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ENVELOPE  
POSTMARK DATE JUL 09 2014

SCANNED JUL 30 2014

**Form 990-PF** **Return of Private Foundation** **or Section 4947(a)(1) Trust Treated as Private Foundation**  
 Department of the Treasury Internal Revenue Service **Do not enter Social Security numbers on this form as it may be made public.**  
**Information about Form 990-PF and its separate instructions is at [www.irs.gov/form990pf](http://www.irs.gov/form990pf).** **Open to Public Inspection**  
 For calendar year 2013 or tax year beginning 03/01, 2013, and ending 02/28, 2014

Name of foundation  
**DOTY FAMILY FOUNDATION**

Number and street (or P O box number if mail is not delivered to street address) Room/suite  
**C/O BCRS ASSOCIATES, LLC**  
**77 WATER STREET, 9TH FLOOR**

City or town, state or province, country, and ZIP or foreign postal code  
**NEW YORK, NY 10005**

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

**H** Check type of organization: ☒ Section 501(c)(3) exempt private foundation  
☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation

**I** Fair market value of all assets at end of year (from Part II, col (c), line 16) **\$ 8,220,530.**

**J** Accounting method: ☒ Cash ☐ Accrual  
☐ Other (specify) \_\_\_\_\_  
 (Part I, column (d) must be on cash basis.)

**A** Employer identification number  
**13-2921496**

**B** Telephone number (see instructions)  
**(212) 440-0800**

**C** If exemption application is pending, check here ☐

**D** 1. Foreign organizations, check here ☐  
 2. Foreign organizations meeting the 85% test, check here and attach computation ☐

**E** If private foundation status was terminated under section 507(b)(1)(A), check here ☐

**F** If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐

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 N/A	(d) Disbursements for charitable purposes (cash basis only)
<b>1</b> Contributions, gifts, grants, etc., received (attach schedule)		NONE			
<b>2</b> Check <input type="checkbox"/> if the foundation is not required to attach Sch. B					
<b>3</b> Interest on savings and temporary cash investments		932.	932.		ATCH 1
<b>4</b> Dividends and interest from securities		192,611.	192,611.		ATCH 2
<b>5a</b> Gross rents					
<b>b</b> Net rental income or (loss)					
<b>6a</b> Net gain or (loss) from sale of assets not on line 10		273,399.			
<b>b</b> Gross sales price for all assets on line 6a <b>882,391.</b>					
<b>7</b> Capital gain net income (from Part IV, line 2)			273,399.		
<b>8</b> Net short-term capital gain					
<b>9</b> Income modifications					
<b>10a</b> Gross sales less returns and allowances					
<b>b</b> Less Cost of goods sold					
<b>c</b> Gross profit or (loss) (attach schedule)					
<b>11</b> Other income (attach schedule)					
<b>12</b> Total. Add lines 1 through 11		466,942.	466,942.	0	
<b>13</b> Compensation of officers, directors, trustees, etc.		18,000.	13,500.		4,500.
<b>14</b> Other employee salaries and wages					
<b>15</b> Pension plans, employee benefits					
<b>16a</b> Legal fees (attach schedule)					
<b>b</b> Accounting fees (attach schedule) <b>ATCH 3</b>		7,400.	3,700.		3,700.
<b>c</b> Other professional fees (attach schedule) *		41,358.	41,358.		
<b>17</b> Interest					
<b>18</b> Taxes (attach schedule) (see instructions) <b>ATCH 5</b>		1,800.			
<b>19</b> Depreciation (attach schedule) and depletion					
<b>20</b> Occupancy					
<b>21</b> Travel, conferences, and meetings					
<b>22</b> Printing and publications					
<b>23</b> Other expenses (attach schedule) <b>ATCH 6</b>		20,744.	637.		20,107.
<b>24</b> Total operating and administrative expenses. Add lines 13 through 23		89,302.	59,195.		28,307.
<b>25</b> Contributions, gifts, grants paid		2,010,826.			2,010,826.
<b>26</b> Total expenses and disbursements. Add lines 24 and 25		2,100,128.	59,195.	0	2,039,133.
<b>27</b> Subtract line 26 from line 12		-1,633,186.			
<b>a</b> Excess of revenue over expenses and disbursements					
<b>b</b> Net investment income (if negative, enter -0-)			407,747.		
<b>c</b> Adjusted net income (if negative, enter -0-)				0	

NE

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 . . . . .	563,882.	81,102.	81,102.	
	3	Accounts receivable ▶ . . . . .				
		Less allowance for doubtful accounts ▶ . . . . .				
	4	Pledges receivable ▶ . . . . .				
		Less allowance for doubtful accounts ▶ . . . . .				
	5	Grants receivable . . . . .				
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions) . . . . .				
	7	Other notes and loans receivable (attach schedule) ▶ . . . . .				
		Less allowance for doubtful accounts ▶ . . . . .				
	8	Inventories for sale or use . . . . .				
	9	Prepaid expenses and deferred charges . . . . .				
	10 a	Investments - U S and state government obligations (attach schedule) . . . . .				
	b	Investments - corporate stock (attach schedule) ATCH 7 . . . . .	3,411,046.	3,405,253.	5,196,046.	
	c	Investments - corporate bonds (attach schedule) ATCH 8 . . . . .	899,362.	795,657.	879,426.	
	11	Investments - land, buildings, and equipment basis ▶ . . . . .				
	Less accumulated depreciation ▶ (attach schedule) . . . . .					
12	Investments - mortgage loans . . . . .					
13	Investments - other (attach schedule) . . . . .					
14	Land, buildings, and equipment basis ▶ . . . . .					
	Less accumulated depreciation ▶ (attach schedule) . . . . .					
15	Other assets (describe ▶ ATCH 9) . . . . .	3,101,286.	2,060,378.	2,063,956.		
16	Total assets (to be completed by all filers - see the instructions Also, see page 1, item I) . . . . .	7,975,576.	6,342,390.	8,220,530.		
Liabilities	17	Accounts payable and accrued expenses . . . . .				
	18	Grants payable . . . . .				
	19	Deferred revenue . . . . .				
	20	Loans from officers, directors, trustees, and other disqualified persons . . . . .				
	21	Mortgages and other notes payable (attach schedule) . . . . .				
	22	Other liabilities (describe ▶) . . . . .				
23	Total liabilities (add lines 17 through 22) . . . . .	0	0			
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ <input type="checkbox"/> and complete lines 24 through 26 and lines 30 and 31.					
	24	Unrestricted . . . . .				
	25	Temporarily restricted . . . . .				
	26	Permanently restricted . . . . .				
	Foundations that do not follow SFAS 117, . . . ▶ <input checked="" type="checkbox"/> check here and complete lines 27 through 31.					
	27	Capital stock, trust principal, or current funds . . . . .	7,975,576.	6,342,390.		
	28	Paid-in or capital surplus, or land, bldg, and equipment fund . . . . .				
	29	Retained earnings, accumulated income, endowment, or other funds . . . . .				
	30	Total net assets or fund balances (see instructions) . . . . .	7,975,576.	6,342,390.		
	31	Total liabilities and net assets/fund balances (see instructions) . . . . .	7,975,576.	6,342,390.		

## 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	7,975,576.
2	Enter amount from Part I, line 27a . . . . .	2	-1,633,186.
3	Other increases not included in line 2 (itemize) ▶ . . . . .	3	
4	Add lines 1, 2, and 3 . . . . .	4	6,342,390.
5	Decreases not included in line 2 (itemize) ▶ . . . . .	5	
6	Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30 . . . . .	6	6,342,390.

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**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 PART IV SCHEDULE**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)
<b>a</b>			
<b>b</b>			
<b>c</b>			
<b>d</b>			
<b>e</b>			

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

(i) 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>			

<b>2</b> Capital gain net income or (net capital loss)	{ If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 }	<b>2</b>	273,399.
<b>3</b> Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c) (see instructions). If (loss), enter -0- in Part I, line 8	{ }	<b>3</b>	0

**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	786,524.	7,474,000.	0.105235
2011	559,203.	5,889,119.	0.094955
2010	392,650.	5,981,428.	0.065645
2009	631,440.	5,932,663.	0.106434
2008	480,515.	6,654,688.	0.072207

<b>2</b> Total of line 1, column (d)	<b>2</b>	0.444476
<b>3</b> Average distribution ratio for the 5-year base period - divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years	<b>3</b>	0.088895
<b>4</b> Enter the net value of noncharitable-use assets for 2013 from Part X, line 5	<b>4</b>	8,247,816.
<b>5</b> Multiply line 4 by line 3	<b>5</b>	733,190.
<b>6</b> Enter 1% of net investment income (1% of Part I, line 27b)	<b>6</b>	4,077.
<b>7</b> Add lines 5 and 6	<b>7</b>	737,267.
<b>8</b> 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.	<b>8</b>	2,039,133.

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

1 a 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	4,077.
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b).			
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-) . . . . .		2	
3 Add lines 1 and 2 . . . . .		3	4,077.
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	4,077.
6 Credits/Payments			
a 2013 estimated tax payments and 2012 overpayment credited to 2013 . . . . .	6a	1,904.	
b Exempt foreign organizations - tax withheld at source . . . . .	6b		
c Tax paid with application for extension of time to file (Form 8868) . . . . .	6c		
d Backup withholding erroneously withheld . . . . .	6d		
7 Total credits and payments. Add lines 6a through 6d . . . . .	7	1,904.	
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	2,173.	
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid . . . . .	10		
11 Enter the amount of line 10 to be: Credited to 2014 estimated tax <input type="checkbox"/> Refunded <input type="checkbox"/> . . . . .	11		

**Part VII-A Statements Regarding Activities**

	Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign? . . . . .		X
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for the definition)? . . . . . If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities		X
c Did the foundation file Form 1120-POL for this year? . . . . .		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year (1) On the foundation <input type="checkbox"/> \$ 0 (2) On foundation managers <input 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 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? . . . . .		N/A
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? . . . . . If "Yes," attach the statement required by General Instruction T		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument? . . . . .	X	
7 Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col. (c), and Part XV	X	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) <input type="checkbox"/> NY, _____		
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation. . . . .	X	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2013 or the taxable year beginning in 2013 (see instructions for Part XIV)? If "Yes," complete Part XIV. . . . .		X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses. . . . .		X

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

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions).	11		X
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions).	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	X	
Website address <b>N/A</b>				
14	The books are in care of <b>BCRS ASSOCIATES, LLC</b> Telephone no <b>212-440-0800</b>			
Located at <b>77 WATER STREET, 9TH FLOOR, NEW YORK, NY</b> ZIP+4 <b>10005</b>				
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here	15		
and enter the amount of tax-exempt interest received or accrued during the year <b>15</b>				
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
				X
See the instructions for exceptions and filing requirements for Form TD F 90-22.1 If "Yes," enter the name of the foreign country				

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

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

	Yes	No
1a During the year did the foundation (either directly or indirectly)		
(1) Engage in the sale or exchange, or leasing of property with a disqualified person?	<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)?		N/A
Organizations relying on a current notice regarding disaster assistance check here		
c Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2013?		N/A
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
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
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?		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?		X

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

- (1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? ☐ Yes ☒ No
- (2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive? ☐ Yes ☒ No
- (3) Provide a grant to an individual for travel, study, or other similar purposes? ☐ Yes ☒ No
- (4) Provide a grant to an organization other than a charitable, etc., organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? (see instructions) ☐ Yes ☒ No
- (5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? ☐ Yes ☒ No

**b** If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)?Organizations relying on a current notice regarding disaster assistance check here ☐**c** If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? ☒ Yes ☐ No

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

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

If "Yes" to 6b, file Form 8870

**7a** At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? ☐ Yes ☒ No**b** If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction? ☐ Yes ☒ No**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
ATCH 10		18,000.	0	0

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

(a) Name and address of each employee paid more than \$50,000	(b) Title, and average hours per week devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
NONE		0	0	0

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

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

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

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

**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 PLEASE NOTE, THE FOUNDATION IS NOT INVOLVED IN ANY DIRECT CHARITABLE ACTIVITIES. ITS PRIMARY PURPOSE IS TO SUPPORT, BY CONTRIBUTIONS, OTHER ORGANIZATIONS EXEMPT UNDER SECTION 501(C)(3) OF THE INTERNAL REVENUE CODE.	NONE
2	
3	
4	

**Part IX-B Summary of Program-Related Investments (see instructions)**

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2	Amount
1 N/A	NONE
2 N/A	
All other program-related investments See instructions	
3 N/A	
Total. Add lines 1 through 3 . . . . . ▶	

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

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	6,936,412.
b	Average of monthly cash balances	1b	1,437,005.
c	Fair market value of all other assets (see instructions)	1c	0.
d	<b>Total</b> (add lines 1a, b and c)	1d	8,373,417.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	
2	Acquisition indebtedness applicable to line 1 assets	2	
3	Subtract line 2 from line 1d	3	8,373,417.
4	Cash deemed held for charitable activities. Enter 1 1/2 % of line 3 (for greater amount, see instructions)	4	125,601.
5	<b>Net value of noncharitable-use assets.</b> Subtract line 4 from line 3. Enter here and on Part V, line 4.	5	8,247,816.
6	<b>Minimum investment return.</b> Enter 5% of line 5	6	412,391.

**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	412,391.
2a	Tax on investment income for 2013 from Part VI, line 5	2a	4,077.
b	Income tax for 2013. (This does not include the tax from Part VI)	2b	
c	Add lines 2a and 2b	2c	4,077.
3	Distributable amount before adjustments. Subtract line 2c from line 1.	3	408,314.
4	Recoveries of amounts treated as qualifying distributions	4	
5	Add lines 3 and 4	5	408,314.
6	Deduction from distributable amount (see instructions)	6	
7	<b>Distributable amount</b> as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1.	7	408,314.

**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	2,039,133.
b	Program-related investments - total from Part IX-B	1b	
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	2,039,133.
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	4,077.
6	<b>Adjusted qualifying distributions.</b> Subtract line 5 from line 4.	6	2,035,056.

**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				408,314.
2 Undistributed income, if any, as of the end of 2013			NONE	
a Enter amount for 2012 only		NONE		
b Total for prior years 20____, 20____, 20____		NONE		
3 Excess distributions carryover, if any, to 2013				
a From 2008 151,872.				
b From 2009 335,485.				
c From 2010 95,384.				
d From 2011 268,457.				
e From 2012 416,458.				
f Total of lines 3a through e	1,267,656.			
4 Qualifying distributions for 2013 from Part XII, line 4 ▶ \$ 2,039,133.				
a Applied to 2012, but not more than line 2a				
b Applied to undistributed income of prior years (Election required - see instructions)				
c Treated as distributions out of corpus (Election required - see instructions)				
d Applied to 2013 distributable amount				408,314.
e Remaining amount distributed out of corpus	1,630,819.			
5 Excess distributions carryover applied to 2013 (If an amount appears in column (d), the same amount must be shown in column (a))				
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	2,898,475.			
b Prior years' undistributed income Subtract line 4b from line 2b				
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				
d Subtract line 6c from line 6b Taxable amount - see instructions				
e Undistributed income for 2012 Subtract line 4a from line 2a Taxable amount - see instructions			NONE	
f Undistributed income for 2013 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2014				NONE
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions)				
8 Excess distributions carryover from 2008 not applied on line 5 or line 7 (see instructions)	151,872.			
9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a	2,746,603.			
10 Analysis of line 9				
a Excess from 2009 335,485.				
b Excess from 2010 95,384.				
c Excess from 2011 268,457.				
d Excess from 2012 416,458.				
e Excess from 2013 1,630,819.				

Form 990-PF (2013)

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

NOT APPLICABLE

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

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

4942(j)(3) or

4942(j)(5)

2 a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed . . . . .

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

**Part XV Supplementary Information** (Complete this part only if the foundation had \$5,000 or more in assets at any time during the year - see instructions.)**1 Information Regarding Foundation Managers:**

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

NONE

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

NONE

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

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

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

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 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</b> <i>Paid during the year</i> SEE LIST ATTACHED				2,010,826.
<b>Total</b> .....			<b>▶ 3a</b>	2,010,826.
<b>b</b> <i>Approved for future payment</i>				
<b>Total</b> .....			<b>▶ 3b</b>	

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

Enter gross amounts unless otherwise indicated

Enter gross amounts unless otherwise indicated	Unrelated business income		Excluded by section 512, 513, or 514		(e)
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	Related or exempt function income (See instructions )
<b>1</b> Program service revenue:					
<b>a</b> _____					
<b>b</b> _____					
<b>c</b> _____					
<b>d</b> _____					
<b>e</b> _____					
<b>f</b> _____					
<b>g</b> Fees and contracts from government agencies					
<b>2</b> Membership dues and assessments . . . . .					
<b>3</b> Interest on savings and temporary cash investments			14	932.	
<b>4</b> Dividends and interest from securities . . . . .			14	192,611.	
<b>5</b> Net rental income or (loss) from real estate					
<b>a</b> Debt-financed property . . . . .					
<b>b</b> Not debt-financed property . . . . .					
<b>6</b> Net rental income or (loss) from personal property .					
<b>7</b> Other investment income . . . . .					
<b>8</b> Gain or (loss) from sales of assets other than inventory			18	273,399.	
<b>9</b> Net income or (loss) from special events . . .					
<b>10</b> Gross profit or (loss) from sales of inventory . .					
<b>11</b> Other revenue <b>a</b> _____					
<b>b</b> _____					
<b>c</b> _____					
<b>d</b> _____					
<b>e</b> _____					
<b>12</b> Subtotal. Add columns (b), (d), and (e) . . . . .				466,942.	
<b>13</b> Total. Add line 12, columns (b), (d), and (e) . . . . .				466,942.	

(See worksheet in line 13 instructions to verify calculations )

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

[illegible]



**FORM 990-PF - PART IV**  
**CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME**

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		TOTAL LONG-TERM CAPITAL GAIN DIVIDENDS					235.	
882,156.		SEE ATTACHED STATEMENT PROPERTY TYPE: SECURITIES 608,992.				P	VAR 273,164.	VAR
TOTAL GAIN (LOSS) .....							<u>273,399.</u>	

**SUPPLEMENTARY STATEMENTS**

**PART: XV**

**LINE: 2**

**SUPPLEMENTAL INFORMATION**

THE ORGANIZATION'S PRIMARY ACTIVITY IS TO SUPPORT, BY CONTRIBUTIONS, OTHER ORGANIZATIONS QUALIFYING FOR EXEMPTION UNDER SECTION 501(c)(3) OF THE INTERNAL REVENUE CODE THE TRUSTEES CHOOSE THESE ORGANIZATIONS BASED UPON THEIR KNOWLEDGE OF THE ORGANIZATIONS' ACTIVITIES NO CONTRIBUTIONS, GRANTS, GIFTS, LOANS OR SCHOLARSHIPS ARE MADE TO INDIVIDUALS THE ORGANIZATION DOES NOT PRESENTLY RECEIVE APPLICATIONS OR CONDUCT PROGRAMS FOR DONATIONS IN ITS ACTIVITIES



ATTACHMENT 1

FORM 990PF, PART I - INTEREST ON TEMPORARY CASH INVESTMENTS

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>	<u>ADJUSTED NET INCOME</u>
INTEREST ON CREDIT BALANCE	918.	918.	
INTEREST ON CHECKING	14.	14.	
TOTAL	<u>932.</u>	<u>932.</u>	

ATTACHMENT 2FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>	<u>ADJUSTED NET INCOME</u>
DIVIDENDS THRU MERRILL LYNCH	146,365.	146,365.	
INTEREST ON BONDS THRU MERRILL LYNCH	43,512.	43,512.	
DIVIDENDS - THORNBURG INT'L FD CL A	2,734.	2,734.	
TOTAL	<u>192,611.</u>	<u>192,611.</u>	

ATTACHMENT 3

FORM 990PF, PART I - ACCOUNTING FEES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>	<u>ADJUSTED NET INCOME</u>	<u>CHARITABLE PURPOSES</u>
BCRS ASSOCIATES, LLC	7,400.	3,700.		3,700.
TOTALS	<u>7,400.</u>	<u>3,700.</u>		<u>3,700.</u>

ATTACHMENT 4

FORM 990PF, PART I - OTHER PROFESSIONAL FEES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>	<u>ADJUSTED NET INCOME</u>	<u>CHARITABLE PURPOSES</u>
INVESTMENT MANAGEMENT FEES	41,208.	41,208.		
ANNUAL FEE-MERRILL LYNCH	150.	150.		
TOTALS	<u>41,358.</u>	<u>41,358.</u>		

ATTACHMENT 5

FORM 990PF, PART I - TAXES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>	<u>ADJUSTED NET INCOME</u>	<u>CHARITABLE PURPOSES</u>
FEDERAL TAX PAID: - 1ST QTR EST FYE 2/28/2014	1,800.			
TOTALS	<u>1,800.</u>			

ATTACHMENT 6

FORM 990PF, PART I - OTHER EXPENSES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME	ADJUSTED NET INCOME	CHARITABLE PURPOSES
CHARITABLE EXPENSE	3,306.			3,306.
PUBLICATION NOTICE FEE	135.			135.
FOREIGN TAX PAID	637.	637.		
BANK CHARGES	429.			429.
FADICA ANNUAL MEMBERSHIP DUES	15,725.			15,725.
OFFICE EXPENSE	12.			12.
NY FILING FEE	500.			500.
TOTALS	<u>20,744.</u>	<u>637.</u>		<u>20,107.</u>

ATTACHMENT 7FORM 990PF, PART II - CORPORATE STOCK

<u>DESCRIPTION</u>	<u>BEGINNING BOOK VALUE</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
SEE LONG POSITION ATTACHED	3,411,046.	3,405,253.	5,196,046.
TOTALS	<u>3,411,046.</u>	<u>3,405,253.</u>	<u>5,196,046.</u>

ATTACHMENT 8

FORM 990PF, PART II - CORPORATE BONDS

<u>DESCRIPTION</u>	<u>BEGINNING BOOK VALUE</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
SEE LONG POSITION ATTACHED	899,362.	795,657.	879,426.
TOTALS	<u>899,362.</u>	<u>795,657.</u>	<u>879,426.</u>



ATTACHMENT 9FORM 990PF, PART II - OTHER ASSETS

<u>DESCRIPTION</u>	<u>BEGINNING BOOK VALUE</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
ML BANK DEPOSIT PROGRAM	1,778,055.	734,413.	734,413.
THORNBURG INT'L VALUE FD CL A	312,392.	315,126.	349,247.
TEMPLETON GLOBAL BOND FD CL A	1,010,839.	1,010,839.	980,296.
TOTALS	<u>3,101,286.</u>	<u>2,060,378.</u>	<u>2,063,956.</u>

DOTY FAMILY FOUNDATION

13-2921496

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

ATTACHMENT 10

NAME AND ADDRESS	TITLE AND AVERAGE HOURS PER WEEK DEVOTED TO POSITION	COMPENSATION	CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS	EXPENSE ACCT AND OTHER ALLOWANCES
BARBARA E. DOTY C/O BCBS ASSOCIATES, LLC 77 WATER STREET, 9TH FLOOR NEW YORK, NY 10005	TREASURER / PART-TIME	0	0	0
CHRISTOPHER S. DOTY C/O BCBS ASSOCIATES, LLC 77 WATER STREET, 9TH FLOOR NEW YORK, NY 10005	TRUSTEE / PART-TIME	0	0	0
WILLIAM W. DOTY C/O BCBS ASSOCIATES, LLC 77 WATER STREET, 9TH FLOOR NEW YORK, NY 10005	TRUSTEE / PART-TIME	0	0	0
ANNE MARIE PAINE C/O BCBS ASSOCIATES, LLC 77 WATER STREET, 9TH FLOOR NEW YORK, NY 10005	CHAIR & SECRETARY / PART-TIME	18,000.	0	0
VIRGINIA M. DOTY C/O BCBS ASSOCIATES, LLC 77 WATER STREET, 9TH FLOOR NEW YORK, NY 10005	TRUSTEE / PART-TIME	0	0	0
GRAND TOTALS		18,000.	0	0

**SCHEDULE D  
(Form 1041)**

Department of the Treasury  
Internal Revenue Service

**Capital Gains and Losses**

▶ Attach to Form 1041, Form 5227, or Form 990-T.  
▶ Use Form 8949 to list your transactions for lines 1b, 2, 3, 8b, 9 and 10.  
▶ Information about Schedule D and its separate instructions is at [www.irs.gov/form1041](http://www.irs.gov/form1041).

OMB No 1545-0092

**2013**

Name of estate or trust

DOTY FAMILY FOUNDATION

Employer identification number

13-2921496

**Note:** Form 5227 filers need to complete only Parts I and II

**Part I Short-Term Capital Gains and Losses - Assets Held One Year or Less**

See instructions for how to figure the amounts to enter on the lines below.

This form may be easier to complete if you round off cents to whole dollars

	(d) Proceeds (sales price)	(e) Cost (or other basis)	(g) Adjustments to gain or loss from Form(s) 8949, Part I, line 2, column (g)	(h) Gain or (loss) Subtract column (e) from column (d) and combine the result with column (g)
<b>1a</b> Totals for all short-term transactions reported on Form 1099-B for which basis was reported to the IRS and for which you have no adjustments (see instructions). However, if you choose to report all these transactions on Form 8949, leave this line blank and go to line 1b				
<b>1b</b> Totals for all transactions reported on Form(s) 8949 with <b>Box A</b> checked . . . . .				
<b>2</b> Totals for all transactions reported on Form(s) 8949 with <b>Box B</b> checked . . . . .				
<b>3</b> Totals for all transactions reported on Form(s) 8949 with <b>Box C</b> checked . . . . .				
<b>4</b> Short-term capital gain or (loss) from Forms 4684, 6252, 6781, and 8824 . . . . .				<b>4</b>
<b>5</b> Net short-term gain or (loss) from partnerships, S corporations, and other estates or trusts . . . . .				<b>5</b>
<b>6</b> Short-term capital loss carryover. Enter the amount, if any, from line 9 of the 2012 Capital Loss Carryover Worksheet . . . . .				<b>6</b> ( )
<b>7</b> <b>Net short-term capital gain or (loss).</b> Combine lines 1a through 6 in column (h). Enter here and on line 17, column (3) on the back . . . . . ▶				<b>7</b>

**Part II Long-Term Capital Gains and Losses - Assets Held More Than One Year**

See instructions for how to figure the amounts to enter on the lines below

This form may be easier to complete if you round off cents to whole dollars.

	(d) Proceeds (sales price)	(e) Cost (or other basis)	(g) Adjustments to gain or loss from Form(s) 8949, Part II, line 2, column (g)	(h) Gain or (loss) Subtract column (e) from column (d) and combine the result with column (g)
<b>8a</b> Totals for all long-term transactions reported on Form 1099-B for which basis was reported to the IRS and for which you have no adjustments (see instructions). However, if you choose to report all these transactions on Form 8949, leave this line blank and go to line 8b				
<b>8b</b> Totals for all transactions reported on Form(s) 8949 with <b>Box D</b> checked . . . . .	882,156.	608,992.		273,164.
<b>9</b> Totals for all transactions reported on Form(s) 8949 with <b>Box E</b> checked . . . . .				
<b>10</b> Totals for all transactions reported on Form(s) 8949 with <b>Box F</b> checked . . . . .				
<b>LONG-TERM CAPITAL GAIN DIVIDENDS</b>				235.
<b>11</b> Long-term capital gain or (loss) from Forms 2439, 4684, 6252, 6781, and 8824 . . . . .				<b>11</b>
<b>12</b> Net long-term gain or (loss) from partnerships, S corporations, and other estates or trusts. . . . .				<b>12</b>
<b>13</b> Capital gain distributions. . . . .				<b>13</b>
<b>14</b> Gain from Form 4797, Part I. . . . .				<b>14</b>
<b>15</b> Long-term capital loss carryover. Enter the amount, if any, from line 14 of the 2012 Capital Loss Carryover Worksheet . . . . .				<b>15</b> ( )
<b>16</b> <b>Net long-term capital gain or (loss).</b> Combine lines 8a through 15 in column (h). Enter here and on line 18a, column (3) on the back . . . . . ▶				<b>16</b> 273,399.

For Paperwork Reduction Act Notice, see the Instructions for Form 1041.

Schedule D (Form 1041) 2013

**Part III Summary of Parts I and II****Caution:** Read the instructions *before* completing this part.

	(1) Beneficiaries' (see instr.)	(2) Estate's or trust's	(3) Total
<b>17</b> Net short-term gain or (loss) . . . . .	<b>17</b>		
<b>18</b> Net long-term gain or (loss):			
a Total for year . . . . .	<b>18a</b>		273,399.
b Unrecaptured section 1250 gain (see line 18 of the wrkst.) . . . .	<b>18b</b>		
c 28% rate gain . . . . .	<b>18c</b>		
<b>19</b> Total net gain or (loss). Combine lines 17 and 18a. . . . . ▶	<b>19</b>		273,399.

**Note:** If line 19, column (3), is a net gain, enter the gain on Form 1041, line 4 (or Form 990-T, Part I, line 4a). If lines 18a and 19, column (2), are net gains, go to Part V, and **do not** complete Part IV. If line 19, column (3), is a net loss, complete Part IV and the **Capital Loss Carryover Worksheet**, as necessary.

**Part IV Capital Loss Limitation**

<b>20</b> Enter here and enter as a (loss) on Form 1041, line 4 (or Form 990-T, Part I, line 4c, if a trust), the smaller of:	<b>20</b>	( )
a The loss on line 19, column (3) or b \$3,000 . . . . .		

**Note:** If the loss on line 19, column (3), is more than \$3,000, or if Form 1041, page 1, line 22 (or Form 990-T, line 34), is a loss, complete the **Capital Loss Carryover Worksheet** in the instructions to figure your capital loss carryover.

**Part V Tax Computation Using Maximum Capital Gains Rates**

**Form 1041 filers.** Complete this part **only** if both lines 18a and 19 in column (2) are gains, or an amount is entered in Part I or Part II and there is an entry on Form 1041, line 2b(2), and Form 1041, line 22, is more than zero.

**Caution:** Skip this part and complete the **Schedule D Tax Worksheet** in the instructions if:

- Either line 18b, col. (2) or line 18c, col. (2) is more than zero, or
- Both Form 1041, line 2b(1), and Form 4952, line 4g are more than zero

**Form 990-T trusts.** Complete this part **only** if both lines 18a and 19 are gains, or qualified dividends are included in income in Part I of Form 990-T, and Form 990-T, line 34, is more than zero. Skip this part and complete the **Schedule D Tax Worksheet** in the instructions if either line 18b, col. (2) or line 18c, col. (2) is more than zero.

<b>21</b> Enter taxable income from Form 1041, line 22 (or Form 990-T, line 34). . .	<b>21</b>		
<b>22</b> Enter the <b>smaller</b> of line 18a or 19 in column (2) but not less than zero. . . . .	<b>22</b>		
<b>23</b> Enter the estate's or trust's qualified dividends from Form 1041, line 2b(2) (or enter the qualified dividends included in income in Part I of Form 990-T) . .	<b>23</b>		
<b>24</b> Add lines 22 and 23 . . . . .	<b>24</b>		
<b>25</b> If the estate or trust is filing Form 4952, enter the amount from line 4g; otherwise, enter -0- . . . ▶	<b>25</b>		
<b>26</b> Subtract line 25 from line 24. If zero or less, enter -0- . . . . .	<b>26</b>		
<b>27</b> Subtract line 26 from line 21. If zero or less, enter -0- . . . . .	<b>27</b>		
<b>28</b> Enter the <b>smaller</b> of the amount on line 21 or \$2,450 . . . . .	<b>28</b>		
<b>29</b> Enter the <b>smaller</b> of the amount on line 27 or line 28 . . . . .	<b>29</b>		
<b>30</b> Subtract line 29 from line 28. If zero or less, enter -0-. This amount is taxed at 0% . . . . . ▶	<b>30</b>		
<b>31</b> Enter the smaller of line 21 or line 26 . . . . .	<b>31</b>		
<b>32</b> Subtract line 30 from line 26. . . . .	<b>32</b>		
<b>33</b> Enter the <b>smaller</b> of line 21 or \$11,950 . . . . .	<b>33</b>		
<b>34</b> Add lines 27 and 30 . . . . .	<b>34</b>		
<b>35</b> Subtract line 34 from line 33. If zero or less, enter -0- . . . . .	<b>35</b>		
<b>36</b> Enter the <b>smaller</b> of line 32 or line 35 . . . . .	<b>36</b>		
<b>37</b> Multiply line 36 by 15%. . . . . ▶	<b>37</b>		
<b>38</b> Enter the amount from line 31 . . . . .	<b>38</b>		
<b>39</b> Add lines 30 and 36 . . . . .	<b>39</b>		
<b>40</b> Subtract line 39 from line 38. If zero or less, enter -0- . . . . .	<b>40</b>		
<b>41</b> Multiply line 40 by 20% . . . . . ▶	<b>41</b>		
<b>42</b> Figure the tax on the amount on line 27. Use the 2013 Tax Rate Schedule for Estates and Trusts (see the Schedule G instructions in the instructions for Form 1041) . . . .	<b>42</b>		
<b>43</b> Add lines 37, 41, and 42 . . . . .	<b>43</b>		
<b>44</b> Figure the tax on the amount on line 21. Use the 2013 Tax Rate Schedule for Estates and Trusts (see the Schedule G instructions in the instructions for Form 1041) . . . .	<b>44</b>		
<b>45</b> Tax on all taxable income. Enter the <b>smaller</b> of line 43 or line 44 here and on Form 1041, Schedule G, line 1a (or Form 990-T, line 36) . . . . . ▶	<b>45</b>		

Schedule D (Form 1041) 2013

Name(s) shown on return (Name and SSN or taxpayer identification no not required if shown on other side)

Social security number or taxpayer identification number

DOTY FAMILY FOUNDATION

13-2921496

Most brokers issue their own substitute statement instead of using Form 1099-B. They also may provide basis information (usually your cost) to you on the statement even if it is not reported to the IRS. Before you check Box D, E, or F below, determine whether you received any statement(s) and, if so, the transactions for which basis was reported to the IRS. Brokers are required to report basis to the IRS for most stock you bought in 2011 or later.

**Part II Long-Term.** Transactions involving capital assets you held more than one year are long term. For short-term transactions, see page 1.

**Note.** You may aggregate all long-term transactions reported on Form(s) 1099-B showing basis was reported to the IRS and for which no adjustments or codes are required. Enter the total directly on Schedule D, line 8a; you are not required to report these transactions on Form 8949 (see instructions).

**You must check Box D, E, or F below. Check only one box.** If more than one box applies for your long-term transactions, complete a separate Form 8949, page 2, for each applicable box. If you have more long-term transactions than will fit on this page for one or more of the boxes, complete as many forms with the same box checked as you need.

- ☒ (D) Long-term transactions reported on Form(s) 1099-B showing basis was reported to the IRS (see **Note** above)  
☐ (E) Long-term transactions reported on Form(s) 1099-B showing basis was **not** reported to the IRS  
☐ (F) Long-term transactions not reported to you on Form 1099-B

1	(a) Description of property (Example 100 sh XYZ Co)	(b) Date acquired (Mo, day, yr)	(c) Date sold or disposed (Mo, day, yr)	(d) Proceeds (sales price) (see instructions)	(e) Cost or other basis. See the <b>Note</b> below and see <i>Column (e)</i> in the separate instructions	Adjustment, if any, to gain or loss. If you enter an amount in column (g), enter a code in column (f). See the separate instructions.		(h) Gain or (loss). Subtract column (e) from column (d) and combine the result with column (g)
						(f) Code(s) from instructions	(g) Amount of adjustment	
	SEE ATTACHED STATEMENT	VAR	VAR	882,156.	608,992.			273,164.
<b>2 Totals.</b> Add the amounts in columns (d), (e), (g), and (h) (subtract negative amounts). Enter each total here and include on your Schedule D, line 8b (if <b>Box D</b> above is checked), line 9 (if <b>Box E</b> above is checked), or line 10 (if <b>Box F</b> above is checked) ▶				882,156.	608,992.			273,164.

**Note.** If you checked Box D above but the basis reported to the IRS was incorrect, enter in column (e) the basis as reported to the IRS, and enter an adjustment in column (g) to correct the basis. See *Column (g)* in the separate instructions for how to figure the amount of the adjustment.

**THE DOTY FAMILY FOUNDATION**  
**CHARITABLE CONTRIBUTIONS**  
**FYE 2/28/2014**  
**EIN: 13-2921496**

DATE	NAME OF ORGANIZATION	CITY	STATE	AMOUNT
3/4/2013	St Lawrence Church	Shelton	CT	\$600 00
3/8/2013	Gettysburg Community Soup Kitchen	Gettysburg	PA	\$375.00
3/8/2013	Church of the Resurrection	Rye	NY	\$150,000.00
3/8/2013	Church of the Resurrection	Rye	NY	\$150,000.00
3/8/2013	Church of the Resurrection	Rye	NY	\$150,000.00
3/11/2013	American Cancer Society	Atlanta	GA	\$150 00
3/11/2013	Society for the Propagation of the Faith	Syracuse	NY	\$11,250.00
3/13/2013	The Dalton School	New York	NY	\$187.50
3/18/2013	Church of the Good Shepherd	Denver	CO	\$150.00
3/21/2013	Horace Mann School	Bronx	NY	\$1,875 00
3/22/2013	Greenwich Council BSA	Greenwich	CT	\$270.00
3/28/2013	St Joseph Church	West Orange	NJ	\$375 00
4/2/2013	College of Mount Saint Vincent	Riverdale	NY	\$2,250.00
4/3/2013	American Heart Association	Dallas	TX	\$375.00
4/3/2013	St. Lawrence Church	Shelton	CT	\$375.00
4/12/2013	Greenwich Council BSA	Greenwich	CT	\$375.00
4/19/2013	Collegiate School	New York	NY	\$5,000.00
4/22/2013	St. Lawrence Church	Shelton	CT	\$600 00
4/23/2013	Greenwich Council BSA	Greenwich	CT	\$750.00
4/25/2013	St Paul Endowment Appeal	Princeton	NJ	\$900.00
4/25/2013	Catholic Big Sisters and Big Brothers	New York	NY	\$3,750.00
4/25/2013	Arthritis Foundation	Denver	CO	\$150.00
4/29/2013	Asian Relief, Inc	Anapolis	MD	\$224,895.00
4/29/2013	Make-A-Wish Georgia	Atlanta	GA	\$750 00
4/30/2013	Church of the Good Shepherd	Denver	CO	\$150 00
4/30/2013	Columbia Business School	New York	NY	\$5,000 00
4/30/2013	Barnard College	New York	NY	\$2,500.00
4/30/2013	Trustees of the University of Pennsylvania	Philadelphia	PA	\$150.00
5/2/2013	St Vincent's Hospital Westchester	Harrison	NY	\$7,786.35
5/2/2013	St Luke's Church	Bronx	NY	\$375.00
5/7/2013	MathCounts	New York	NY	\$1,875 00
5/10/2013	Church of the Resurrection	Rye	NY	\$30,399 60
5/13/2013	St. Lawrence Church	Shelton	CT	\$600.00
5/21/2013	St. Andrew's School	Middleton	DE	\$375.00
5/22/2013	St. Luke's Church	Bronx	NY	\$750 00
5/22/2013	Trustees of the University of Pennsylvania	Philadelphia	PA	\$750 00
5/24/2013	Parkinson's Unity Walk	New York	NY	\$375.00
6/10/2013	St Lawrence Church	Shelton	CT	\$600.00
6/11/2013	Alzheimer's Association	Chicago	IL	\$300.00
6/11/2013	Alzheimer's Association	Chicago	IL	\$150.00
6/11/2013	Alzheimer's Association	Chicago	IL	\$150 00
6/11/2013	Alzheimer's Association	Chicago	IL	\$600.00
6/12/2013	The Public Theater	New York	NY	\$1,500 00
6/14/2013	Trustees of the University of Pennsylvania	Philadelphia	PA	\$3,750.00
6/14/2013	Trustees of the University of Pennsylvania	Philadelphia	PA	\$750.00
6/20/2013	Trustees of the University of Pennsylvania	Philadelphia	PA	\$1,125.00
6/21/2013	Diocese of Syracuse (Peter Daino Ministries)	Syracuse	NY	\$52,277.76

**THE DOTY FAMILY FOUNDATION**  
**CHARITABLE CONTRIBUTIONS**  
**FYE 2/28/2014**  
**EIN: 13-2921496**

DATE	NAME OF ORGANIZATION	CITY	STATE	AMOUNT
6/21/2013	School of the Holy Child	Rye	NY	\$6,000.00
7/3/2013	Church of the Resurrection	Rye	NY	\$500,000.00
7/8/2013	St. Lawrence Church	Shelton	CT	\$600.00
7/8/2013	St. Lawrence Church	Shelton	CT	\$3,000.00
7/9/2013	University of Pennsylvania	Philadelphia	PA	\$1,500.00
7/11/2013	Collegiate School	New York	NY	\$750.00
7/11/2013	Anchor House Foundation	Trenton	NJ	\$750.00
7/12/2013	Luca John Foundation	Trenton	NJ	\$450.00
7/17/2013	Abbey of Regina Laudis	Bethlehem	CT	\$750.00
7/17/2013	Greenwich Council BSA	Greenwich	CT	\$750.00
7/22/2013	Breast Cancer Research Foundation	New York	NY	\$3,750.00
7/24/2013	Central New Jersey Council BSA	Dayton	NJ	\$495.00
8/5/2013	Mount Sinai Adolescent Health Center	New York	NY	\$3,750.00
8/5/2013	Trustees of the University of Pennsylvania	Philadelphia	PA	\$84,465.00
8/6/2013	St. Lawrence Church	Shelton	CT	\$600.00
8/29/2013	Perlman Music Program	New York	NY	\$750.00
9/3/2013	St. Lawrence Church	Shelton	CT	\$600.00
9/9/2013	Hackensack UMC Foundation	Hackensack	NJ	\$3,330.00
9/24/2013	Church of the Resurrection	Rye	NY	\$300,000.00
9/25/2013	Greenwich Council BSA	Greenwich	CT	\$750.00
9/26/2013	Millburn Free Public Library	Millburn	NJ	\$375.00
9/26/2013	Millburn Free Public Library	Millburn	NJ	\$750.00
9/27/2013	Greenwich Council BSA	Greenwich	CT	\$750.00
10/1/2013	Millburn Free Public Library	Millburn	NJ	\$750.00
10/7/2013	God's Love We Deliver	New York	NY	\$600.00
10/7/2013	BSA Troop 28	Lawrenceville	NJ	\$600.00
10/7/2013	The Walters Art Museum	Baltimore	MD	\$375.00
10/7/2013	God's Love We Deliver	New York	NY	\$2,250.00
10/8/2013	MathCounts	New York	NY	\$3,000.00
10/11/2013	STEM Advantage	Coto de Casa	CA	\$3,750.00
10/15/2013	St. Joseph Church	West Orange	NJ	\$750.00
10/15/2013	Sharay Tefilo -- Israel	South Orange	NJ	\$750.00
10/15/2013	Mount Carmel Guild	Trenton	NJ	\$150.00
10/22/2013	Greenwich Council BSA	Greenwich	CT	\$3,750.00
10/23/2013	Divine Word Missionaries	Techny	IL	\$150.00
10/23/2013	Cardinal Spellman High School	Bronx	NY	\$1,387.50
10/23/2013	Catholic Charities	New York	NY	\$3,750.00
10/31/2013	Georgetown University	Washington	DC	\$1,500.00
11/1/2013	United American Muslim Association of New York	Brooklyn	NY	\$600.00
11/4/2013	The Public Theater	New York	NY	\$15,000.00
11/4/2013	St. Lawrence Church	Shelton	CT	\$600.00
11/6/2013	Babson College	Babson	MA	\$300.00
11/6/2013	Connecticut Food Bank	Fairfield	CT	\$3,750.00
11/7/2013	Trenton Area Soup Kitchen	Trenton	NJ	\$300.00
11/7/2013	Greenwich Council BSA	Greenwich	CT	\$18,750.00
11/13/2013	Hands Inc.	Arlington	VA	\$375.00
11/13/2013	Amherst College Alumni Fund	Amherst	MA	\$750.00
11/15/2013	The Metropolitan Opera	New York	NY	\$14,265.00

**THE DOTY FAMILY FOUNDATION**  
**CHARITABLE CONTRIBUTIONS**  
**FYE 2/28/2014**  
**EIN: 13-2921496**

DATE	NAME OF ORGANIZATION	CITY	STATE	AMOUNT
11/18/2013	Mount Sinai Medical Center (SAVI)	New York	NY	\$300.00
11/21/2013	Georgetown University	Washington	DC	\$780.00
11/27/2013	The Wharton School	Philadelphia	PA	\$750.00
12/2/2013	St Lawrence Church	Shelton	CT	\$600.00
12/5/2013	Trustees of the University of Pennsylvania	Philadelphia	PA	\$7,500.00
12/16/2013	International F.O.P. Association	Winter Springs	FL	\$375.00
12/18/2013	Women of Vision	Federal Way	WA	\$750.00
12/19/2013	St Lawrence Church	Shelton	CT	\$750.00
12/19/2013	Cathedral of Mary Our Queen	Baltimore	MD	\$3,750.00
12/20/2013	St. John the Martyr	New York	NY	\$7,500.00
12/23/2013	Trustees of the University of Pennsylvania	Philadelphia	PA	\$1,500.00
12/24/2013	City Harvest	New York	NY	\$750.00
12/24/2013	St Lawrence Church	Shelton	CT	\$12,000.00
12/26/2013	Sag Harbor Community Food Pantry	Sag Harbor	NY	\$375.00
12/27/2013	St Andrew Church	Sag Harbor	NY	\$3,750.00
12/27/2013	The Dalton School	New York	NY	\$300.00
12/27/2013	New York City Ballet	New York	NY	\$750.00
12/30/2013	The Doe Fund	New York	NY	\$750.00
12/30/2013	The Metropolitan Museum of Art	New York	NY	\$900.00
1/6/2014	Cambridge in America	New York	NY	\$3,000.00
1/7/2014	James Wilson Institute	Washington	DC	\$7,500.00
1/7/2014	Rosemont College	Rosemont	PA	\$750.00
1/7/2014	College of Mount Saint Vincent	Riverdale	NY	\$6,000.00
1/7/2014	FISH of Stamford	Stamford	CT	\$750.00
1/7/2014	Carnegie Hall Society	New York	NY	\$750.00
1/7/2014	Collegiate School	New York	NY	\$750.00
1/7/2014	Collegiate School	New York	NY	\$1,875.00
1/8/2014	Church of St Ignatius Loyola	New York	NY	\$750.00
1/8/2014	Yale Law School Fund	New Haven	CT	\$750.00
1/9/2014	Trustees of the University of Pennsylvania	Philadelphia	PA	\$67,962.00
1/9/2014	Trustees of the University of Pennsylvania	Philadelphia	PA	\$750.00
1/9/2014	The Dalton School	New York	NY	\$1,875.00
1/10/2014	Sisters of Mary	Annapolis	MD	\$3,000.00
1/10/2014	School of the Holy Child	Rye	NY	\$750.00
1/10/2014	Amherst College Alumni Fund	Amherst	MA	\$750.00
1/10/2014	Amherst College Sports Information Fund	Amherst	MA	\$750.00
1/13/2014	New York Philharmonic	New York	NY	\$750.00
1/13/2014	Catholic Big Sisters and Big Brothers	New York	NY	\$750.00
1/13/2014	The Mount Sinai Adolescent Health Center	New York	NY	\$1,875.00
1/13/2014	Little Sisters of the Assumption	New York	NY	\$1,875.00
1/13/2014	Catholic Big Sisters and Big Brothers	New York	NY	\$1,875.00
1/13/2014	St. Lawrence Church	Shelton	CT	\$600.00
1/14/2014	Columbia Business School	New York	NY	\$3,750.00
1/31/2014	Church of Saint Anne	Garden City	NY	\$375.00
2/3/2014	The Metropolitan Opera	New York	NY	\$750.00
2/4/2014	Cambridge in America	New York	NY	\$7,500.00
2/7/2014	Building Blocks For Change	New York	NY	\$750.00
2/10/2014	St Lawrence Church	Shelton	CT	\$600.00



THE DOTY FAMILY FOUNDATION  
 CHARITABLE CONTRIBUTIONS  
 FYE 2/28/2014  
 EIN: 13-2921496

DATE	NAME OF ORGANIZATION	CITY	STATE	AMOUNT
2/10/2014	Bridgeport Rescue Mission	Bridgeport	CT	\$750.00
2/11/2014	MathCounts	New York	NY	\$225.00
2/11/2014	Thyroid Cancer Research Fund	Philadelphia	PA	\$375.00
2/12/2014	Greenwich Council BSA	Greenwich	CT	\$1,875.00
2/20/2014	Fordham University	New York	NY	\$10,000.00
2/21/2014	College of Mount Saint Vincent	Riverdale	NY	\$10,000.00
2/21/2014	Columbia Business School	New York	NY	\$5,000.00
2/24/2014	Barnard College	New York	NY	\$2,500.00
2/25/2014	Collegiate School	New York	NY	\$5,000.00

**TOTAL CONTRIBUTIONS PAID \***

\$2,010,825.71

*\* All contributions were made to the general purpose fund of public charitable organizations that were classified under Section 501(c)(3) of the Internal Revenue Code.*

The Doty Family Foundation  
From 01-Jan-2013 To 31-Dec-2013

Base Currency : USD

Realized Gains/Losses Description	Trade Date	Date Sold / Covered	Qty	Proceeds (Base)	Cost (Base)	Gain/Loss (Base)	Gain Type
COCA COLA COM	6/20/2007	5/15/2013	3,000.00	128,061.78	77,614.01	50,447.77	Long-Term
ALLSTATE CORP 7.50% 2013	6/5/2008	6/17/2013	50,000.00	50,000.00	50,000.00	0.00	Long-Term
ATT&T INC	9/23/2009	6/24/2013	3,000.00	103,522.85	82,623.85	20,899.00	Long-Term
CHESAPEAKE ENERGY OKLA	3/19/2008	6/24/2013	2,000.00	39,195.74	88,685.15	(49,489.41)	Long-Term
CHESAPEAKE ENERGY OKLA	9/23/2009	6/24/2013	1,000.00	19,597.88	28,843.55	(9,245.67)	Long-Term
INTL BUSINESS MACHINES	8/14/2007	6/24/2013	750.00	144,707.71	84,199.01	60,508.70	Long-Term
PERKINELMER INC COM	6/17/2010	6/24/2013	3,000.00	98,234.43	68,760.55	29,473.88	Long-Term
AMERICAN EXPRESS 4 87% 13	6/5/2008	7/25/2013	50,000.00	50,000.00	50,000.00	0.00	Long-Term
CELGENE CORP COM	10/26/2011	12/24/2013	600.00	99,937.25	39,500.00	60,437.25	Long-Term
GILEAD SCIENCES INC COM	12/22/2011	12/24/2013	2,000.00	148,898.52	38,766.14	110,132.38	Long-Term
<b>TOTAL LONG-TERM</b>				<b>882,156.16</b>	<b>608,992.26</b>	<b>273,163.90</b>	

DOTY FAMILY FOUNDATION

February 01, 2014 - February 28, 2014

CORPORATE BONDS Description	Acquired	Quantity	Adjusted/Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain/(Loss)	Estimated Accrued Interest	Estimated Current	
								Annual Income	Yield%
CITIGROUP INC SUBORDINATED GLB 05.000% SEP 15 2014 MOODY'S:BA+3 S&P:BBB+ CUSIP: 172967CQ2	06/04/09	50,000	43,569.35	102.3430	51,171.50	7,602.15	1,131.94	2,500	4.88
Δ HEALTH CARE PPTY INV INC 06 000% MAR 01 2015 MOODY'S:BA+1 S&P:BBB+ CUSIP: 421915EC9 ORIGINAL UNIT/TOTAL COST: 107.0847/53,542.35	06/23/10	50,000	50,818.01	105.2600	52,630.00	1,811.99	1,475.00	3,000	5.70
Δ BANK OF AMERICA CORP GLB 04.500% APR 01 2015 MOODY'S:BA+2 S&P:A- CUSIP: 05051GEC1 ORIGINAL UNIT/TOTAL COST: 101.3967/50,698.35	06/23/10	50,000	50,171.12	104.0350	52,017.50	1,846.38	918.75	2,250	4.32

DOTY FAMILY FOUNDATION

## YOUR EMA ASSETS

February 01, 2014 - February 28, 2014

<b>CORPORATE BONDS (continued)</b>	<b>Description</b>	<b>Acquired</b>	<b>Quantity</b>	<b>Adjusted/Total Cost Basis</b>	<b>Estimated Market Price</b>	<b>Estimated Market Value</b>	<b>Unrealized Gain/(Loss)</b>	<b>Estimated Accrued Interest</b>	<b>Estimated Current Annual Income</b>	<b>Yield%</b>
Δ	NABISCO INCORPORATED 07.550% JUN 15 2015 MOODY'S: BAA2 S&P BBB CUSIP 629527AJU6 ORIGINAL UNIT/TOTAL COST: 123 6183/12,361.83	01/24/03	10,000	10,317.67	108.7570	10,875.70	558.03	153.10	755	6.94
Δ	BANK OF AMERICA CORP SUBORDINATED 07.750% AUG 15 2015 MOODY'S: BAA3 S&P BBB+ CUSIP 633585AN9 ORIGINAL UNIT/TOTAL COST: 123 3315/49,332.62	01/24/03	40,000	41,414.36	109.4030	43,761.20	2,346.84	111.94	3,100	7.08
Δ	JP MORGAN CHASE SUBORDINATED 05.150% OCT 01 2015 MOODY'S: BAA1 S&P A- CUSIP: 46625HDF4 ORIGINAL UNIT/TOTAL COST: 100.1817/50,090.85	06/05/09	50,000	50,025.58	106.5290	53,264.50	3,238.92	1,051.46	2,575	4.83
Δ	AMERICAN EXPRESS CREDIT SER MTN 05.300% DEC 02 2015 MOODY'S A2 S&P A- CUSIP: 0258M0BZ1 ORIGINAL UNIT/TOTAL COST: 101.8157/50,907.85	09/17/09	50,000	50,285.08	107.8840	53,942.00	3,656.92	633.06	2,650	4.91
Δ	CITIGROUP INC GLB 05.300% JAN 07 2016 MOODY'S: BAA2 S&P A- CUSIP 172967DE8	09/17/09	50,000	49,430.35	107.8040	53,902.00	4,471.65	375.42	2,650	4.91
Δ	GOLDMAN SACHS GROUP INC GLB 05.350% JAN 15 2016 MOODY'S: BAA1 S&P A- CUSIP: 38141GEE0 ORIGINAL UNIT/TOTAL COST: 104 1047/52,052.35	09/17/09	50,000	50,670.56	108.0090	54,004.50	3,333.94	319.51	2,675	4.95
Δ	GENERAL ELEC CAP CORP SER MTN GLB 05.375% OCT 20 2016 MOODY'S: A1 S&P: AA+ CUSIP: 36962GY40	06/05/08	75,000	74,615.60	111.3740	83,530.50	8,914.90	1,433.33	4,032	4.82

DOTY FAMILY FOUNDATION

## YOUR EMA ASSETS

February 01 2014 - February 28, 2014

CORPORATE BONDS (continued)	Acquired	Quantity	Adjusted/Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain/(Loss)	Estimated Accrued Interest	Estimated Current Annual Income	Yield%
MERRILL LYNCH & CO GLB 06400% AUG 28 2017 MOODY'S: SAA2 S&P: A- CUSIP: 59016YJ69	06/05/09	50,000	46,705.35	115.6870	57,843.50	11,138.15		3,200	5.53
A WALT DISNEY COMPANY SER M7NB GLB 05 875% DEC 15 2017 MOODY'S: A2 S&P: A CUSIP: 25468PCB0 ORIGINAL UNIT/TOTAL COST: 104 6437/52 321.85	06/05/08	50,000	51,063.01	116.1040	58,052.00	6,988.99	595.66	2,938	5.06
GOLDMAN SACHS GROUP INC GLB 05 950% JAN 18 2018 MOODY'S: BAA1 S&P: A- CUSIP: 38141GF64	06/05/09	50,000	47,870.85	114.2270	57,113.50	9,242.65	330.56	2,975	5.20
PEPSICO INC SENIOR NOTES 05.000% JUN 01 2018 MOODY'S: A1 S&P: A- CUSIP: 713448BHC	06/05/08	50,000	49,277.35	113.2560	56,628.00	7,350.65	604.17	2,500	4.41
A ROYAL BK OF SCOTLAND PLC BANK GUARANTEE GLB 06 125% JAN 11 2021 MOODY'S: A3 S&P: A- CUSIP: 78010XHK7 ORIGINAL UNIT/TOTAL COST: 105.8791/79.409.35	05/24/11	75,000	78,362.63	117.3890	88,041.75	9,679.12	599.74	4,594	5.21
A ALCOA INC GLB 05.400% APR 15 2021 MOODY'S: BAA1 S&P: BBB- CUSIP: 013817AV3 PAR CALL DATE: 01/15/21 PAR CALL PRICE: 100.00 ORIGINAL UNIT/TOTAL COST: 102 7607/51,380.35	05/24/11	50,000	51,060.13	105.2950	52,647.50	1,587.37	997.50	2,700	5.12
<b>TOTAL</b>		800,000	795,657.00		879,425.65	83,768.65	10,731.14	45,094	5.13

PLEASE REFER TO NOTES BELOW FOR INFORMATION REGARDING CREDIT RATINGS.

DOTY FAMILY FOUNDATION

## YOUR EMA ASSETS

February 01, 2014 - February 28, 2014

EQUITIES Description	Symbol	Acquired	Quantity	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain/(Loss)/Annual Income	Estimated Current Yield%
ACCENTURE PLC SHS	ACN	06/27/11	1,500	57.7801	86,670.25	83.3500	125,025.00	38,354.75	2,791 2.23
AMERICAN WTR WKS CO INC NEW	AWK	12/22/11	3,000	31.8081	95,424.55	44.8400	134,520.00	39,095.45	3,361 2.49
AMGEN INC COM PV \$0.0001	AMGN	03/08/96	758	15.2421	11,553.54	124.0200	94,007.16	82,453.62	1,850 1.96
		06/25/08	992	46.9807	46,604.91	124.0200	123,027.84	76,422.93	2,421 1.96
Subtotal			1,750		58,158.45		217,035.00	158,876.55	4,271 1.96
AUTOMATIC DATA PROC	ADP	05/24/11	1,500	53.2888	79,933.30	77.7800	116,670.00	36,736.70	2,880 2.46
BANK OF AMERICA CORP	BAC	12/18/09	7,000	15.0506	105,354.65	16.5300	115,710.00	10,355.35	281 2.4
		09/24/12	5,000	9.1658	45,829.35	16.5300	82,650.00	36,820.65	201 2.4
Subtotal			12,000		151,184.00		198,360.00	47,176.00	482 2.4
BORG WARNER INC COM	BWA	06/17/10	3,000	20.5452	61,635.71	61.4500	184,350.00	122,714.29	1,501 .81
CELGENE CORP COM	CELG	10/26/11	900	65.8333	59,250.03	160.7500	144,675.00	85,424.97	
		10/26/11	100	66.3227	6,632.27	160.7500	16,075.00	9,442.73	
Subtotal			1,000		65,882.30		160,750.00	94,867.70	
CISCO SYSTEMS INC COM	CSCO	06/10/03	1,000	17.3690	17,369.01	21.8000	21,800.00	4,430.99	760 3.48
		06/10/03	1,175	17.3690	20,408.58	21.8000	25,615.00	5,206.42	893 3.48
		06/10/03	825	17.3700	14,330.25	21.8000	17,985.00	3,654.75	627 3.48
		06/25/08	1,000	24.9053	24,905.35	21.8000	21,800.00	(3,105.35)	760 3.48
		09/24/12	2,000	18.8201	37,640.35	21.8000	43,600.00	5,959.65	1,520 3.48
Subtotal			6,000		114,653.54		130,800.00	16,146.46	4,560 3.48
CITIGROUP INC COM NEW	C	03/30/00	187	420.8949	78,707.36	48.6300	9,093.81	(69,613.55)	8 .08
		03/19/08	113	205.6756	23,241.35	48.6300	5,495.19	(17,746.16)	5 .08
		09/23/09	700	47.6076	33,325.35	48.6300	34,041.00	715.65	29 .08
		06/17/10	1,000	40.0033	40,003.35	48.6300	48,630.00	8,626.65	41 .08
		09/24/12	1,000	33.5153	33,515.35	48.6300	48,630.00	15,114.65	41 .08
Subtotal			3,000		208,792.76		145,890.00	(62,902.76)	124 .08
EMERSON ELEC CO	EMR	09/27/01	2,000	22.9200	45,840.01	65.2600	130,520.00	84,679.99	3,440 2.63

DOTY FAMILY FOUNDATION

## YOUR EMA ASSETS

February 01, 2014 - February 28, 2014

<b>EQUITIES (continued)</b>	<b>Description</b>	<b>Symbol</b>	<b>Acquired</b>	<b>Quantity</b>	<b>Unit Cost Basis</b>	<b>Total Cost Basis</b>	<b>Estimated Market Price</b>	<b>Estimated Market Value</b>	<b>Unrealized Gain/(Loss)</b>	<b>Annual Income</b>	<b>Estimated Current Yield%</b>
EXXON MOBIL CORP	COM	XOM	06/27/06	1,000	59.7237	59,723.76	96.2700	96,270.00	36,546.24	2,520	2.61
FORD MOTOR CO		F	12/24/13	8,250	15.2104	125,486.60	15.3900	126,967.50	1,480.90	4,126	3.24
FREEMPT-MCMRAN CPR & GLD		FCX	12/24/13	3,500	36.1993	126,697.81	32.6200	114,170.00	(12,527.81)	4,375	3.83
GENERAL ELECTRIC		GE	12/16/02	110	26.4000	2,904.00	25.4700	2,801.70	(102.30)	97	3.45
			06/25/08	890	28.3218	25,206.48	25.4700	22,668.30	(2,538.18)	784	3.45
			06/22/09	3,500	11.6615	40,815.35	25.4700	89,145.00	48,329.65	3,080	3.45
			09/23/09	3,000	17.3608	52,082.65	25.4700	76,410.00	24,327.35	2,640	3.45
<b>Subtotal</b>				7,500		121,008.48		191,025.00	70,016.52	6,601	3.45
GILEAD SCIENCES INC COM		GILD	12/22/11	3,000	19.3830	58,149.21	82.7900	248,370.00	190,220.79		
GLAXOSMITHKLINE PLC ADR		GSK	08/23/05	1,722	47.7205	82,174.77	55.9400	96,328.68	14,153.91	4,252	4.41
			06/25/08	278	44.7391	12,437.47	55.9400	15,551.32	3,113.85	687	4.41
<b>Subtotal</b>				2,000		94,612.24		111,880.00	17,267.76	4,939	4.41
HALLIBURTON COMPANY		HAL	12/24/13	2,500	50.7607	126,901.96	57.0000	142,500.00	15,598.04	1,500	1.05
INTEL CORP		INTC	03/30/00	750	56.4070	42,305.26	24.7600	18,570.00	(23,735.26)	675	3.63
			12/16/02	3,000	18.1900	54,570.00	24.7600	74,280.00	19,710.00	2,700	3.63
			12/16/02	485	18.2130	8,833.31	24.7600	12,008.60	3,175.29	437	3.63
			12/16/02	15	18.2100	273.15	24.7600	371.40	98.25	14	3.63
<b>Subtotal</b>				4,250		105,981.72		105,230.00	(751.72)	3,826	3.63
LOCKHEED MARTIN CORP		LMT	07/17/12	1,250	87.2481	109,060.23	162.3000	202,875.00	93,814.77	6,651	3.27
MCDONALDS CORP COM		MCD	12/28/10	1,000	76.2727	76,272.75	95.1500	95,150.00	18,877.25	3,240	3.40
MERCK AND CO INC SHS		MRK	03/28/06	2,000	35.7798	71,559.67	56.9900	113,980.00	42,420.33	3,521	3.08
			06/25/08	1,000	36.8046	36,804.65	56.9900	56,990.00	20,185.35	1,761	3.08
<b>Subtotal</b>				3,000		108,364.32		170,970.00	62,605.68	5,282	3.08
MICROSOFT CORP		MSFT	09/29/00	2,277	30.0824	68,497.85	38.3100	87,231.87	18,734.02	2,551	2.92
			06/22/09	1,723	23.4331	40,375.24	38.3100	66,008.13	25,632.89	1,930	2.92
<b>Subtotal</b>				4,000		108,873.09		153,240.00	44,366.91	4,481	2.92

DOTY FAMILY FOUNDATION

**YOUR EMA ASSETS**

February 01, 2014 - February 28, 2014

<b>EQUITIES</b> (continued)	<b>Description</b>	<b>Symbol</b>	<b>Acquired</b>	<b>Quantity</b>	<b>Unit Cost Basis</b>	<b>Total Cost Basis</b>	<b>Estimated Market Price</b>	<b>Estimated Market Value</b>	<b>Unrealized Gain/(Loss)</b>	<b>Annual Income</b>	<b>Current Yield%</b>
	MONSANTO CO NEW DEL COM	MON	09/23/09 06/17/10	1,000 500	78.1148 50.1087	78,114.85 25,054.35	110.0200 110.0200	110,020.00 55,010.00	31,905.15 29,955.65	1,721 861	1.56 1.56
	<b>Subtotal</b>			1,500		103,169.20		<b>165,030.00</b>	<b>61,860.80</b>	<b>2,582</b>	<b>1.56</b>
	NATIONAL GRID PLC SP ADR	NGG	11/14/11	2,000	49.8226	99,645.35	69.8000	<b>139,600.00</b>	39,954.65	<b>6,296</b>	4.51
	NATIONAL-OILWELL VARCO INC	NOV	12/28/10	1,250	65.4418	81,802.35	77.0400	<b>96,300.00</b>	14,497.65	<b>1,300</b>	1.34
	NOVARTIS ADR	NVS	09/23/09	1,750	49.1821	86,068.78	83.1800	<b>145,565.00</b>	59,496.22	<b>3,093</b>	2.12
	OLIN CORP \$1 NEW	OLN	03/26/10	5,000	19.2856	96,428.35	26.1900	<b>130,950.00</b>	34,521.65	<b>4,000</b>	3.05
	PEPSICO INC	PEP	05/25/06	1,500	60.4635	90,695.35	80.0700	<b>120,105.00</b>	29,409.65	<b>3,405</b>	2.83
	PFIZER INC	PFE	09/24/12	5,000	24.7785	123,892.85	32.1100	<b>160,550.00</b>	36,657.15	<b>5,201</b>	3.23
	PRICE T ROWE GROUP INC	TROW	06/17/10	1,600	49.1657	78,665.19	81.1700	<b>129,872.00</b>	51,206.81	<b>2,817</b>	2.16
	PROCTER & GAMBLE CO	PG	03/30/00	1,562	29.2379	45,669.66	78.6600	<b>122,866.92</b>	77,197.26	<b>3,759</b>	3.05
	SCHLUMBERGER LTD	SLB	06/17/10	1,000	60.6593	60,659.35	93.0000	<b>93,000.00</b>	32,340.65	<b>1,600</b>	1.72
	TEXAS INSTRUMENTS	TXN	12/18/09	4,000	25.2032	100,812.95	44.9600	<b>179,840.00</b>	79,027.05	<b>4,800</b>	2.66
	UNITED TECHS CORP COM	UTX	06/27/97	1,250	21.2642	26,580.33	117.0200	<b>146,275.00</b>	119,694.67	<b>2,950</b>	2.01
	WAL-MART STORES INC	WMT	06/20/07	2,000	48.8716	97,743.35	74.7000	<b>149,400.00</b>	51,656.65	<b>3,841</b>	2.57
	WASTE MANAGEMENT INC NEW	WM	12/24/13	2,750	45.1318	124,112.62	41.5000	<b>114,125.00</b>	(9,987.62)	<b>4,125</b>	3.61
	<b>TOTAL</b>					<b>3,405,252.72</b>		<b>5,196,046.42</b>	<b>1,790,793.70</b>	<b>120,720</b>	<b>2.32</b>



DOTY FAMILY FOUNDATION

YOUR EMA ASSETS

February 01, 2014 - February 28, 2014

LONG PORTFOLIO	Adjusted/Total Cost Basis	Estimated Market Value	Unrealized Gain/(Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield%
TOTAL	4,200,909.72	6,075,472.07	1,874,562.35	10,731.14	205,446	2.52

Notes