballet 1278 Lincoln St Denver, CO 80203	N/A	PC	General operating support	20,000
Total  3a				13,338,805

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
Colorado Cross-Disability Coalition 655 Broadway Suite 775 Denver, CO 80203	N/A	PC	Supporting Asian American Pacific Islander cultural events in the Rocky Mountain Region	15,000
Colorado Springs Down Syndrome Association PO Box 2364 Colorado Springs, CO 80901	N/A	PC	Support families affected by the Black Forest Fire	2,000
Colorado Symphony Association 1000 14th St Unit 15 Denver, CO 802022333	N/A	PC	General operating support	25,000
Committee of 100 Inc 677 Fifth Avenue 5th Floor New York, NY 10022	N/A	PC	To support work of the Chinese-American community in furthering US-China relations	50,000
Committee of 100 Inc 677 Fifth Avenue 5th Floor New York, NY 10022	N/A	PC	To support work of the Chinese-American community in furthering US-China relations	5,000
Denver Academy 4400 East Iliff Avenue Denver, CO 80222	N/A	PC	Assist future generations of children with learning differences who need financial aid	1,500
Denver Adult DS Clinic 1899 Gaylord Denver, CO 80206	N/A	PC	General operating support	10,000
Denver Art Museum 100 W 14th Ave Parkway Denver, CO 802042788	N/A	PC	General operating support	10,000
Denver Art Museum 100 W 14th Ave Parkway Denver, CO 802042788	N/A	PC	General operating support	100,000
Denver Biennial of the Americas Corp 1400 16th St 6th Floor Denver, CO 80202	N/A	PC	To support the economics of early education and brain development workshop	50,000
Denver Botanic Gardens 909 York Street Denver, CO 802063799	N/A	PC	General operating support	10,000
Denver Film Society 1510 York St Denver, CO 80206	N/A	PC	Support the Starz Denver Film Festival	20,000
Denver Foundation 55 Madison St 8th Floor Denver, CO 80206	N/A	PC	To support programs that mobilize resources and strengthen our community	10,000
Denver Options Inc 9900 East Iliff Avenue Denver, CO 80231	N/A	PC	Responding to the needs of individuals with developmental and intellectual disabilities	5,000
Denver School of Science and Technology 3401 Quebec St Ste 7200 Denver, CO 80207	N/A	PC	Support the 2013 Slice of Pi event benefitting the education for students with special needs	25,000
Total  3a				13,338,805

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a Paid during the year				
Denver School of Science and Technology 3401 Quebec St Ste 7200 Denver,CO 80207	N/A	PC	Support the Malone Matching Grant event benefitting the education for students with special needs	250,000
Down Syndrome Affiliates in Action 1675 Broadway Suite 2600 Denver,CO 80202	N/A	PC	Support of DSAIA's conference	10,000
Friends of the Haven P O Box 102375 Denver,CO 80250	N/A	PC	General operating support	5,000
Global Down Syndrome Foundation 3300 E 1st Avenue Suite 390 Denver,CO 80206	N/A	PC	General operating support	10,000
Global Down Syndrome Foundation 3300 E 1st Avenue Suite 390 Denver,CO 80206	N/A	PC	General operating support	10,000
Global Down Syndrome Foundation 3300 E 1st Avenue Suite 390 Denver,CO 80206	N/A	PC	General operating support	225,000
Global Down Syndrome Foundation 3300 E 1st Avenue Suite 390 Denver,CO 80206	N/A	PC	General operating support	600,000
Global Down Syndrome Foundation 3300 E 1st Avenue Suite 390 Denver,CO 80206	N/A	PC	General operating support	50,000
Global Down Syndrome Foundation 3300 E 1st Avenue Suite 390 Denver,CO 80206	N/A	PC	General operating support	25,000
Global Down Syndrome Foundation 3300 E 1st Avenue Suite 390 Denver,CO 80206	N/A	PC	General operating support	11,165
Global Down Syndrome Foundation 3300 E 1st Avenue Suite 390 Denver,CO 80206	N/A	PC	General operating support	597,881
Governor's Residence Preservation Fund 400 East 8th Avenue Denver,CO 80203	N/A	PC	Preservation of the century old Boettcher Mansion	25,000
Hospice of Metro Denver 501 s Cherry St Suite 700 Denver,CO 80246	N/A	PC	General operating support	5,000
Hyde Park Foundation-Diamond in the Rough 3000 East 1st Ave Suite 243 Denver,CO 80206	N/A	PF	For programs that deal with at-risk youth in the community and wellness for children	10,000
I CON Foundation 3600 S Beeler St Suite 100 Denver,CO 80237	N/A	PC	General operating support	5,500
Total  3a				13,338,805

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
John Lynch Foundation P O Box 172247 Tampa,FL 33672	N/A	PC	General operating support	5,000
John Lynch Foundation P O Box 172247 Tampa,FL 33672	N/A	PC	General operating support	10,000
Judi's House 1741 Gaylord St Denver,CO 80206	N/A	PC	General operating support	15,000
Keshet of the Rockies PO Box 200726 Denver,CO 80220	N/A	PC	Helping Jewish Day schools and teachers adapt curriculum to meet special challenges	10,000
Louis August Jonas Foundation Inc 152 Madison Ave Suite 2400 Denver,CO 80206	N/A	PC	Funding to support Camp of the Rising Sun	10,000
Make-a-Wish Foundation - Colorado Chapter 7951 E Maplewood Avenue Suite 126 Greenwood Village,CO 801114769	N/A	PC	General operating support	20,000
Mile High Montessori Early Learning Cntrs 1780 Marion St Denver,CO 80218	N/A	PC	General operating support	5,000
Mizel Museum 400 South Kearney Street Denver,CO 802241238	N/A	PC	General operating support	25,000
My Lifelineorg Cancer Foundation 55 Madison St Suite 750 Denver,CO 80206	N/A	PC	To support cancer patients and caregivers	5,000
National Down Syndrome Congress 1370 Center Drive Suite 102 Atlanta,GA 30338	N/A	PC	General operating support	40,000
Parent Education and Assistance for Kids PEAK 6055 Lehman Dr Suite 101 Colorado Springs,CO 809183468	N/A	PC	General operating support	5,000
Parent Project for Muscular Dystrophy 401 Hackensack Ave 9th Floor Hackensack,NJ 70601	N/A	PC	General operating support	10,000
Rocky Mountain Children's Law Center A1325 S Colorado Blvd Ste 701 Denver,CO 802223326	N/A	PC	Provide legal aid for abused children	10,000
Rocky Mountain Down Syndrome Association 3515 S Tamarac Dr Suite 320 Denver,CO 802371434	N/A	PC	General operating support	5,000
Rocky Mountain Down Syndrome Association 3515 S Tamarac Dr Suite 320 Denver,CO 802371434	N/A	PC	To support children and families with Down Syndrome	10,000
Total			3a	13,338,805

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
Schwab Charitable Fund 211 Main St San Francisco, CA 941051905	N/A	PC	To support McCaffrey Ventures Philanthropic Charities	14,000
Sewall Child Development Center Inc 1360 Vine Street Denver, CO 80206	N/A	PC	To sponsor programs dedicated to helping children with special needs	2,500
Special Olympics Inc 1133 19th St NW Suite 1200 Washington, DC 200363604	N/A	PC	General operating support	10,000
Stanley British Primary School 350 Quebec Street Denver, CO 802306809	N/A	PC	To support the Inclusion School Study & Slam Dunk for scholarships program	6,000
Stanley British Primary School 350 Quebec Street Denver, CO 802306809	N/A	PC	To support the Inclusion School Study benefiting children's education & 2013 Teacher support	40,000
Stanley British Primary School 350 Quebec Street Denver, CO 802306809	N/A	PC	To support the Inclusion School Study benefiting children's education & 2013 Annual Campaign	19,000
The 1990 Institute P O Box 1681 Burlingame, CA 94011	N/A	PC	China's Green Student Forum which promotes solidarity of the youth to save China's environment	5,000
The Adoption Exchange 14232 E Evans Avenue Aurora, CO 80014	N/A	PC	General operating support	25,000
The Cable Center 2000 Buchtel Blvd Denver, CO 80210	N/A	PC	General operating support	10,000
The Joshua School 2303 E Dartmouth Avenue Englewood, CO 80113	N/A	PC	General operating support	10,000
The Rise School of Denver 4949 East Eastman Avenue Denver, CO 80222	N/A	PC	General operating support	5,000
Third Way Center P O Box 61385 Denver, CO 80206	N/A	PC	General operating support	10,000
Univ Denver - Fisher Early Learning Cntr 2490 S Gaylord Street Denver, CO 80206	N/A	PC	To Assist Student Population w/Special Needs	5,000
Univ of Colorado - The Regents of the Campus Box 575 3100 Marine St 6th F Boulder, CO 803090575	N/A	PC	To support the Barbara Davis Center Playroom at the University of Colorado Anschutz Medical Campus	2,000
Univ of Colorado-Linda Crnic Inst for DS Box A-020 4200 East Ninth Avenue Denver, CO 80262	N/A	PC	General operating support	25,000
Total  3a				13,338,805

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a Paid during the year				
University of Colorado Foundation 4740 Walnut St Boulder, CO 803012538	N/A	PC	LCI Flexible Endowment Research Fund to support basic science research in Down Syndrome	400,000
University of Colorado Foundation 4740 Walnut St Boulder, CO 803012538	N/A	PC	Linda Crnic Institute Flexible Endowment Research Fund	500,000
University of Colorado Foundation 4740 Walnut St Boulder, CO 803012538	N/A	PC	Linda Crnic Institute for Down Syndrome Operating Fund	75,000
University of Colorado Foundation 4740 Walnut St Boulder, CO 803012538	N/A	PC	Linda Crnic Institute for Down Syndrome Operating Fund	500,000
University of Colorado Foundation 4740 Walnut St Boulder, CO 803012538	N/A	PC	Linda Crnic Institute for Down Syndrome Operating Fund	59,606
University of Colorado Foundation - CIMB 4740 Walnut St Boulder, CO 803012538	N/A	PC	Quasi Endowment Fund for the Biofrontiers Institute	1,000,000
University of Colorado Foundation Boulder 4740 Walnut St Boulder, CO 803012538	N/A	PC	Flexible Endowment Research Fund for the Linda Crnic Institute	4,000,000
University of Colorado Foundation Boulder 4740 Walnut St Boulder, CO 803012538	N/A	PC	Daniel and Boyce Sher Distinguished Musicians Scholarship	500,000
University of Colorado Foundation Boulder 4740 Walnut St Boulder, CO 803012538	N/A	PC	Linda Crnic Institute for Down Syndrome Operating Fund	500,000
University of Denver - CEMMP 2490 S Gaylord Street Denver, CO 80206	N/A	PC	Chinese Executive Management Program Fund to support ASCEND	4,323
University of Denver - Korbel PO Box 101884 Denver, CO 80208	N/A	PC	Joseph Korbel School of Intl Studies to support ASCEND	50,000
University of Denver -Sie Cheou-Kang 2199 S University Blvd Denver, CO 80208	N/A	PC	Sie Cheou-Kang Center Chair Fund to support ASCEND	1,100,000
University of Denver -Josef Korbel School of Int'l Studies 2199 S University Blvd Denver, CO 80208	N/A	PC	Sie Complex Capital Campaign Fund to support ASCEND	1,500,000
Volunteers of America 2660 Larimer Street Denver, CO 80205	N/A	PC	Western Fantasy 2013 Sponsorship	25,000
Wings Over the Rockies Air & Space Museum 7711 E Academy Blvd Denver, CO 80230	N/A	PC	General operating support	5,000
Total 3a				13,338,805

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
Woodrow Wilson Int'l Center for Scholars 1300 Pennysylvania AveNW Washington,DC 200043002	N/A	PC	Woodrow Wilson Int'l Center Scholors Awards Dinner	51,000
Total				3a 13,338,805

TY 2013 Accounting Fees Schedule

Name: The Anna and John J Sie Foundation

EIN: 83-6058353

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
Kundinger, Corder & Engle, P C	2,700	1,350		1,350
Nonprofit Financial Solutions, P C	1,249	0		1,249

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

TY 2013 Expenditure Responsibility Statement

Name: The Anna and John J Sie Foundation

EIN: 83-6058353

Grantee's Name	Grantee's Address	Grant Date	Grant Amount	Grant Purpose	Amount Expended By Grantee	Any Diversion By Grantee?	Dates of Reports By Grantee	Date of Verification	Results of Verification
Hyde Park Foundation - Diamond in the Rough	3300 East 1st Ave Ste 243 Denver, CO 80206	2013-07-09	10,000	To support porgrams that deal with at-risk youth in the community and children's wellness	10,000	The Foundation is not aware of a diversion of funds by the grantee			

**TY 2013 Investments Corporate
Stock Schedule****Name:** The Anna and John J Sie Foundation**EIN:** 83-6058353

Name of Stock	End of Year Book Value	End of Year Fair Market Value
Longleaf Small Cap Fund	3,757,523	4,121,587
Dodge & Cox International Equity Fund	7,548,095	8,297,469
DirecTV	1,509,301	2,629,805
Liberty Media Corporation	4,381,765	11,220,450
STRZA	945,325	3,546,403

TY 2013 Investments - Other Schedule**Name:** The Anna and John J Sie Foundation**EIN:** 83-6058353

Category / Item	Listed at Cost or FMV	Book Value	End of Year Fair Market Value
Wellington Trust Company, CTF Research Equity Fund	AT COST	11,399,182	11,773,587
Newport Asia Institutional Fund	AT COST	3,167,107	3,934,615
Highclere Investment Fund	AT COST	3,801,970	4,379,617
ICAP Offshore Absolute Return Fund	AT COST	2,029,200	3,288,704
Viking Global Equities	AT COST	2,000,000	4,482,264
Maverick Fund LDC	AT COST	2,000,000	2,249,937
Highfields Capital	AT COST	2,000,000	3,158,453
Indus Structured Finance	AT COST	557,779	292,152
Fortress Credit Opportunities Fund	AT COST	950,497	1,238,387
CamCap Energy Offshore Fund	AT COST	4,500,000	4,467,994
Convexity Capital Offshore LP	AT COST	4,094,563	7,048,724
Sowood Alpha Fund	AT COST	74,511	6,970
Eaton Park Overseas Fund	AT COST	1,250,630	1,743,517

TY 2013 Legal Fees Schedule

Name: The Anna and John J Sie Foundation

EIN: 83-6058353

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
Brownstein Hyatt Farber Schreck, LLP	49,427	0		49,427

TY 2013 Other Assets Schedule

Name: The Anna and John J Sie Foundation

EIN: 83-6058353

Description	Beginning of Year - Book Value	End of Year - Book Value	End of Year - Fair Market Value
Public service videos	1,000	1,000	1,000

TY 2013 Other Expenses Schedule**Name:** The Anna and John J Sie Foundation**EIN:** 83-6058353

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
Office supplies	9,722	0		9,722
Telephone	9,709	0		9,709
Postage	142	0		142
Payroll processing fee	2,319	0		2,319
Subscriptions	571	0		571
Public relations and promotion	13,219	0		13,219
Bank service charges	51	0		51
Investment expense	17,453	17,453		0

TY 2013 Other Income Schedule**Name:** The Anna and John J Sie Foundation**EIN:** 83-6058353

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
Wellington Equity Research	225,470	225,470	225,470
Newport Asia Institutional Fund	35,472	35,472	35,472
Highclere Investment Fund	152,765	152,765	152,765
Fortress Credit Opportunities Fund	73,549	73,549	73,549

TY 2013 Other Professional Fees Schedule

Name: The Anna and John J Sie Foundation

EIN: 83-6058353

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
E&E Communications	1,775	0		1,775
Paul Comstock Partners	20,000	20,000		0
Monticello Associates	93,750	93,750		0
Dennis McGuire	8,700	0		8,700
Raissa Shafer	11,900	0		11,900
Marilyn Spinner	10,000	0		10,000
Kelly Westgard	4,500	0		4,500

TY 2013 Taxes Schedule**Name:** The Anna and John J Sie Foundation**EIN:** 83-6058353

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
2012 excise tax payment, net of refund of \$2,122	122,878	0		0
Tax paid on 2012 Form 990-T	1,500	0		0