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## 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 separate instructions is at [www.irs.gov/form990pf](http://www.irs.gov/form990pf).

2013

Open to Public Inspection

For calendar year 2013 or tax year beginning

, and ending

Name of foundation <b>THE HERB ALPERT FOUNDATION</b>		A Employer identification number <b>95-4191227</b>
Number and street (or P O box number if mail is not delivered to street address) <b>1414 6TH STREET</b>	Room/suite	B Telephone number <b>818-528-3545</b>
City or town, state or province, country, and ZIP or foreign postal code <b>SANTA MONICA, CA 90401</b>		C If exemption application is pending, check here <input type="checkbox"/>
G Check all that apply: <input type="checkbox"/> Initial return <input type="checkbox"/> Final return <input type="checkbox"/> Address change <input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Amended return <input type="checkbox"/> Name change		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) \$ <b>11,535,306.</b>	J Accounting method: <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____	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 (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a))		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc., received	505,235.		N/A	
	2 Check <input type="checkbox"/> if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments	2,341.	2,341.		STATEMENT 1
	4 Dividends and interest from securities	349,691.	349,691.		STATEMENT 2
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	1,100,425.			
	b Gross sales price for all assets on line 6a	2,958,647.			
	7 Capital gain net income (from Part IV, line 2)		1,100,425.		
	8 Net short-term capital gain				
Operating and Administrative Expenses	9 Income modifications				
	10a Gross sales less returns and allowances				
	b Less Cost of goods sold				
	c Gross profit or (loss)				
	11 Other income	-26,919.	-22,115.		STATEMENT 3
	12 Total Add lines 1 through 11	1,930,773.	1,430,342.		
	13 Compensation of officers, directors, trustees, etc	391,532.	0.		0.
	14 Other employee salaries and wages	192,483.	0.		0.
	15 Pension plans, employee benefits				
	16a Legal fees STMT 4	4,540.	0.		0.
	b Accounting fees STMT 5	55,600.	27,800.		0.
	c Other professional fees				
	17 Interest				
	18 Taxes STMT 6	110,070.	6,288.		0.
	19 Depreciation and depletion	1,267.	0.		
	20 Occupancy				
	21 Travel, conferences, and meetings				
22 Printing and publications					
23 Other expenses STMT 7	447,783.	148,304.		0.	
24 Total operating and administrative expenses. Add lines 13 through 23	1,203,275.	182,392.		0.	
25 Contributions, gifts, grants paid	7,809,734.			7,809,734.	
26 Total expenses and disbursements. Add lines 24 and 25	9,013,009.	182,392.		7,809,734.	
27 Subtract line 26 from line 12:					
a Excess of revenue over expenses and disbursements	-7,082,236.				
b Net investment income (if negative, enter -0-)		1,247,950.			
c Adjusted net income (if negative, enter -0-)			N/A		

Part II Balance Sheets		Beginning of year	End of year	
			(a) Book Value	(b) Book Value
Assets	1 Cash - non-interest-bearing			
	2 Savings and temporary cash investments	3,875,139.	797,872.	797,872.
	3 Accounts receivable ▶			
	Less: allowance for doubtful accounts ▶			
	4 Pledges receivable ▶			
	Less: allowance for doubtful accounts ▶			
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons			
	7 Other notes and loans receivable ▶ 6.			
	Less: allowance for doubtful accounts ▶ 0.	39.	6.	6.
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10a Investments - U.S. and state government obligations			
	b Investments - corporate stock STMT 8	4,858,244.	5,190,359.	7,595,546.
	c Investments - corporate bonds STMT 9	44,316.	44,316.	51,203.
Liabilities	11 Investments - land, buildings, and equipment, basis ▶			
	Less: accumulated depreciation ▶			
	12 Investments - mortgage loans STMT 10	1,493.	1,493.	1,539.
	13 Investments - other STMT 11	7,125,896.	2,787,999.	3,088,294.
	14 Land, buildings, and equipment, basis ▶ 10,495.			
	Less: accumulated depreciation STMT 12 ▶ 9,649.	0.	846.	846.
	15 Other assets (describe ▶ )			
	16 Total assets (to be completed by all filers - see the instructions. Also, see page 1, item 1)	15,905,127.	8,822,891.	11,535,306.
	17 Accounts payable and accrued expenses			
	18 Grants payable			
Net Assets or Fund Balances	19 Deferred revenue			
	20 Loans from officers, directors, trustees, and other disqualified persons			
	21 Mortgages and other notes payable			
	22 Other liabilities (describe ▶ )			
	23 Total liabilities (add lines 17 through 22)	0.	0.	
	Foundations that follow SFAS 117, check here ▶ <input type="checkbox"/>			
	24 Unrestricted and complete lines 24 through 26 and lines 30 and 31.			
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ <input checked="" type="checkbox"/>			
	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	15,905,127.	8,822,891.	
	30 Total net assets or fund balances	15,905,127.	8,822,891.	
	31 Total liabilities and net assets/fund balances	15,905,127.	8,822,891.	

## 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	15,905,127.
2 Enter amount from Part I, line 27a	2	-7,082,236.
3 Other increases not included in line 2 (itemize) ▶	3	0.
4 Add lines 1, 2, and 3	4	8,822,891.
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	8,822,891.

**Part IV Capital Gains and Losses for Tax on Investment Income**

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.)	(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
<b>1a</b>			
<b>b</b> SEE ATTACHED STATEMENTS			
<b>c</b>			
<b>d</b>			
<b>e</b>			

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
<b>a</b>			
<b>b</b>			
<b>c</b>			
<b>d</b>			
<b>e</b> 2,958,647.		1,858,222.	1,100,425.

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
<b>a</b>			
<b>b</b>			
<b>c</b>			
<b>d</b>			
<b>e</b>			1,100,425.

2 Capital gain net income or (net capital loss) $\left\{ \begin{array}{l} \text{If gain, also enter in Part I, line 7} \\ \text{If (loss), enter -0- in Part I, line 7} \end{array} \right\}$	2	1,100,425.
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter -0- in Part I, line 8	3	N/A

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

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

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

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period?

☐ Yes ☒ No

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2012	7,078,000.	20,438,527.	.346307
2011	5,536,257.	27,315,929.	.202675
2010	14,398,778.	31,456,907.	.457730
2009	10,850,408.	33,743,077.	.321560
2008	18,345,556.	57,683,844.	.318036

2 Total of line 1, column (d)	2	1.646308
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	.329262
4 Enter the net value of noncharitable-use assets for 2013 from Part X, line 5	4	13,368,497.
5 Multiply line 4 by line 3	5	4,401,738.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	12,480.
7 Add lines 5 and 6	7	4,414,218.
8 Enter qualifying distributions from Part XII, line 4	8	7,809,734.

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

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

1a Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1. Date of ruling or determination letter: _____ (attach copy of letter if necessary-see instructions)			
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		1	12,480.
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	12,480.
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	12,480.
6 Credits/Payments:			
a 2013 estimated tax payments and 2012 overpayment credited to 2013	6a	31,403.	
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	31,403.	
8 Enter any penalty for underpayment of estimated tax. Check here <input type="checkbox"/> if Form 2220 is attached	8		
9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9		
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	18,923.	
11 Enter the amount of line 10 to be: Credited to 2014 estimated tax <input checked="" type="checkbox"/> 18,923. Refunded <input type="checkbox"/>	11	0.	

**Part VII-A Statements Regarding Activities**

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

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

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)	11		X
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	X	

Website address ► **HERBALPERTFOUNDATION.ORG**

14 The books are in care of ► **BALTER, MILLER KING & FRAZIN LLP** Telephone no. ► **(818) 528-3545**  
 Located at ► **16255 VENTURA BLVD., SUITE 1250, ENCINO, CA** ZIP+4 ► **91436**

15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here ☐ and enter the amount of tax-exempt interest received or accrued during the year ► **15** N/A

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? ☐ Yes ☒ No  
 See the instructions for exceptions and filing requirements for Form TD F 90-22.1. If "Yes," enter the name of the foreign country ►

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

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

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

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

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

(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ 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

X

Organizations relying on a current notice regarding disaster assistance check here

☒

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

N/A

☐ Yes ☐ No

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

6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?

☐ Yes ☒ No

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

6b

X

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

7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?

☐ Yes ☒ No

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

N/A

7b

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

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

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
SEE STATEMENT 13		391,532.	0.	0.

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

(a) Name and address of each employee paid more than \$50,000	(b) Title, and average hours per week devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
NANCEE ENYART	EXECUTIVE ASST			
1414 SIXTH ST, SANTA MONICA, CA 90401	40.00	99,083.	0.	0.
MATTHEW STERENCHOCK	PROGRAM OFFICER			
1414 SIXTH ST, SANTA MONICA, CA 90401	40.00	93,400.	0.	0.

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

0

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**Part VIII** Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors (continued)**3** Five highest-paid independent contractors for professional services. If none, enter "NONE."

(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
C4 GLOBAL COMMUNICATIONS INC. 1625 17TH ST SUITE 6, SANTA MONICA, CA 90404	COMMUNICATION SERVICES	65,000.
BALTER, MILLER, KING & FRAZIN, LLP - 16255 VENTURA BLVD., SUITE 1250, ENCINO, CA 91436	ACCOUNTING SERVICES	55,600.
PORTFOLIO 21 - 721 NW NINTH AVE., SUITE 250, PORTLAND, OR 97209	INVESTMENT SERVICES	54,501.

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

0

**Part IX-A** Summary of Direct Charitable Activities

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

	Expenses
1 N/A	
2	
3	
4	

**Part IX-B** Summary of Program-Related Investments

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2.

	Amount
1 N/A	
2	
All other program-related investments. See instructions.	
3	
<b>Total.</b> Add lines 1 through 3	0.

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**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	6,736,417.
b	Average of monthly cash balances	1b	2,799,339.
c	Fair market value of all other assets	1c	4,036,322.
d	<b>Total</b> (add lines 1a, b, and c)	1d	13,572,078.
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	13,572,078.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	203,581.
5	<b>Net value of noncharitable-use assets.</b> Subtract line 4 from line 3. Enter here and on Part V, line 4	5	13,368,497.
6	<b>Minimum investment return.</b> Enter 5% of line 5	6	668,425.

**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	668,425.
2a	Tax on investment income for 2013 from Part VI, line 5	2a	12,480.
b	Income tax for 2013. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	12,480.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	655,945.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	655,945.
6	Deduction from distributable amount (see instructions)	6	0.
7	<b>Distributable amount as adjusted.</b> Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	655,945.

**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	7,809,734.
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	<b>Qualifying distributions.</b> Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	7,809,734.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b	5	12,480.
6	<b>Adjusted qualifying distributions</b> Subtract line 5 from line 4	6	7,797,254.

**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				655,945.
2 Undistributed income, if any, as of the end of 2013				
a Enter amount for 2012 only			0.	
b Total for prior years:		0.		
3 Excess distributions carryover, if any, to 2013:				
a From 2008	15,483,622.			
b From 2009	9,166,356.			
c From 2010	12,839,873.			
d From 2011	4,199,719.			
e From 2012	6,106,839.			
f Total of lines 3a through e	47,796,409.			
4 Qualifying distributions for 2013 from Part XII, line 4: ▶ \$	7,809,734.			
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				655,945.
e Remaining amount distributed out of corpus	7,153,789.			
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	54,950,198.			
b Prior years' undistributed income. Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b. Taxable amount - see instructions		0.		
e Undistributed income for 2012. Subtract line 4a from line 2a. Taxable amount - see instr.			0.	
f Undistributed income for 2013. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2014				0.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3)	0.			
8 Excess distributions carryover from 2008 not applied on line 5 or line 7	15,483,622.			
9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a	39,466,576.			
10 Analysis of line 9:				
a Excess from 2009	9,166,356.			
b Excess from 2010	12,839,873.			
c Excess from 2011	4,199,719.			
d Excess from 2012	6,106,839.			
e Excess from 2013	7,153,789.			

## N/A

- b** Check box to indicate whether the foundation is a private operating foundation described in section

☐ 4942(1)(3) or ☐ 4942(1)(5)

- (4) Gross investment income

[illegible]

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).)

**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.

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.

- 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 Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
<b>a Paid during the year</b>				
SEE ATTACHED	NONE		CHARITABLE	7,809,734.
<b>Total</b>			<b>3a</b>	7,809,734.
<b>b Approved for future payment</b>				
NONE				
<b>Total</b>			<b>3b</b>	0.





**Schedule B**

(Form 990, 990-EZ, or 990-PF)

Department of the Treasury  
Internal Revenue Service**Schedule of Contributors**

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

OMB No 1545-0047

**2013**

Name of the organization

**THE HERB ALPERT FOUNDATION**

Employer identification number

**95-4191227**

Organization type (check one):

Filers of:

Section:

Form 990 or 990-EZ

☐

501(c)( ) (enter number) organization

☐4947(a)(1) nonexempt charitable trust **not** treated as a private foundation☐

527 political organization

Form 990-PF

☒

501(c)(3) exempt private foundation

☐

4947(a)(1) nonexempt charitable trust treated as a private foundation

☐

501(c)(3) taxable private foundation

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

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

**Special Rules**☐

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

☐For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than \$1,000 for use *exclusively* for religious, charitable, scientific, literary, or educational purposes, or the prevention of cruelty to children or animals. Complete Parts I, II, and III.☐For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions for use *exclusively* for religious, charitable, etc., purposes, but these contributions did not total to more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Do not complete any of the parts unless the **General Rule** applies to this organization because it received *nonexclusively* religious, charitable, etc., contributions of \$5,000 or more during the year ▶ \$ \_\_\_\_\_**Caution.** An organization that is not covered by the General Rule and/or the Special Rules does not file Schedule B (Form 990, 990-EZ, or 990-PF), but it **must** answer "No" on Part IV, line 2, of its Form 990, or check the box on line H of its Form 990-EZ or on its Form 990-PF, Part I, line 2, to certify that it does not meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF)**LHA For Paperwork Reduction Act Notice, see the Instructions for Form 990, 990-EZ, or 990-PF. Schedule B (Form 990, 990-EZ, or 990-PF) (2013)**

Name of organization	Employer identification number
<b>THE HERB ALPERT FOUNDATION</b>	<b>95-4191227</b>

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

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
<u>1</u>	<u>HERB ALPERT</u> <u>1414 6TH STREET</u> <u>SANTA MONICA, CA 90401</u>	\$ <u>6,880.</u>	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input checked="" type="checkbox"/> (Complete Part II for noncash contributions.)
<u>2</u>	<u>BABY ADJANI TRUST DTD 11 14 96 TRUST</u> <u>16255 VENTURA BLVD., SUITE 1250</u> <u>ENCINO, CA 91436</u>	\$ <u>450,000.</u>	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
<u>3</u>	<u>HERB ALPERT</u> <u>1414 6TH STREET</u> <u>SANTA MONICA, CA 90401</u>	\$ <u>45,979.</u>	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
<u>  </u>	<u>  </u> <u>  </u> <u>  </u>	\$ <u>  </u>	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
<u>  </u>	<u>  </u> <u>  </u> <u>  </u>	\$ <u>  </u>	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
<u>  </u>	<u>  </u> <u>  </u> <u>  </u>	\$ <u>  </u>	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)



Employer identification number

95-4191227

[illegible]

Name of organization	Employer identification number
THE HERB ALPERT FOUNDATION	95-4191227

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

Use duplicate copies of Part III if additional space is needed

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee

THE HERB ALPERT FOUNDATION

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	NORTHERN TRUST 1981/PANDORA MEDIA INC.	P		
b	NORTHERN TRUST 1984	P		
c	NORTHERN TRUST 1984	P		
d	BEACH POINT TOTAL RETURN FUND II	P		
e	BEACH POINT TOTAL RETURN FUND II	P		
f	OCM PRINCIPAL OPP FUND IV	P		
g	OCM PRINCIPAL OPP FUND IV	P		
h	OCM PRINCIPAL OPP FUND IV AIF (DELAWARE)	P		
i	OCM PRINCIPAL OPP FUND IV AIF-SEC 1231	P		
j	OCM PRINCIPAL OPP FUND IV AIF (DELAWARE)	P		
k	OCM PRINCIPAL OPP FUND VII	P		
l	OCM PRINCIPAL OPP FUND VII	P		
m	OCM PRINCIPAL OPP FUND VII AIF-SEC 1250	P		
n	OCM PRINCIPAL OPP FUND VII AIF	P		
o	OCM PRINCIPAL OPP FUND VII AIF	P		

(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	480,369.	6,880.	473,489.
b	302,124.	341,269.	-39,145.
c	1,975,915.	1,503,337.	472,578.
d	32,720.		32,720.
e	33,031.		33,031.
f	5,323.		5,323.
g	83,740.		83,740.
h		21.	-21.
i	2.		2.
j		713.	-713.
k	230.		230.
l	43,603.		43,603.
m		607.	-607.
n		131.	-131.
o	1,590.		1,590.

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			473,489.
b			-39,145.
c			472,578.
d			32,720.
e			33,031.
f			5,323.
g			83,740.
h			-21.
i			2.
j			-713.
k			230.
l			43,603.
m			-607.
n			-131.
o			1,590.

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 }

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

2

3

THE HERB ALPERT FOUNDATION

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	BEACH POINT TOTAL RETURN FUND II	P		
b	OCM PRINCIPAL OPP FUND VII-SECTION 1256	P		
c	OCM PRINCIPAL OPP FUND IV - SEC 1256			
d				
e				
f				
g				
h				
i				
j				
k				
l				
m				
n				
o				

(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		1,345.	-1,345.
b		949.	-949.
c		2,970.	-2,970.
d			
e			
f			
g			
h			
i			
j			
k			
l			
m			
n			
o			

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			-1,345.
b			-949.
c			-2,970.
d			
e			
f			
g			
h			
i			
j			
k			
l			
m			
n			
o			

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	1,100,425.
3	Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter "-0-" in Part I, line 8	3	N/A

**THE HERB ALPERT FOUNDATION****Form 990 PF Part XV 3 - Contributions paid during the year  
2013**

A Window Between Worlds	\$ 5,000
The Actors' Gang	5,000
American Composers Orchestra	50,000
Americans For the Arts	125,000
American Osteopathic Foundation	5,000
Angel City Arts	20,000
ASCAP Foundation	30,000
Boys and Girls Clubs of Santa Monica	15,000
California Alliance for Arts Education	10,000
California Dance Institute	25,000
California Institute of the Arts	615,999
California State Summer School	350,800
California State University Northridge	50,000
Casa 0101	25,000
The Center on Philanthropy and Public Policy	10,000
CHP 11-99 Foundation	5,000
Chrysalis	100,000
Communities In Schools, Inc.	75,000
Community Arts Partnership	100,000
Community Partners	25,000
Concern Foundation	10,000
Contra Tiempo Urban Latin Dance Theater	7,500
Dream A World Education, Inc.	15,000
The Evergreen State College	10,000
Gabriella Axelrad Education Foundation	25,000
Good People Fund	150,000
The Grammy Museum Foundation	25,000
Grantmakers in the Arts	4,000
The Harlem School of the Arts	2,100,000
The Harmony Project	150,000
The HeArt Project	35,000
Hirshhorn Museum & Sculpture	15,000
Hoffman Institute Foundation	5,000
Homeboy Industries	25,000
Independent Production Fund, Inc.	1,000,000
Inside Out Community Arts	25,000
International Documentary	52,500
The International Trumpet Guild	21,000
The Jazz Bakery	40,000
Jazz Education Network	15,000
The Jazz Foundation	50,000
Jerusalem Foundation, Inc.	16,667
Jessie Rees Foundation	2,500

**THE HERB ALPERT FOUNDATION****Form 990 PF Part XV 3 - Contributions paid during the year  
2013**

Jewish Family Service	13,047
KJAZZ - CSULB Research	25,000
LA Goal	2,500
Library Foundation of Los Angeles	15,000
Los Angeles City College	105,000
Los Angeles County Arts	50,000
Los Angeles Jazz Society	29,500
Madison Project Foundation	30,000
McGroarty Arts Center	25,000
Modest Needs Foundation	340,000
MusiCares	10,000
Natural History Museum of Los Angeles	2,500
New Roads High School	10,000
The Ojai Foundation	150,000
Operation Freedom Paws	5,000
Pacifica Foundation Radio	5,000
The Painted Turtle	239,334
Pasadena Arts Council	115,154
Pen Center West USA	25,000
Plaza de la Raza	20,000
P.S. Arts	317,300
Push America	500
RAM California	5,000
Redcat	25,000
reDiscover	15,000
Santa Monica Arts Foundation	5,000
Santa Monica Fire Fighters	500
Skirball Cultural Center	25,000
SOL-LA Music Academy	25,000
The Soldiers Project	29,500
The Southern Poverty Law Center	25,000
Symphonic Jazz Orchestra	10,000
Thelonious Monk Institute of Jazz	200,000
Thomas House Temporary Shelter	2,500
UCLA Foundation	331,433
University of Southern California	10,000
Unusual Suspects Theatre	25,000
Venice Arts	25,000
Virginia Avenue Project	15,000
Vision to Learn	10,000
The Wooden Door	5,000
Young Storytellers Foundation	15,000
Youth Speak Collective	25,000

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**\$ 7,809,734**

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## FORM 990-PF INTEREST ON SAVINGS AND TEMPORARY CASH INVESTMENTS STATEMENT 1

SOURCE	(A) REVENUE PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME
NORTHERN TRUST	2,288.	2,288.	
WELLS FARGO	53.	53.	
TOTAL TO PART I, LINE 3	2,341.	2,341.	

## FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 2

SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
MW POST					
TRADITIONAL HIGH					
YIELD LP	151,552.	0.	151,552.	151,552.	
NORTHERN TRUST	129,047.	0.	129,047.	129,047.	
OCM PRINC OPP FD					
IV	59,971.	0.	59,971.	59,971.	
OCM PRINC OPP FD					
IV AIF	4.	0.	4.	4.	
OCM PRINC OPP FD					
VII	9,039.	0.	9,039.	9,039.	
OCM PRINC OPP FD					
VII AIF	78.	0.	78.	78.	
TO PART I, LINE 4	349,691.	0.	349,691.	349,691.	

## FORM 990-PF OTHER INCOME STATEMENT 3

DESCRIPTION	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
OCM PRINC OPP FD IV	571.	571.	
OCM PRINC OPP FD IV AIF	14.	14.	
OCM PRINC OPP FD VII	769.	769.	
OCM PRINC OPP FD VII AIF	468.	468.	
BEACH POINT TOTAL RETURN FUND II	-24,262.	-24,262.	
NORTHERN TRUST/VERADO HOLDINGS	25.	25.	
SALE OF COMPUTER	300.	300.	
BEACH POINT TOTAL RETURN FUND II	60.	0.	

OCM PRINC OPP. FD IV AIF	-4,630.	0.
OCM PRINC OPP FD VII AIF	-234.	0.
TOTAL TO FORM 990-PF, PART I, LINE 11	-26,919.	-22,115.

FORM 990-PF	LEGAL FEES			STATEMENT 4
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
LEGAL FEES	4,540.	0.		0.
TO FM 990-PF, PG 1, LN 16A	4,540.	0.		0.

FORM 990-PF	ACCOUNTING FEES			STATEMENT 5
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ACCOUNTING FEES	55,600.	27,800.		0.
TO FORM 990-PF, PG 1, LN 16B	55,600.	27,800.		0.

FORM 990-PF	TAXES			STATEMENT 6
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
PAYROLL TAXES	28,966.	0.		0.
FOREIGN TAX	5,375.	5,375.		0.
BUILDING - PROPERTY TAX	11,602.	0.		0.
STATE TAXES	15,603.	0.		0.
FEDERAL TAXES	47,611.	0.		0.
FOREIGN TAX - PARTNERSHIPS	913.	913.		0.
TO FORM 990-PF, PG 1, LN 18	110,070.	6,288.		0.



FORM 990-PF

OTHER EXPENSES

STATEMENT

7

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
AUTO	2,655.	0.		0.
DUES AND SUBSCRIPTIONS	5,854.	0.		0.
HOSPITALITY	1,878.	0.		0.
PUBLIC RELATIONS	69,046.	0.		0.
EQUIPMENT REPAIRS	4,171.	0.		0.
FREIGHT / MESSENGER	532.	0.		0.
INSURANCE	10,641.	0.		0.
INVESTMENT FEES	102,702.	102,702.		0.
OFFICE EXPENSE	2,694.	0.		0.
TELEPHONE	1,350.	0.		0.
COMPUTER ON-LINE	140.	0.		0.
FEES ON FOREIGN DIVIDENDS	332.	332.		0.
PAYROLL PROCESSING	2,239.	0.		0.
TRAVEL	19,166.	0.		0.
EMPLOYEE BENEFITS	137,839.	0.		0.
POSTAGE	478.	0.		0.
EDUCATION/SEMINARS	3,900.	0.		0.
TAXES AND LICENSES	143.	0.		0.
OCM PRINC OPP FD IV OTHER DEDUCTIONS	9,089.	9,089.		0.
OCM PRINC OPP FD IV AIF OTHER DEDUCTIONS	650.	650.		0.
BEACH POINT TOTAL FUND II- INTEREST EXPENSE	4,869.	4,869.		0.
OCM PRINC OPP FD VII OTHER DEDUCTIONS	5,677.	5,677.		0.
BEACH POINT TOTAL FUND II- OTHER DEDUCTIONS	24,678.	24,678.		0.
OCM PRINC OPP FD VII AIF - PORTFOLIO DEDUCTIONS	307.	307.		0.
BUILDING - REPAIRS & MAINTENANCE	8,933.	0.		0.
BUILDING - SECURITY	1,634.	0.		0.
BUILDING - UTILITIES	6,709.	0.		0.
BUILDING - OVERHEAD COSTS	11,508.	0.		0.
BUILDING - SUPPLIES	754.	0.		0.
BUILDING - INSURANCE	7,215.	0.		0.
TO FORM 990-PF, PG 1, LN 23	447,783.	148,304.		0.

FORM 990-PF	CORPORATE STOCK	STATEMENT	8
DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE	
EQUITY SECURITIES HELD AT NORTHERN TRUST A/C#1981	500,767.	165,482.	
EQUITY SECURITIES HELD AT NORTHERN TRUST A/C#1984	4,689,592.	7,430,064.	
TOTAL TO FORM 990-PF, PART II, LINE 10B	5,190,359.	7,595,546.	

FORM 990-PF	CORPORATE BONDS	STATEMENT	9
DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE	
50,000 WELLS FARGO & CO	44,316.	51,203.	
TOTAL TO FORM 990-PF, PART II, LINE 10C	44,316.	51,203.	

FORM 990-PF	MORTGAGE LOANS	STATEMENT	10
DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE	
MORTGAGE BACKED SECURITIES	1,493.	1,539.	
TOTAL TO FORM 990-PF, PART II, LINE 12	1,493.	1,539.	

FORM 990-PF	OTHER INVESTMENTS	STATEMENT	11
DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
INVESTMENT - MW POST	FMV	0.	0.
INVESTMENT-OCM PRINCIP OPPORT FD IV	FMV	411,838.	544,946.
INVESTMENT-OCM PRINCIP OPPORT FD IV AIF	FMV	11,747.	43,158.
INVESTMENT-OCM PRINCIP OPPORT FD VII	FMV	180,900.	177,881.
INVESTMENT-OCM PRINCIP OPPORT FD VII AIF	FMV	54,264.	71,287.

## THE HERB ALPERT FOUNDATION

95-4191227

INVESTMENT-ARCHIPELAGO PRTNSHIP	FMV	0.	0.
INVESTMENT- BEACH POINT TOTAL	FMV		
RETURN FD		2,129,250.	2,251,022.
TOTAL TO FORM 990-PF, PART II, LINE 13		2,787,999.	3,088,294.

## FORM 990-PF DEPRECIATION OF ASSETS NOT HELD FOR INVESTMENT STATEMENT 12

DESCRIPTION	COST OR OTHER BASIS	ACCUMULATED DEPRECIATION	BOOK VALUE
COMPUTER EQUIPMENT	1,754.	1,754.	0.
OFFICE EQUIPMENT	2,583.	2,583.	0.
OFFICE EQUIPMENT	2,834.	2,834.	0.
OFFICE EQUIPMENT	1,211.	1,211.	0.
OFFICE EQUIPMENT	2,112.	1,267.	845.
TOTAL TO FM 990-PF, PART II, LN 14	10,494.	9,649.	845.

FORM 990-PF PART VIII - LIST OF OFFICERS, DIRECTORS  
TRUSTEES AND FOUNDATION MANAGERS STATEMENT 13

NAME AND ADDRESS	TITLE AND AVRG HRS/WK	COMPEN- SATION	EMPLOYEE BEN PLAN CONTRIB	EXPENSE ACCOUNT
HERB ALPERT	CHAIRMAN			
LOS ANGELES, CA	0.00	0.	0.	0.
LANI HALL ALPERT	VICE CHAIR.			
LOS ANGELES, CA	0.00	0.	0.	0.
RONA SEBASTIAN	PRESIDENT			
LOS ANGELES, CA	40.00	391,532.	0.	0.
PAUL FRIMMER	CFO			
LOS ANGELES, CA	0.00	0.	0.	0.
IAN WIENER	SECRETARY			
LOS ANGELES, CA	0.00	0.	0.	0.

DAVID ALPERT .	ASSISTANT SECRETARY			
LOS ANGELES, CA	0.00	0.	0.	0.

TOTALS INCLUDED ON 990-PF, PAGE 6, PART VIII	391,532.	0.	0.
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FORM 990-PF	PART XV - LINE 1A	STATEMENT	14
	LIST OF FOUNDATION MANAGERS		

## NAME OF MANAGER

HERB ALPERT  
LANI HALL ALPERT

2013 DEPRECIATION AND AMORTIZATION REPORT

FORM 990-PF PAGE 1

990-PF

Asset No	Description	Date Acquired	Method	Life	C o n v	Line No	Unadjusted Cost Or Basis	Bus % Excl	Section 179 Expense	* Reduction In Basis	Basis For Depreciation	Beginning Accumulated Depreciation	Current Sec 179 Expense	Current Year Deduction	Ending Accumulated Depreciation
23	COMPUTER EQUIPMENT	10/13/03	200DB	5.00	MQ17		1,754.			877.	877.	877.		0.	877.
24	OFFICE EQUIPMENT	11/03/04	200DB	5.00	MQ17		2,583.				2,583.	2,583.		0.	2,583.
25	OFFICE EQUIPMENT	11/15/04	200DB	5.00	MQ17		2,834.				2,834.	2,834.		0.	2,834.
26	OFFICE EQUIPMENT	03/03/06	200DB	5.00	MQ17		1,211.				1,211.	1,211.		0.	1,211.
27	(D)OFFICE EQUIPMENT	11/29/07	200DB	5.00	MQ17		1,667.				1,667.	1,667.		0.	
28	OFFICE EQUIPMENT	05/31/13	200DB	5.00	HY19B		2,112.			1,056.	1,056.			1,267.	211.
	* TOTAL 990-PF PG 1 DEPR						12,161.			1,933.	10,228.	9,172.		1,267.	7,716.

For an Additional (Not Automatic) 3-Month Extension, complete only Part II and check this box ☒ X

Complete Part II if you have already been granted an automatic 3-month extension on a previously filed Form 8868

If you are filing for an Automatic 3-Month Extension, complete only Part I (on page 1)

**Additional (Not Automatic) 3-Month Extension of Time.** Only file the original (no copies needed)

Type or print	Name of exempt organization or other filer, see instructions	Employer identification number (EIN) or
File by the due date for filing your return See instructions	<b>THE HERB ALPERT FOUNDATION</b>	<b>95-4191227</b>
	Number, street, and room or suite no. If a P.O. box, see instructions.	Social security number (SSN)
	<b>1414 6TH STREET</b>	
	City, town or post office, state, and ZIP code. For a foreign address, see instructions	
	<b>SANTA MONICA, CA 90401</b>	

Enter the Return code for the return that this application is for (file a separate application for each return)

**04**

Application Is For	Return Code	Application Is For	Return Code
Form 990 or Form 990-EZ	01		
Form 990-BL	02	Form 1041-A	08
Form 4720 (individual)	03	Form 4720 (other than individual)	09
Form 990-PF	04	Form 5227	10
Form 990-T (sec 401(a) or 408(a) trust)	05	Form 6069	11
Form 990-T (trust other than above)	06	Form 8870	12

**STOP! Do not complete Part II if you were not already granted an automatic 3-month extension on a previously filed Form 8868.**

**BALTER, MILLER KING & FRAZIN LLP**

• The books are in the care of **16255 VENTURA BLVD., SUITE 1250 - ENCINO, CA 91436**

Telephone No. **(818) 528-3545**

Fax No.

• If the organization does not have an office or place of business in the United States, check this box ☐

• If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) . If this is for the whole group, check this box ☐. If it is for part of the group, check this box ☐ and attach a list with the names and EINs of all members the extension is for.

4 I request an additional 3-month extension of time until **NOVEMBER 15, 2014.**

5 For calendar year **2013**, or other tax year beginning , and ending .

6 If the tax year entered in line 5 is for less than 12 months, check reason: ☐ Initial return ☐ Final return

☐ Change in accounting period

7 State in detail why you need the extension

**INFORMATION NECESSARY TO FILE A COMPLETE AND ACCURATE RETURN IS NOT YET AVAILABLE.**

8a If this application is for Forms 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions.	8a	\$	12,350.
b If this application is for Forms 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit and any amount paid previously with Form 8868.	8b	\$	31,403.
c Balance due. Subtract line 8b from line 8a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions.	8c	\$	0.

**Signature and Verification must be completed for Part II only.**

Under penalties of perjury, I declare that I have examined this form, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete, and that I am authorized to prepare this form.

Signature **Susan Frazin** Title **CPA**

Date **8/4/14**

Form 8868 (Rev. 1-2014)

# Application for Extension of Time To File an Exempt Organization Return

OMB No 1545-1709

of the Treasury  
Revenue Service

► File a separate application for each return.

► Information about Form 8868 and its instructions is at [www.irs.gov/form8868](http://www.irs.gov/form8868).you are filing for an Automatic 3-Month Extension, complete only Part I and check this box ☒

• If you are filing for an Additional (Not Automatic) 3-Month Extension, complete only Part II (on page 2 of this form)

Do not complete Part II unless you have already been granted an automatic 3-month extension on a previously filed Form 8868

**Electronic filing (e-file).** You can electronically file Form 8868 if you need a 3-month automatic extension of time to file (6 months for a corporation required to file Form 990-T), or an additional (not automatic) 3-month extension of time. You can electronically file Form 8868 to request an extension of time to file any of the forms listed in Part I or Part II with the exception of Form 8870, Information Return for Transfers Associated With Certain Personal Benefit Contracts, which must be sent to the IRS in paper format (see instructions). For more details on the electronic filing of this form, visit [www.irs.gov/efile](http://www.irs.gov/efile) and click on e-file for Charities & Nonprofits.

**Part I Automatic 3-Month Extension of Time.** Only submit original (no copies needed).

A corporation required to file Form 990-T and requesting an automatic 6-month extension - check this box and complete

Part I only ☐

All other corporations (including 1120-C filers), partnerships, REMICs, and trusts must use Form 7004 to request an extension of time to file income tax returns.

Type or print	Name of exempt organization or other filer, see instructions.	Enter filer's identifying number
	THE HERB ALPERT FOUNDATION	Employer identification number (EIN) or 95-4191227
File by the due date for filing your return. See instructions.	Number, street, and room or suite no. If a P.O. box, see instructions. 1414 6TH STREET	Social security number (SSN)
	City, town or post office, state, and ZIP code. For a foreign address, see instructions. SANTA MONICA, CA 90401	

Enter the Return code for the return that this application is for (file a separate application for each return)

04

Application Is For	Return Code	Application Is For	Return Code
Form 990 or Form 990-EZ	01	Form 990-T (corporation)	07
Form 990-BL	02	Form 1041-A	08
Form 4720 (individual)	03	Form 4720 (other than individual)	09
Form 990-PF	04	Form 5227	10
Form 990-T (sec. 401(a) or 408(a) trust)	05	Form 6069	11
Form 990-T (trust other than above)	06	Form 8870	12

BALTER, MILLER KING &amp; FRAZIN LLP

• The books are in the care of ► 16255 VENTURA BLVD., SUITE 1250 - ENCINO, CA 91436  
Telephone No. ► (818) 528-3545 Fax No. ►

• If the organization does not have an office or place of business in the United States, check this box ☐

• If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) . If this is for the whole group, check this box ☐ . If it is for part of the group, check this box ☐ and attach a list with the names and EINs of all members the extension is for.

1 I request an automatic 3-month (6 months for a corporation required to file Form 990-T) extension of time until AUGUST 15, 2014, to file the exempt organization return for the organization named above. The extension is for the organization's return for:  
► ☒ calendar year 2013 or  
► ☐ tax year beginning \_\_\_\_\_, and ending \_\_\_\_\_

2 If the tax year entered in line 1 is for less than 12 months, check reason: ☐ Initial return ☐ Final return  
☐ Change in accounting period

3a If this application is for Forms 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions.	3a	\$	12,350.
b If this application is for Forms 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit.	3b	\$	31,403.
c Balance due. Subtract line 3b from line 3a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions.	3c	\$	0.

**Caution.** If you are going to make an electronic funds withdrawal (direct debit) with this Form 8868, see Form 8453-EO and Form 8879-EO for payment instructions