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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 07-01-2013 , and ending 06-30-2014

Name of foundation THE DUFFIELD FAMILY FOUNDATION DBA MADDIE'S FUND		A Employer identification number 94-3362163	
Number and street (or P O box number if mail is not delivered to street address) 6150 STONERIDGE MALL ROAD NO 125		Room/suite	B Telephone number (see instructions) (925) 310-5450
City or town, state or province, country, and ZIP or foreign postal code PLEASANTON, CA 94588		C If exemption application is pending, check here ☐	
G Check all that apply ☐ Initial return ☐ Initial return of a former public charity ☐ Final return ☐ Amended return ☐ Address change ☐ Name change		D 1. Foreign organizations, check here ☐ 2. Foreign organizations meeting the 85% test, check here and attach computation ☐	
H Check type of organization ☒ Section 501(c)(3) exempt private foundation ☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here ☐	
I Fair market value of all assets at end of year (from Part II, col. (c), line 16) ☒ \$ 288,305,961		F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐	
J Accounting method ☐ Cash ☒ Accrual ☐ 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)	6,355			
	2 Check ☒ if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments	30,863	30,863		
	4 Dividends and interest from securities.	7,239,544	7,239,544		
	5a Gross rents				
	b Net rental income or (loss) _____				
	6a Net gain or (loss) from sale of assets not on line 10	3,755,729			
	b Gross sales price for all assets on line 6a 45,915,863				
	7 Capital gain net income (from Part IV, line 2)		4,007,372		
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less returns and allowances				
Operating and Administrative Expenses	b Less Cost of goods sold				
	c Gross profit or (loss) (attach schedule)				
	11 Other income (attach schedule)	 436,166	419,188		
	12 Total. Add lines 1 through 11	11,468,657	11,696,967		
	13 Compensation of officers, directors, trustees, etc	432,316	0		432,316
	14 Other employee salaries and wages	778,769	0		767,902
	15 Pension plans, employee benefits	319,255	0		324,154
	16a Legal fees (attach schedule).	 19,858	0		19,345
	b Accounting fees (attach schedule).	 131,430	21,263		106,714
	c Other professional fees (attach schedule)	 2,101,880	1,535,789		553,418
	17 Interest	61,491	61,491		0
	18 Taxes (attach schedule) (see instructions)	 214,168	117,988		0
	19 Depreciation (attach schedule) and depletion	 467,927	0		
	20 Occupancy	400,726	0		395,451
	21 Travel, conferences, and meetings	90,807	0		84,003
	22 Printing and publications				
	23 Other expenses (attach schedule).	 4,098,848	1,390,933		721,291
	24 Total operating and administrative expenses. Add lines 13 through 23	9,117,475	3,127,464		3,404,594
	25 Contributions, gifts, grants paid.	29,267,966			17,311,774
	26 Total expenses and disbursements. Add lines 24 and 25	38,385,441	3,127,464		20,716,368
	27 Subtract line 26 from line 12				
	a Excess of revenue over expenses and disbursements	-26,916,784			
	b Net investment income (if negative, enter -0-)		8,569,503		
	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	119	140	140
	2	Savings and temporary cash investments	4,659,296	10,400,931	10,400,931
	3	Accounts receivable ▶ <u>119,640</u>			
		Less allowance for doubtful accounts ▶ _____	165,822	119,640	119,640
	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	83,070	149,155	149,155
	10a	Investments—U S and state government obligations (attach schedule)			
	b	Investments—corporate stock (attach schedule)	88,923,860	94,042,746	94,042,746
	c	Investments—corporate bonds (attach schedule).	58,237,752	56,175,553	56,175,553
	11	Investments—land, buildings, and equipment basis ▶ _____			
Liabilities		Less accumulated depreciation (attach schedule) ▶ _____			
	12	Investments—mortgage loans			
	13	Investments—other (attach schedule)	106,648,898	109,499,916	109,499,916
	14	Land, buildings, and equipment basis ▶ <u>18,242,208</u>			
		Less accumulated depreciation (attach schedule) ▶ <u>751,906</u>	19,413,421	17,490,302	17,490,302
	15	Other assets (describe ▶ _____)	1,411,428	427,578	427,578
	16	Total assets (to be completed by all filers—see the instructions Also, see page 1, item I)	279,543,666	288,305,961	288,305,961
	17	Accounts payable and accrued expenses	911,347	612,418	
	18	Grants payable	8,241,636	20,190,063	
	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 ▶ _____)	1,738,817	983,083	
	23	Total liabilities (add lines 17 through 22)	10,891,800	21,785,564	
Net Assets or Fund Balances		Foundations that follow SFAS 117, check here ▶ ☒ and complete lines 24 through 26 and lines 30 and 31.			
	24	Unrestricted	268,651,866	266,520,397	
	25	Temporarily restricted			
	26	Permanently restricted			
		Foundations that do not follow SFAS 117, check here ▶ ☐ and complete lines 27 through 31.			
	27	Capital stock, trust principal, or current funds			
	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 page 17 of the instructions)	268,651,866	266,520,397	
	31	Total liabilities and net assets/fund balances (see page 17 of the instructions)	279,543,666	288,305,961	

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	268,651,866
2	Enter amount from Part I, line 27a	2	-26,916,784
3	Other increases not included in line 2 (itemize) ▶ _____	3	24,785,315
4	Add lines 1, 2, and 3	4	266,520,397
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	266,520,397

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)
1 a	REALIZED GAIN ON INVESTMENTS	P		2013-12-31
b	PASS THROUGH GAIN (SEE SCHEDULE)	P		2013-12-31
c	UBI	P		2013-12-31
d	BOND AMORTIZATION	P		2013-12-31
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 41,682,224		41,852,668	-170,444
b 4,199,709			4,199,709
c		55,823	-55,823
d 33,930			33,930
e			

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))
a			-170,444
b			4,199,709
c			-55,823
d			33,930
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	4,007,372
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	12,589,895	254,874,006	0 049397
2011	14,099,866	243,879,691	0 057815
2010	12,022,381	247,656,983	0 048544
2009	13,343,160	235,201,562	0 056731
2008	15,172,634	232,412,118	0 065283

2 Total of line 1, column (d).	2	0 277770
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 055554
4 Enter the net value of noncharitable-use assets for 2013 from Part X, line 5.	4	263,780,006
5 Multiply line 4 by line 3.	5	14,654,034
6 Enter 1% of net investment income (1% of Part I, line 27b).	6	85,695
7 Add lines 5 and 6.	7	14,739,729
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	20,783,735

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

1a	Exempt operating foundations described in section 4940(d)(2), check here ☐ and enter "N/A" on line 1		
	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 ☒ and enter 1% of Part I, line 27b	1	85,695
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	85,695
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	85,695
6	Credits/Payments		
a	2013 estimated tax payments and 2012 overpayment credited to 2013	6a	174,372
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	174,372
8	Enter any penalty for underpayment of estimated tax. Check here ☒ if Form 2220 is attached	8	
9	Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9	
10	Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	88,677
11	Enter the amount of line 10 to be Credited to 2014 estimated tax 88,677 Refunded	11	0

Part VII-AStatements 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 \$ _____ 0 (2) On foundation managers \$ _____ 0				
e	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers \$ _____ 0				
2	Has the foundation engaged in any activities that have not previously been reported to the IRS? <i>If "Yes," attach a detailed description of the activities.</i>	2			No
3	Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? <i>If "Yes," attach a conformed copy of the changes</i>	3			No
4a	Did the foundation have unrelated business gross income of \$1,000 or more during the year?.	4a	Yes		
b	If "Yes," has it filed a tax return on Form 990-T for this year?.	4b	Yes		
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year? <i>If "Yes," attach the statement required by General Instruction T.</i>	5			No
6	Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	6	Yes		
7	Did the foundation have at least \$5,000 in assets at any time during the year? <i>If "Yes," complete Part II, col. (c), and Part XV.</i>	7	Yes		
8a	Enter the states to which the foundation reports or with which it is registered (see instructions) CA, NV				
b	If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? <i>If "No," attach explanation.</i>	8b	Yes		
9	Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2013 or the taxable year beginning in 2013 (see instructions for Part XIV)? <i>If "Yes," complete Part XIV</i>	9			No
10	Did any persons become substantial contributors during the tax year? <i>If "Yes," attach a schedule listing their names and addresses.</i>	10			No

Part VII-A

Statements Regarding Activities *(continued)*

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions).	11		No
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		No
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ▶ WWW.MADDIESFUND.ORG	13	Yes	
14	The books are in care of ▶ VALERIE STOLTENBERG Telephone no ▶ (925) 310-5450 Located at ▶ 6150 STONERIDGE MALL ROAD NO 125 PLEASANTON CA ZIP +4 ▶ 94588			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 —Check here ▶ ☐ and enter the amount of tax-exempt interest received or accrued during the year ▶	15		
16	At any time during calendar year 2013, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? See instructions for exceptions and filing requirements for Form TD F 90-22.1 If "Yes", enter the name of the foreign country ▶	16	Yes	No

Part VII-B

Statements Regarding Activities for Which Form 4720 May Be Required

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

Part VII-B

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

5a During the year did the foundation pay or incur any amount to				
(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?		☐ Yes	☒ No	
(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive?		☐ Yes	☒ No	
(3) Provide a grant to an individual for travel, study, or other similar purposes?		☐ Yes	☒ No	
(4) Provide a grant to an organization other than a charitable, etc , organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? (see instructions).		☒ Yes	☐ No	
(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?		☐ Yes	☒ No	
b If any answer is "Yes" to 5a(1)–(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)?		5b		No
Organizations relying on a current notice regarding disaster assistance check here.				
c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?				
If "Yes," attach the statement required by Regulations section 53.4945–5(d).		☒ Yes	☐ No	
6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?				
b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?		6b		No
If "Yes" to 6b, file Form 8870.				
7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?		☐ Yes	☒ 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
See Additional Data Table				
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
SHEILA D'ARPINO	DIR OF RESEARCH	175,950	5,520	10,616
6150 STONERIDGE MALL RD SUITE 125 PLEASANTON, CA 94588	40 00			
MARY IPPOLITI-SMITH	VP OF OPS	144,354	14,528	0
6150 STONERIDGE MALL RD SUITE 125 PLEASANTON, CA 94588	40 00			
MICHELLE THOMPSON	GRANTS MGR	94,864	8,472	0
6150 STONERIDGE MALL RD SUITE 125 PLEASANTON, CA 94588	40 00			
Total number of other employees paid over \$50,000.				3

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
ARQ ARCHITECTS 1 GOVERNMENT ST SUITE 2 KITTERY, ME 03804	ARCHITECTURAL SERVICES	1,010,891
NEVADA PACIFIC CONSULTING LLC 3201 DANVILLE BLVD SUITE 172 ALAMO, CA 94507		
BLUELINE ASSOCIATES INC 7011 KOLL CENTER PKWY STE 150 PLEASANTON, CA 94566	FINANCIAL CONSULTANTS	278,131
CHRISTIE KEITH 10865 E HOLLY ROAD DAVISBURG, MI 58350	DEMOLITION SERVICES	198,809
JANET DALY 5637 VAN FLEET AVENUE RICHMOND, CA 94804	WRITING SERVICES	110,417
	ACCOUNTING CONSULTANT	80,057
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	255,083,546
b	Average of monthly cash balances.	1b	12,713,414
c	Fair market value of all other assets (see instructions).	1c	0
d	Total (add lines 1a, b, and c).	1d	267,796,960
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	267,796,960
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	4,016,954
5	Net value of noncharitable-use assets. Subtract line 4 from line 3 Enter here and on Part V, line 4	5	263,780,006
6	Minimum investment return. Enter 5% of line 5.	6	13,189,000

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	13,189,000
2a	Tax on investment income for 2013 from Part VI, line 5.	2a	85,695
b	Income tax for 2013 (This does not include the tax from Part VI).	2b	
c	Add lines 2a and 2b.	2c	85,695
3	Distributable amount before adjustments Subtract line 2c from line 1.	3	13,103,305
4	Recoveries of amounts treated as qualifying distributions.	4	0
5	Add lines 3 and 4.	5	13,103,305
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	13,103,305

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	20,716,368
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	67,367
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	20,783,735
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	85,695
6	Adjusted qualifying distributions. Subtract line 5 from line 4.	6	20,698,040
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				13,103,305
2 Undistributed income, if any, as of the end of 2013				
a Enter amount for 2012 only.			5,254,887	
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 ▶ \$ 20,783,735				
a Applied to 2012, but not more than line 2a			5,254,887	
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.				13,103,305
e Remaining amount distributed out of corpus	2,425,543			
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	2,425,543			
b Prior years' undistributed income Subtract line 4b from line 2b.		0		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed.		0		
d Subtract line 6c from line 6b Taxable amount—see instructions		0		
e Undistributed income for 2012 Subtract line 4a from line 2a Taxable amount—see instructions			0	
f Undistributed income for 2013 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2014				0
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions).	0			
8 Excess distributions carryover from 2008 not applied on line 5 or line 7 (see instructions). . .	0			
9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a	2,425,543			
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. . . .	2,425,543			

Part XIV

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

1a

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

b

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

☐ 4942(j)(3) or ☐ 4942(j)(5)

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

Part XV

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

1

Information Regarding Foundation Managers:

a

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

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

RICHARD AVANZINO
6150 STONERIDGE MALL RD SUITE 125
PLEASANTON, CA 94588
(925) 310-5450

b

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

PLEASE SEE OUR WEBSITE AT WWW.MADDIESFUND.ORG TO REVIEW OUR GUIDELINES

c

Any submission deadlines

PLEASE SEE OUR WEBSITE FOR ADDITIONAL INFORMATION

d

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

GRANTS TO ANIMAL ORGANIZATIONS AND GROUPS ONLY

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

Form **990-PF** (2013)

Enter gross amounts unless otherwise indicated

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

Form **990-PF** (2013)

Form 990PF Part VIII Line 1 - List all officers, directors, trustees, foundation managers and their compensation

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
RICHARD AVANZINO	PRESIDENT 40 00	330,967	31,110	4,800
6150 STONERIDGE MALL RD SUITE 125 PLEASANTON, CA 94588				
CHERYL D DUFFIELD	DIRECTOR 1 00	0	0	0
6150 STONERIDGE MALL RD SUITE 125 PLEASANTON, CA 94588				
DAVID A DUFFIELD	DIRECTOR 1 00	0	0	0
6150 STONERIDGE MALL RD SUITE 125 PLEASANTON, CA 94588				
MICHAEL D DUFFIELD	DIRECTOR 1 00	0	0	0
6150 STONERIDGE MALL RD SUITE 125 PLEASANTON, CA 94588				
LAURIE E PEEK	SECRETARY 8 00	101,349	9,090	0
6150 STONERIDGE MALL RD SUITE 125 PLEASANTON, CA 94588				
MARGARET L TAYLOR	DIRECTOR 1 00	0	0	0
6150 STONERIDGE MALL RD SUITE 125 PLEASANTON, CA 94588				
AMY D ZEIFANG	CHAIRMAN OF THE BOARD 5 00	0	0	0
6150 STONERIDGE MALL RD SUITE 125 PLEASANTON, CA 94588				

TY 2013 Accounting Fees Schedule

Name: THE DUFFIELD FAMILY FOUNDATION DBA MADDIE'S FUND

EIN: 94-3362163

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
ACCOUNTING FEES	131,430	21,263		106,714

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

TY 2013 Depreciation Schedule

Name: THE DUFFIELD FAMILY FOUNDATION DBA MADDIE'S FUND

EIN: 94-3362163

Description of Property	Date Acquired	Cost or Other Basis	Prior Years' Depreciation	Computation Method	Rate / Life (# of years)	Current Year's Depreciation Expense	Net Investment Income	Adjusted Net Income	Cost of Goods Sold Not Included
LAND	2012-12-31	4,451,280		L		0	0		
BUILDING	2012-12-31	13,548,720	131,724	SL	40 0000000000000	451,624	0		
FURNITURE & RQUIPMENT	2012-12-31	24,920	23,597	SL	5 0000000000000	0	0		
SOFTWARE	2012-12-31	217,288	128,658	SL	3 0000000000000	16,303	0		

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

TY 2013 Expenditure Responsibility Statement

Name: THE DUFFIELD FAMILY FOUNDATION DBA MADDIE'S FUND

EIN: 94-3362163

Grantee's Name	Grantee's Address	Grant Date	Grant Amount	Grant Purpose	Amount Expended By Grantee	Any Diversion By Grantee?	Dates of Reports By Grantee	Date of Verification	Results of Verification
NATIONAL FEDERATION OF HUMANE SOCIETIES	320 MAPLE AVE WEST 142 VIENNA, VA 22180	2013-12-31	1,000	EVENT SPONSORSHIP	10,000	NONE			THE DONEE USED THE GRANT AS INTENDED FOR THE BENEFITS OF ANIMALS

**TY 2013 Investments Corporate
Bonds Schedule****Name:** THE DUFFIELD FAMILY FOUNDATION DBA MADDIE'S FUND**EIN:** 94-3362163

Name of Bond	End of Year Book Value	End of Year Fair Market Value
GOLDMAN SACHS - 336-0 (SEE ATTACHED)	14,946,265	14,946,265
NORTHERN TRUST - 2684641 (SEE ATTACHED)	41,229,288	41,229,288

**TY 2013 Investments Corporate
Stock Schedule****Name:** THE DUFFIELD FAMILY FOUNDATION DBA MADDIE'S FUND**EIN:** 94-3362163

Name of Stock	End of Year Book Value	End of Year Fair Market Value
NORTHERN TRUST COMPANY - 2610445 (SEE ATTACHED)	12,481,592	12,481,592
GOLDMAN SACHS - 659-3 (SEE ATTACHED)	52,989,538	52,989,538
GOLDMAN SACHS - 332-9 (SEE ATTACHED)	9,289,967	9,289,967
GOLDMAN SACHS - 336-0 (SEE ATTACHED)	8,459,271	8,459,271
GOLDMAN SACHS - 248-5 (SEE ATTACHED)	10,645,074	10,645,074
GOLDMAN SACHS - 112-1 (SEE ATTACHED)	177,304	177,304

TY 2013 Investments - Other Schedule

Name: THE DUFFIELD FAMILY FOUNDATION DBA MADDIE'S FUND

EIN: 94-3362163

Category / Item	Listed at Cost or FMV	Book Value	End of Year Fair Market Value
OTHER INVESTMENTS (SEE ATTACHED)	FMV	109,499,916	109,499,916

TY 2013 Land, Etc. Schedule**Name:** THE DUFFIELD FAMILY FOUNDATION DBA MADDIE'S FUND**EIN:** 94-3362163

Category / Item	Cost / Other Basis	Accumulated Depreciation	Book Value	End of Year Fair Market Value
LAND	4,451,280	0	4,451,280	
BUILDING	13,548,720	583,348	12,965,372	
FURNITURE & RQUIPMENT	24,920	23,597	1,323	
SOFTWARE	217,288	144,961	72,327	

TY 2013 Legal Fees Schedule

Name: THE DUFFIELD FAMILY FOUNDATION DBA MADDIE'S FUND

EIN: 94-3362163

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
LEGAL FEES	19,858	0		19,345

TY 2013 Other Assets Schedule

Name: THE DUFFIELD FAMILY FOUNDATION DBA MADDIE'S FUND

EIN: 94-3362163

Description	Beginning of Year - Book Value	End of Year - Book Value	End of Year - Fair Market Value
DERIVATIVE FINANCIAL ASSETS	964,000	0	0
INVESTMENT INCOME RECEIVABLE	447,428	427,578	427,578

TY 2013 Other Expenses Schedule

Name: THE DUFFIELD FAMILY FOUNDATION DBA MADDIE'S FUND

EIN: 94-3362163

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
SUPPLIES	156,700	0		151,922
BANK FEES	32,608	0		31,643
DUES & SUBSCRIPTIONS	11,590	0		10,103
INSURANCE	112,057	0		127,699
POSTAGE & SHIPPING	28,086	0		26,444
MISCELLANEOUS	202,062	0		201,954
PARTNERSHIP EXPENSES	21,943	21,943		0
MEDIA ADVERTISING	75,096	0		73,956
FOSTER CARE PROGRAM EXPENSES	123,754	0		97,570
PORTFOLIO DEDUCTIONS	1,368,990	1,368,990		0
BOOK/TAX ADJUSTMENTS	-190,023	0		0
IMPAIRMENT LOSS	2,144,868	0		0
FEES -RECLAIMABLE FOREIGN TAXES	11,117	0		0

TY 2013 Other Income Schedule**Name:** THE DUFFIELD FAMILY FOUNDATION DBA MADDIE'S FUND**EIN:** 94-3362163

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
PARTNERSHIP INCOME NET OF UBI-TAX ONLY		380,729	
PARTNERSHIP INCOME	381,802	0	381,802
RECLAIMABLE FOREIGN TAX REFUND	38,459	38,459	38,459
ADOPTION FEE REVENUE	15,905		15,905

TY 2013 Other Increases Schedule

Name: THE DUFFIELD FAMILY FOUNDATION DBA MADDIE'S FUND

EIN: 94-3362163

Description	Amount
UNREALIZED GAIN ON INVESTMENTS	24,785,315

TY 2013 Other Liabilities Schedule

Name: THE DUFFIELD FAMILY FOUNDATION DBA MADDIE'S FUND

EIN: 94-3362163

Description	Beginning of Year - Book Value	End of Year - Book Value
DERIVATIVE FINANCIAL LIABILITY	1,296,110	526,030
DEFERRED TAX LIABILITY	442,707	457,053

TY 2013 Other Professional Fees Schedule**Name:** THE DUFFIELD FAMILY FOUNDATION DBA MADDIE'S FUND**EIN:** 94-3362163

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FINANCIAL CONSULTING	158,015	47,060		113,100
CONSULTING	344,748	0		342,092
INVESTMENT MANAGEMENT	1,488,729	1,488,729		0
IT CONSULTING	78,203	0		67,996
FOSTER CARE CONTRACT EXPENSES	32,185	0		30,230

TY 2013 Taxes Schedule**Name:** THE DUFFIELD FAMILY FOUNDATION DBA MADDIE'S FUND**EIN:** 94-3362163

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FOREIGN TAXES	117,988	117,988		0
EXCISE TAX EXPENSE	96,180	0		0