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Form

990-PF

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

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

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

OMB No 1545-0052

2013

Open to Public Inspection

For calendar year 2013, or tax year beginning 04-01-2013 , and ending 03-31-2014

Name of foundation JOHN AND KELLY HARTMAN FOUNDATION		A Employer identification number 22-3139258	
Number and street (or P O box number if mail is not delivered to street address) CUMMINGS LOCKWOOD LLC PO BOX 271820		B Telephone number (see instructions) (860) 313-4930	
City or town, state or province, country, and ZIP or foreign postal code WEST HARTFORD, CT 06127		C If exemption application is pending, check here <input type="checkbox"/>	
G Check all that apply <div><input type="checkbox"/> Initial return</div> <div><input type="checkbox"/> Initial return of a former public charity</div> <div><input type="checkbox"/> Final return</div> <div><input type="checkbox"/> Amended return</div> <div><input type="checkbox"/> Address change</div> <div><input type="checkbox"/> Name change</div>		D 1. Foreign organizations, check here <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/>	
H Check type of organization <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/>	
I Fair market value of all assets at end of year (from Part II, col. (c), line 16) <input checked="" type="checkbox"/> \$ 13,012,099		F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>	
J Accounting method <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____ (Part I, column (d) must be on cash basis.)			

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions))		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc , received (attach schedule)	81,333			
	2 Check <input type="checkbox"/> if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments	254	254		
	4 Dividends and interest from securities.	215,839	215,839		
	5a Gross rents				
	b Net rental income or (loss) _____				
	6a Net gain or (loss) from sale of assets not on line 10	160,485			
	b Gross sales price for all assets on line 6a 1,646,354				
	7 Capital gain net income (from Part IV, line 2) . . .		160,485		
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less returns and allowances				
	b Less Cost of goods sold				
Operating and Administrative Expenses	c Gross profit or (loss) (attach schedule)				
	11 Other income (attach schedule)				
	12 Total. Add lines 1 through 11	457,911	376,578		
	13 Compensation of officers, directors, trustees, etc	0	0		0
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees (attach schedule)	59,243	59,243		0
	b Accounting fees (attach schedule)				
	c Other professional fees (attach schedule)	59,226	59,226		0
	17 Interest	47	47		0
	18 Taxes (attach schedule) (see instructions)				
	19 Depreciation (attach schedule) and depletion . . .				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses (attach schedule)	750	750		0
	24 Total operating and administrative expenses.				
	Add lines 13 through 23	119,266	119,266		0
	25 Contributions, gifts, grants paid	592,180			592,180
	26 Total expenses and disbursements. Add lines 24 and 25	711,446	119,266		592,180
	27 Subtract line 26 from line 12				
	a Excess of revenue over expenses and disbursements	-253,535			
	b Net investment income (if negative, enter -0-)		257,312		
	c Adjusted net income (if negative, enter -0-)				

Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)	Beginning of year	End of year	
			(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash—non-interest-bearing			
	2	Savings and temporary cash investments	2,789,470	2,648,669	2,648,669
	3	Accounts receivable ▶ _____ Less allowance for doubtful accounts ▶ _____			
	4	Pledges receivable ▶ _____ Less allowance for doubtful accounts ▶ _____			
	5	Grants receivable			
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
	7	Other notes and loans receivable (attach schedule) ▶ _____ Less allowance for doubtful accounts ▶ _____			
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges			
	10a	Investments—U S and state government obligations (attach schedule)			
	b	Investments—corporate stock (attach schedule)	9,068,087	8,955,353	10,363,430
	c	Investments—corporate bonds (attach schedule).			
	11	Investments—land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
	12	Investments—mortgage loans			
	13	Investments—other (attach schedule)			
	14	Land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
15	Other assets (describe ▶ _____)				
16	Total assets (to be completed by all filers—see the instructions Also, see page 1, item I)	11,857,557	11,604,022	13,012,099	
Liabilities	17	Accounts payable and accrued expenses			
	18	Grants payable			
	19	Deferred revenue			
	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable (attach schedule)			
	22	Other liabilities (describe ▶ _____)			
	23	Total liabilities (add lines 17 through 22)	0	0	
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ <input type="checkbox"/> and complete lines 24 through 26 and lines 30 and 31.				
	24	Unrestricted			
	25	Temporarily restricted			
	26	Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ <input checked="" type="checkbox"/> and complete lines 27 through 31.				
	27	Capital stock, trust principal, or current funds	1,111,458	1,111,458	
	28	Paid-in or capital surplus, or land, bldg , and equipment fund	0	0	
	29	Retained earnings, accumulated income, endowment, or other funds	10,746,099	10,492,564	
	30	Total net assets or fund balances (see page 17 of the instructions)	11,857,557	11,604,022	
	31	Total liabilities and net assets/fund balances (see page 17 of the instructions)	11,857,557	11,604,022	

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	11,857,557
2	Enter amount from Part I, line 27a	2	-253,535
3	Other increases not included in line 2 (itemize) ▶ _____	3	0
4	Add lines 1, 2, and 3	4	11,604,022
5	Decreases not included in line 2 (itemize) ▶ _____	5	0
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	11,604,022

Part IV Capital Gains and Losses for Tax on Investment Income

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

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

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

2 Capital gain net income or (net capital loss)	{ If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 }	2	160,485
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) (see instructions) If (loss), enter -0- in Part I, line 8		3	

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

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

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

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period? ☐ Yes ☒ No
If "Yes," the foundation does not qualify under section 4940(e) Do not complete this part

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2012	519,975	11,998,059	0 043338
2011	628,146	11,977,490	0 052444
2010	558,404	11,515,400	0 048492
2009	582,711	10,535,211	0 055311
2008	659,068	11,638,732	0 056627

2 Total of line 1, column (d).	2	0 256212
3 Average distribution ratio for the 5-year base period—divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years	3	0 051242
4 Enter the net value of noncharitable-use assets for 2013 from Part X, line 5.	4	12,400,286
5 Multiply line 4 by line 3.	5	635,415
6 Enter 1% of net investment income (1% of Part I, line 27b).	6	2,573
7 Add lines 5 and 6.	7	637,988
8 Enter qualifying distributions from Part XII, line 4. If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate See the Part VI instructions	8	592,180


Part VI

Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948—see page 18 of the instructions)

1a	Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1		
	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 type="checkbox"/> and enter 1% of Part I, line 27b	1	5,146
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	5,146
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	5,146
6	Credits/Payments		
a	2013 estimated tax payments and 2012 overpayment credited to 2013	6a	3,825
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	3,825
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	1,321
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

1a	During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?	1a	Yes	No
b	Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see page 19 of the instructions for definition)?	1b		No
	<i>If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.</i>			
c	Did the foundation file Form 1120-POL for this year?	1c		No
d	Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation <input 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?	2		No
	<i>If "Yes," attach a detailed description of the activities.</i>			
3	Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? <i>If "Yes," attach a conformed copy of the changes</i>	3		No
4a	Did the foundation have unrelated business gross income of \$1,000 or more during the year?	4a		No
b	If "Yes," has it filed a tax return on Form 990-T for this year?	4b		
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year?	5		No
	<i>If "Yes," attach the statement required by General Instruction T.</i>			
6	Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	6	Yes	
7	Did the foundation have at least \$5,000 in assets at any time during the year? <i>If "Yes," complete Part II, col. (c), and Part XV.</i>	7	Yes	
8a	Enter the states to which the foundation reports or with which it is registered (see instructions): <input type="checkbox"/> FL _____			
b	If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? <i>If "No," attach explanation.</i>	8b	Yes	
9	Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2013 or the taxable year beginning in 2013 (see instructions for Part XIV)? <i>If "Yes," complete Part XIV</i>	9		No
10	Did any persons become substantial contributors during the tax year? <i>If "Yes," attach a schedule listing their names and addresses.</i> 	10	Yes	

Part VII-A

Statements Regarding Activities *(continued)*

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions).	11		No
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		No
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	Yes	
Website address ▶N/A				
14	The books are in care of ▶PAUL L BOURDEAU ESQ Telephone no ▶(860) 313-4930 Located at ▶CUMMINGS LOCKWOOD PO BOX 271820 W HRTFD CT ZIP +4 ▶06127			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 —Check here ▶ <input type="checkbox"/> and enter the amount of tax-exempt interest received or accrued during the year ▶	15		
16	At any time during calendar year 2013, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country?	16	Yes	No
See instructions for exceptions and filing requirements for Form TD F 90-22.1 If "Yes", enter the name of the foreign country ▶				

Part VII-B

Statements Regarding Activities for Which Form 4720 May Be Required

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

Part VII-B

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

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

Part VIII

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

1 List all officers, directors, trustees, foundation managers and their compensation (see instructions).				
(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
LARRY BIEHL	TRUSTEE 0 00	0	0	0
CUMMINGS LOCKWOOD PO BOX 271820 WEST HARTFORD, CT 06127				
PAUL L BOURDEAU	TRUSTEE 0 00	0	0	0
CUMMINGS LOCKWOOD PO BOX 271820 WEST HARTFORD, CT 06127				
2 Compensation of five highest-paid employees (other than those included on line 1—see instructions). If none, enter "NONE."				
(a) Name and address of each employee paid more than \$50,000	(b) Title, and average hours per week devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
NONE				
Total number of other employees paid over \$50,000.				0

Part VIII

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

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

Part IX-A

Summary of Direct Charitable Activities

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

Part IX-B

Summary of Program-Related Investments (see instructions)

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

Part X

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc , purposes		
a	Average monthly fair market value of securities.	1a	10,041,360
b	Average of monthly cash balances.	1b	2,547,763
c	Fair market value of all other assets (see instructions).	1c	0
d	Total (add lines 1a, b, and c).	1d	12,589,123
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	12,589,123
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	188,837
5	Net value of noncharitable-use assets. Subtract line 4 from line 3 Enter here and on Part V, line 4	5	12,400,286
6	Minimum investment return. Enter 5% of line 5.	6	620,014

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	620,014
2a	Tax on investment income for 2013 from Part VI, line 5.	2a	5,146
b	Income tax for 2013 (This does not include the tax from Part VI).	2b	
c	Add lines 2a and 2b.	2c	5,146
3	Distributable amount before adjustments Subtract line 2c from line 1.	3	614,868
4	Recoveries of amounts treated as qualifying distributions.	4	0
5	Add lines 3 and 4.	5	614,868
6	Deduction from distributable amount (see instructions).	6	0
7	Distributable amount as adjusted Subtract line 6 from line 5 Enter here and on Part XIII, line 1.	7	614,868

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	592,180
b	Program-related investments—total from Part IX-B.	1b	0
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc , purposes.	2	
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required).	3a	
b	Cash distribution test (attach the required schedule).	3b	
4	Qualifying distributions. Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4	4	592,180
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	0
6	Adjusted qualifying distributions. Subtract line 5 from line 4.	6	592,180
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				614,868
2 Undistributed income, if any, as of the end of 2013				
a Enter amount for 2012 only.			17,904	
b Total for prior years 20____, 20____, 20____		0		
3 Excess distributions carryover, if any, to 2013				
a From 2008.				
b From 2009.				
c From 2010.				
d From 2011.				
e From 2012.				
f Total of lines 3a through e.	0			
4 Qualifying distributions for 2013 from Part XII, line 4 ▶ \$ 592,180				
a Applied to 2012, but not more than line 2a			17,904	
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.				574,276
e Remaining amount distributed out of corpus	0			
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	0			
b Prior years' undistributed income Subtract line 4b from line 2b.		0		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed.		0		
d Subtract line 6c from line 6b Taxable amount—see instructions		0		
e Undistributed income for 2012 Subtract line 4a from line 2a Taxable amount—see instructions			0	
f Undistributed income for 2013 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2014				40,592
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions).	0			
8 Excess distributions carryover from 2008 not applied on line 5 or line 7 (see instructions). . . .	0			
9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a	0			
10 Analysis of line 9				
a Excess from 2009.				
b Excess from 2010.				
c Excess from 2011.				
d Excess from 2012.				
e Excess from 2013.				

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

1a

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

b

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

☐ 4942(j)(3) or ☐ 4942(j)(5)

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

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

1

Information Regarding Foundation Managers:

a

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

b

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

2

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

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

a

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

PAUL L BOURDEAU ESQ CUMMINGS LOCKWO
PO BOX 271820
W HARTFORD,CT 06127
(860) 313-4930

b

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

LETTER

c

Any submission deadlines

NONE

d

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

NONE

Part XV

Supplementary Information (continued)

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a Paid during the year See Additional Data Table				
Total			3a	592,180
b Approved for future payment				
Total			3b	0

Enter gross amounts unless otherwise indicated

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

Form **990-PF** (2013)

Part XVII

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

1

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

a

Transfers from the reporting foundation to a noncharitable exempt organization of

1a(1)

Cash.

1a(2)

Other assets.

b

Other transactions

1b(1)

Sales of assets to a noncharitable exempt organization.

1b(2)

Purchases of assets from a noncharitable exempt organization.

1b(3)

Rental of facilities, equipment, or other assets.

1b(4)

Reimbursement arrangements.

1b(5)

Loans or loan guarantees.

1b(6)

Performance of services or membership or fundraising solicitations.

c

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

d

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

Yes

No

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

2a

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

Yes

No

1

If "Yes," complete the following schedule

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

Sign Here

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

2014-07-30

Signature of officer or trustee

Date

Title

May the IRS discuss this return with the preparer shown below (see instr.)?

Yes

No

Paid Preparer Use Only

Print/Type preparer's name CAROL J DEROSIER	Preparer's Signature	Date	Check if self-employed	PTIN P01246704	
Firm's name	CUMMINGS & LOCKWOOD LLC			Firm's EIN	06-0312590
Firm's address	PO BOX 271820 WEST HARTFORD, CT 06127			Phone no	(860) 313-4900

Form 990-PF (2013)

Schedule B (Form 990, 990-EZ, or 990-PF) Department of the Treasury Internal Revenue Service	Schedule of Contributors ▶ Attach to Form 990, 990-EZ, or 990-PF. ▶ Information about Schedule B (Form 990, 990-EZ, or 990-PF) and its instructions is at <u>www.irs.gov/form990</u>.	OMB No 1545-0047 2013

Name of the organization JOHN AND KELLY HARTMAN FOUNDATION	Employer identification number 22-3139258
----------------------------------------------------------------------	-----------------------------------------------------

Organization type (check one)

Filers of:	Section:
Form 990 or 990-EZ	<input type="checkbox"/> 501(c)() (enter number) organization
	<input type="checkbox"/> 4947(a)(1) nonexempt charitable trust not treated as a private foundation
	<input type="checkbox"/> 527 political organization
Form 990-PF	<input checked="" type="checkbox"/> 501(c)(3) exempt private foundation
	<input type="checkbox"/> 4947(a)(1) nonexempt charitable trust treated as a private foundation
	<input type="checkbox"/> 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 33¹/₃% 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 for 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 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 990PF, Part I, line 2, to certify that it does not meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF).

Name of organization JOHN AND KELLY HARTMAN FOUNDATION	Employer identification number 22-3139258
------------------------------------------------------------------	-----------------------------------------------------

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>	JOHN W HARTMAN CHARITABLE LEAD UNITRUST DTD 51794 CUMMINGS LOCKWOOD PO BOX 271820 WEST HARTFORD, CT 06127 	\$ <u>81,333</u>	<div>Person <input checked="" type="checkbox"/></div> <div>Payroll <input type="checkbox"/></div> <div>Noncash <input type="checkbox"/></div> <div>(Complete Part II for noncash contributions)</div>
 	 	\$ 	<div>Person <input type="checkbox"/></div> <div>Payroll <input type="checkbox"/></div> <div>Noncash <input type="checkbox"/></div> <div>(Complete Part II for noncash contributions)</div>
 	 	\$ 	<div>Person <input type="checkbox"/></div> <div>Payroll <input type="checkbox"/></div> <div>Noncash <input type="checkbox"/></div> <div>(Complete Part II for noncash contributions)</div>
 	 	\$ 	<div>Person <input type="checkbox"/></div> <div>Payroll <input type="checkbox"/></div> <div>Noncash <input type="checkbox"/></div> <div>(Complete Part II for noncash contributions)</div>
 	 	\$ 	<div>Person <input type="checkbox"/></div> <div>Payroll <input type="checkbox"/></div> <div>Noncash <input type="checkbox"/></div> <div>(Complete Part II for noncash contributions)</div>
 	 	\$ 	<div>Person <input type="checkbox"/></div> <div>Payroll <input type="checkbox"/></div> <div>Noncash <input type="checkbox"/></div> <div>(Complete Part II for noncash contributions)</div>
 	 	\$ 	<div>Person <input type="checkbox"/></div> <div>Payroll <input type="checkbox"/></div> <div>Noncash <input type="checkbox"/></div> <div>(Complete Part II for noncash contributions)</div>

Name of organization JOHN AND KELLY HARTMAN FOUNDATION	Employer identification number 22-3139258
------------------------------------------------------------------	-----------------------------------------------------

Part II	Noncash Property (see instructions) Use duplicate copies of Part II if additional space is needed		
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
<div>_____</div>	<div>_____</div> <div>_____</div> <div>_____</div> <div>_____</div>	<div>\$ _____</div>	<div>_____</div>
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
<div>_____</div>	<div>_____</div> <div>_____</div> <div>_____</div> <div>_____</div>	<div>\$ _____</div>	<div>_____</div>
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
<div>_____</div>	<div>_____</div> <div>_____</div> <div>_____</div> <div>_____</div>	<div>\$ _____</div>	<div>_____</div>
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
<div>_____</div>	<div>_____</div> <div>_____</div> <div>_____</div> <div>_____</div>	<div>\$ _____</div>	<div>_____</div>
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
<div>_____</div>	<div>_____</div> <div>_____</div> <div>_____</div> <div>_____</div>	<div>\$ _____</div>	<div>_____</div>
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
<div>_____</div>	<div>_____</div> <div>_____</div> <div>_____</div> <div>_____</div>	<div>\$ _____</div>	<div>_____</div>

Name of organization JOHN AND KELLY HARTMAN FOUNDATION	Employer identification number 22-3139258
------------------------------------------------------------------	-----------------------------------------------------

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 See instructions) ▶ \$

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
—	<div></div>	<div></div>	<div></div>
	(e) Transfer of gift		
	Transferee's name, address, and ZIP 4Relationship of transferor to transferee		
—	<div></div>	<div></div>	<div></div>
	(e) Transfer of gift		
	Transferee's name, address, and ZIP 4Relationship of transferor to transferee		
—	<div></div>	<div></div>	<div></div>
	(e) Transfer of gift		
	Transferee's name, address, and ZIP 4Relationship of transferor to transferee		
—	<div></div>	<div></div>	<div></div>
	(e) Transfer of gift		
	Transferee's name, address, and ZIP 4Relationship of transferor to transferee		
—	<div></div>	<div></div>	<div></div>
	(e) Transfer of gift		
	Transferee's name, address, and ZIP 4Relationship of transferor to transferee		

**TY 2013 Investments Corporate
Stock Schedule****Name:** JOHN AND KELLY HARTMAN FOUNDATION**EIN:** 22-3139258

Name of Stock	End of Year Book Value	End of Year Fair Market Value
6,000 SHS BOSTON PROPERTIES INC	234,423	687,180
10,500 SHS SPDR S&P GLOBAL ETF	631,843	528,570
20,789.442 SHS TWEEDY BROWNE GLOBAL VALUE FD	515,827	561,107
194,642.586 SHS WASATCH EMERG MKT SMALL CAP	511,910	500,231
14,800 SHS ISHARES IBOXX INVESTOP BOND FD	1,532,021	1,730,712
75,679.888 SHS VANGUARD INTER TERM TREAS FD ADMIRAL SHS	840,621	846,858
46,404.733 SHS VANGUARD INFLATION PROTECTED SECURITIES FD	544,050	613,935
22,229.265 SHS. ARTISAN INTL FUND INV	600,000	605,260
19,101.768 SHS DODGE & COX INTL STK FD	841,691	844,871
25,604.353 SHS PRIMECAP ODYSSEY AGR GROWTH FD	470,646	794,503
5,284.325 SHS VANGUARD EXPLORER FUND	432,081	550,785
6,800 SHS. SPDR S&P 500 ETF TR	1,032,240	1,271,668
25,000 SHS. SCH US REIT ETF	768,000	827,750

TY 2013 Legal Fees Schedule**Name:** JOHN AND KELLY HARTMAN FOUNDATION**EIN:** 22-3139258

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
CUMMINGS & LOCKWOOD LLC, LEGAL,ACCOUNTING & TRUSTEES FEES	59,243	59,243		0

TY 2013 Other Expenses Schedule

Name: JOHN AND KELLY HARTMAN FOUNDATION

EIN: 22-3139258

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
CUMMINGS & LOCKWOOD LLC, GUIDESTAR	750	750		0

TY 2013 Other Professional Fees Schedule**Name:** JOHN AND KELLY HARTMAN FOUNDATION**EIN:** 22-3139258

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
KRITZER-BIEHL, INC INVESTMENT ADVISORY & TRUSTEES FEES	59,226	59,226		0

TY 2013 Substantial Contributors Schedule

Name: JOHN AND KELLY HARTMAN FOUNDATION

EIN: 22-3139258

Name	Address
JOHN & KELLY HARTMAN CHARITABLE LEAD UNITRUST DTD 51794	CUMMINGS LOCKWOOD PO BOX 271820 WEST HARTFORD,CT 06127

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

(a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo , day, yr)	(d) Date sold (mo , day, yr)
2,400 SHS PRIMECAP ODYSSEY AGGR GROWTH FUND	P	2011-07-07	2013-11-21
1,000 SHS VANGUARD EXPLORER FUND	P	2011-07-07	2013-11-21
11,535 418 SHS CGM TR RLTY FD	P	2007-07-11	2013-11-27
65 396 SHS CGM TR RLTY FD	P	2007-08-07	2013-11-27
81 389 SHS CGM TR RLTY FD	P	2007-11-05	2013-11-27
7,460 97 SHS CGM TR RLTY FD	P	2008-03-13	2013-11-27
150 765 SHS CGM TR RLTY FD	P	2008-05-06	2013-11-27
221 952 SHS CGM TR RLTY FD	P	2008-08-07	2013-11-27
575 72 SHS CGM TR RLTY FD	P	2008-11-12	2013-11-27
396 737 SHS CGM TR RLTY FD	P	2009-05-12	2013-11-27
486 717 SHS CGM TR RLTY FD	P	2009-07-30	2013-11-27
345 832 SHS CGM TR RLTY FD	P	2009-10-29	2013-11-27
187 829 SHS CGM TR RLTY FD	P	2009-12-31	2013-11-27
79 751 SHS CGM TR RLTY FD	P	2010-04-29	2013-11-27
86 904 SHS CGM TR RLTY FD	P	2010-07-29	2013-11-27
67 894 SHS CGM TR RLTY FD	P	2010-10-28	2013-11-27
88 168 SHS CGM TR RLTY FD	P	2010-12-31	2013-11-27
68 14 SHS CGM TR RLTY FD	P	2011-04-28	2013-11-27
37 967 SHS CGM TR RLTY FD	P	2011-07-28	2013-11-27
48 091 SHS CGM TR RLTY FD	P	2011-10-27	2013-11-27
77 905 SHS CGM TR RLTY FD	P	2011-12-30	2013-11-27
43 518 SHS CGM TR RLTY FD	P	2012-04-26	2013-11-27
53 105 SHS CGM TR RLTY FD	P	2012-07-26	2013-11-27
46 768 SHS CGM TR RLTY FD	P	2012-10-25	2013-11-27
61 245 SHS CGM TR RLTY FD	P	2012-12-31	2013-11-27
83 48 SHS CGM TR RLTY FD	P	2013-04-25	2013-11-27
43 913 SHS CGM TR RLTY FD	P	2013-07-25	2013-11-27
36 029 SHS CGM TR RLTY FD	P	2013-10-31	2013-11-27
9,682 468 SHS DODGE & COX FDS INTL STK FD	P	1916-09-15	2013-11-21
190 932 SHS DODGE & COX FDS INTL STK FD	P	2007-01-02	2013-11-21

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

(a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo , day, yr)	(d) Date sold (mo , day, yr)
58 374 SHS DODGE & COX FDS INTL STK FD	P	2007-01-02	2013-11-21
2,068 226 SHS DODGE & COX FDS INTL STK FD	P	2007-07-11	2013-11-21
1,100 SHS SPDR 500 TR UNIT SER 1 EXCHANGE TRADED FUND	P	2007-07-11	2013-11-25
CAPITAL GAINS DIVIDENDS	P		

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
69,288		44,116	25,172
108,610		81,767	26,843
347,678		377,455	-29,777
1,971		1,971	0
2,453		2,959	-506
224,874		237,045	-12,171
4,544		5,120	-576
6,690		6,848	-158
17,352		10,341	7,011
11,958		5,776	6,182
14,670		7,797	6,873
10,423		6,595	3,828
5,661		3,922	1,739
2,404		2,011	393
2,619		2,015	604
2,046		1,684	362
2,657		2,362	295
2,054		2,030	24
1,144		1,095	49
1,449		1,316	133
2,348		2,089	259
1,312		1,324	-12
1,601		1,547	54
1,410		1,330	80
1,846		1,799	47
2,516		2,672	-156
1,324		1,341	-17
1,086		1,120	-34
409,472		386,040	23,432
8,075		8,328	-253

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
2,469		2,546	-77
87,465		104,528	-17,063
196,417		166,980	29,437
88,468			88,468


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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			25,172
			26,843
			-29,777
			0
			-506
			-12,171
			-576
			-158
			7,011
			6,182
			6,873
			3,828
			1,739
			393
			604
			362
			295
			24
			49
			133
			259
			-12
			54
			80
			47
			-156
			-17
			-34
			23,432
			-253


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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			-77
			-17,063
			29,437
			88,468


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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a Paid during the year				
AMERICAN PRAIRIE FOUNDATION PO BOX 908 BOZEMAN,MT 59771	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	50,000
AURORA WOMEN AND GIRLS FOUNDATION INC PO BOX 271035 WEST HARTFORD,CT 06127	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	500
BOSTON UNIVERSITY 285 BABCOCK STREET BOSTON,MA 02215	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	5,000
CAPITAL CLASSICS INC PO BOX 370096 WEST HARTFORD,CT 06137	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	2,500
CHABAD HOUSE OF CONN INC 2352 ALBANY AVENUE WEST HARTFORD,CT 06117	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	500
COMMUNITY FOUNDATION OF SE CT 147 STATE ST PO BOX 769 NEWLONDON,CT 06320	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	8,000
CONNECTICUT CHILDREN MEDICAL CENTER FOUNDATION INC 282 WASHINGTON STREET HARTFORD,CT 06106	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	250
CONNECTICUT EXPLORED INC PO BOX 271561 WEST HARTFORD,CT 061271561	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	1,000
CONNECTICUT RIVERS COUNCIL BSA 60 DARLIN STREET EAST HARTFORD,CT 061080004	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	1,000
COVENANT PREPARATORY SCHOOL 135 BROAD STREET HARTFORD,CT 06105	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	2,750
COVENANT PREPARATORY SCHOOL 135 BROAD STREET HARTFORD,CT 06105	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	3,000
CRADLE FOUNDATION 2049 RIDGE AVE EVANSTON,IL 60201	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	15,000
DUKE UNIVERSITY SPECIAL COLLECTIONS LIBRARY 700 WEST MAIN STREET SUITE 110 DURHAM,NC 27701	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	100,000
EPILEPSY FOUNDATION OF CONNECTICUT 386 MAIN STREET MIDDLETOWN,CT 06457	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	250
FIVE VALLEYS LAND TRUST INC PO BOX 8953 MISSOULA,MT 59807	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	25,000
Total  3a				592,180


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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
LYME HISTORICAL SOCIETY DBA FLORENCE GRISWOLD MUSEUM 96 LYME STREET OLD LYME,CT 06371	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	10,000
THE FRIENDS OF NORRIS COTTON CANCER CENTER -MARY HITCHOCK MEMORIAL HOSPITAL 1 MEDICAL CENTER DRIVE LEBANON,NH 03756	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	250
GREATER HARTFORD ARTS COUNCIL (GHAC) PO BOX 231436 HARTFORD,CT 06123	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	1,500
GREENWICH HOSPITAL FOUNDATION 35 RIVER ROAD COS COB,CT 06807	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	1,000
HABITAT FOR HUMANITY INTERNATIONAL INC PO BOX 1933 HARTFORD,CT 06144	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	350
HARRIET BEECHER STOWE CENTER 77 FOREST STREET HARTFORD,CT 06105	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	500
HARTFORD STAGE COMPANY 50 CHURCH STREET HARTFORD,CT 06103	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	12,600
HARTFORD STAGE COMPANY 50 CHURCH STREET HARTFORD,CT 06103	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	80,000
HARTFORD SYMPHONY ORCHESTRA 99 PRATT STREET SUITE 500 HARTFORD,CT 06103	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	500
HARTFORD YOUTH SCHOLARS FOUNDATION INC 201 ANN ST 5TH HARTFORD,CT 06103	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	500
INTERCULTURE FOUNDATION 1544 MACALLISTER STREET 5 SAN FRANCISCO,CA 94115	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	15,000
INTERCULTURE FOUNDATION 1544 MACALLISTER STREET 5 SAN FRANCISCO,CA 94115	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	49,000
INTERCULTURE FOUNDATION 1544 MACALLISTER STREET 5 SAN FRANCISCO,CA 94115	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	15,000
HYDE SCHOOL 616 HIGH STREET BATH,ME 04530	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	5,000
KENT SCHOOL PO BOX 2006 KENT,CT 06757	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	1,000
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LYME PUBLIC LIBRARY 482 HAMBURG RD LYME,CT 06371	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	6,000
MALTA HOUSE OF CARE FOUNDATION INC WOODLAND MEDICAL CENTER 19 WOODLAND STREET SUITE 37 HARTFORD,CT 06105	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	250
MARINERS HOSPITAL FOUNDATION 91500 OVERSEAS HIGHWAY TAVENIER,FL 33070	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	1,000
MIDDLESEX HOSPITAL 28 CRESCENT ST MIDDLETOWN,CT 06457	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	5,000
OCEAN REEF CULTURAL CENTER 200 ANCHOR DRIVE KEY LARGO,FL 33037	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	15,000
OCEAN REEF MEDICAL CENTER 50 BARRACUDA LANE KEY LARGO,FL 33037	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	10,000
OUR COMPANIONS ANIMAL RESCUE PO BOX 956 MANCHESTER,CT 060450956	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	250
PRO BONO PARTNERSHIP INC 237 MAMARONECK AVE SUITE 300 WHITE PLAINS,NY 10605	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	500
REAL ART WAYS 56 ARBOR STREET HARTFORD,CT 06106	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	1,000
SKIDMORE COLLEGE 815 NORTH BROADWAY SARATOGA SPRINGS,NY 12866	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	1,000
SPECIAL OLYMPICS CONNECTICUT INC 2666 STATE STREET SUITE 1 HAMDEN,CT 06517	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	250
ST LUKES SCHOOL 377 NORTH WILTON ROAD NEW CANAAN,CT 06840	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	5,000
THE BRIDGE FAMILY CENTER INC 1022 FARMINGTON AVENUE WEST HARTFORD,CT 06107	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	3,600
THE CONNECTICUT GOLF FOUNDATION INC (DBA THE FIRST TEE OF CONNECTICUT) 55 GOLF CLUB ROAD CROMWELL,CT 06416	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	1,000
THINK PINK ROCKS INC 6734 NEWPORT LAKE CIRC BOCA RATON,FL 33496	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	250
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THEATERWORKS 233 PEARL STREET HARTFORD,CT 06103	NONE	PUBLIC	CURRENT USE FOR CHARTIABLE PURPOSES	1,000
TRI-COUNTY ARC INC 65 ROUTE 66 E COLUMBIA,CT 06237	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	500
VISITING NURSE SERVICE OF NEW YORK 107 EAST 70TH STREET NEWYORK,NY 10021	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	500
WIDE HORIZONS FOR CHILDREN INC 38 EDGE HILL ROAD WALTHAM,MA 02451	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	100
ALLIANCE FOR CANCER GENE THERAPY 96 CUMMINGS POINT ROAD STAMFORD,CT 06902	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	1,000
ANTI-DEFAMATION LEAGUE OF B'NAI B'RITH 605 THIRD AVENUE NEWYORK,NY 10158	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	250
AVON UNICO (WOUNDED WARRIOR) PO BOX 1442 AVON,CT 06001	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	280
BOSTON UNIVERSITY 765 COMMONWEALTH AVENUE BOSTON,MA 02215	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	10,000
BOSTON UNIVERSITY PO BOX 4112 BOSTON,MA 022114112	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	7,500
INTERCULTURE FOUNDATION 1544 MACALLISTER STREET 5 SAN FRANCISCO,CA 94115	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	50,000
JOURNEY HOME INC 28 BETTONWOOD DRIVE SIMSBURY,CT 06070	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	250
NATIONAL CONFERENCE FOR COMMUNITY & JUSTICE 820 PROSPECT HILL ROAD SUITE A WINDSOR,CT 06095	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	500
NEAR & FAR AID ASSOCIATION INC PO BOX 1003 SOUTHPORT,CT 06890	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	500
PLAYHOUSE THEATRE GROUP INC 244 PARK ROAD WEST HARTFORD,CT 06119	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	1,000
PAN MASSACHUSETTS CHALLENGE TRUST - JIMMY FUND 91 STURGEON RIVER ROAD GLASTONBURY,CT 06033	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	250
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REAL ART WAYS 56 ARBOR STREET HARTFORD,CT 06106	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	5,000
SPECIAL OLYMPICS CONNECTICUT INC 2666 STATE STREET SUITE 1 HAMDEN,CT 06517	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	500
SQUARE PEG FOUNDATION PMB 402 80 CABRILLO HIGHWAY N SUITE Q HALF MOON BAY,CA 94019	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	25,000
USA HOCKEY FOUNDATION 1755 BOB JOHNSON DR COLORADO SPRINGS,CO 80906	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	1,000
VIDA VERDE NATURE EDUCATION 3540 LAHONDA ROAD SAN GREGORIO,CA 94074	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	15,000
WESTERN FOLKLIFE CENTER 501 RAILROAD STREET ELKO,NV 89801	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	15,000
Total  3a				592,180