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

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

2013

For calendar year 2013, or tax year beginning 10/01, 2013, and ending 9/30, 2014

ANDERSON-PAFFARD FOUNDATION, INC.
P.O. BOX 88
NEW LONDON, CT 06320

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

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

I Fair market value of all assets at end of year (from Part II, column (c), line 16) \$ 3,895,954.
J Accounting method ☒ Cash ☐ Accrual
☐ Other (specify) (Part I, column (d) must be on cash basis)

A Employer identification number
06-1047468

B Telephone number (see the instructions)
(860) 442-0367

C If exemption application is pending, check here ☐

D 1 Foreign organizations, check here ☐

2 Foreign organizations meeting the 85% test, check here and attach computation ☐

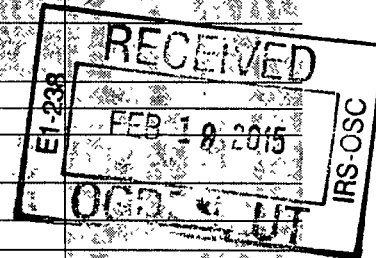
E If private foundation status was terminated under section 507(b)(1)(A), check here ☐

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

Part I Analysis of Revenue and Expenses

(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions))

	(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
1 Contributions, gifts, grants, etc. received (att sch)				
2 Ck <input checked="" type="checkbox"/> if the foundn is not req to att Sch B				
3 Interest on savings and temporary cash investments				
4 Dividends and interest from securities	177,258.	177,258.	177,258.	
5a Gross rents				
b Net rental income or (loss)				
6a Net gain/(loss) from sale of assets not on line 10	385,575.			
b Gross sales price for all assets on line 6a	1,339,534.			
7 Capital gain net income (from Part IV, line 2)		385,575.		
8 Net short-term capital gain				
9 Income modifications				
10a Gross sales less returns and allowances				
b Less Cost of goods sold				
c Gross profit/(loss) (att sch)				
11 Other income (attach schedule)				
12 Total. Add lines 1 through 11	562,833.	562,833.	177,258.	
13 Compensation of officers, directors, trustees, etc.	0.			
14 Other employee salaries and wages				
15 Pension plans, employee benefits				
16a Legal fees (attach schedule)				
b Accounting fees (attach sch) SEE ST 1	1,400.	1,400.		
c Other prof fees (attach sch) SEE ST 2	700.	700.		
17 Interest				
18 Taxes (attach schedule)(see instrs) SEE STM 3	13,539.	13,539.		
19 Depreciation (attach sch) and depletion				
20 Occupancy				
21 Travel, conferences, and meetings				
22 Printing and publications				
23 Other expenses (attach schedule) SEE STATEMENT 4	522.	522.		
24 Total operating and administrative expenses. Add lines 13 through 23	16,161.	16,161.		
25 Contributions, gifts, grants paid PART XV	180,000.			180,000.
26 Total expenses and disbursements. Add lines 24 and 25	196,161.	16,161.	0.	180,000.
27 Subtract line 26 from line 12:				
a Excess of revenue over expenses and disbursements	366,672.			
b Net investment income (if negative enter -0-)		546,672.		
c Adjusted net income (if negative enter -0-)			177,258.	



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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	5,163.	3,002.	3,002.
	2 Savings and temporary cash investments	7,457.	14,427.	14,427.
	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 sch)			
	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)	2,781,343.	3,143,204.	3,878,525.
	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 SEE STATEMENT 5)		2.		
16 Total assets (to be completed by all filers – see the instructions. Also, see page 1, item I)	2,793,963.	3,160,635.	3,895,954.	
LIABILITIES	17 Accounts payable and accrued expenses			
	18 Grants payable			
	19 Deferred revenue			
	20 Loans from officers, directors, trustees, & 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.	
FUND ASSETS OR BALANCES	Foundations that follow SFAS 117, check here and complete lines 24 through 26 and lines 30 and 31.			
	24 Unrestricted			
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here and complete lines 27 through 31.			
	27 Capital stock, trust principal, or current funds	2,575,060.	2,793,963.	
	28 Paid-in or capital surplus, or land, building, and equipment fund			
	29 Retained earnings, accumulated income, endowment, or other funds	218,903.	366,672.	
	30 Total net assets or fund balances (see instructions)	2,793,963.	3,160,635.	
	31 Total liabilities and net assets/fund balances (see instructions)	2,793,963.	3,160,635.	

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	2,793,963.
2 Enter amount from Part I, line 27a	2	366,672.
3 Other increases not included in line 2 (itemize)	3	
4 Add lines 1, 2, and 3	4	3,160,635.
5 Decreases not included in line 2 (itemize)	5	
6 Total net assets or fund balances at end of year (line 4 minus line 5) – Part II, column (b), line 30	6	3,160,635.

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 shares MLC Company)		(b) How acquired P — Purchase D — Donation	(c) Date acquired (month, day, year)	(d) Date sold (month, day, year)
1 a SEE ATTACHED SCHEDULE		P	VARIOUS	VARIOUS
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 1,339,534.		953,959.	385,575.
b			
c			
d			
e			

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(i) Gains (Column (h) gain minus column (k), but not less than -0-) or Losses (from column (h))
(i) Fair Market Value as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of column (i) over column (j), if any	
a			385,575.
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	385,575.
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	0.

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

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

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

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

☐ Yes☒ No

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (column (b) divided by column (c))
2012	170,000.	3,499,682.	0.048576
2011	154,339.	3,243,559.	0.047583
2010	149,900.	3,189,393.	0.047000
2009	132,500.	2,947,054.	0.044960
2008	125,774.	2,649,995.	0.047462

2 Total of line 1, column (d)	2	0.235581
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	0.047116
4 Enter the net value of noncharitable-use assets for 2013 from Part X, line 5	4	3,871,912.
5 Multiply line 4 by line 3	5	182,429.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	5,467.
7 Add lines 5 and 6	7	187,896.
8 Enter qualifying distributions from Part XII, line 4	8	180,000.

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

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

1 a Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter 'N/A' on line 1 Date of ruling or determination letter _____ (attach copy of letter if necessary – see instrs)			
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	10,933.
c All other domestic foundations enter 2% of line 27b Exempt foreign organizations enter 4% of Part I, line 12, column (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	10,933.
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	10,933.
6 Credits/Payments			
a 2013 estimated tax pmts and 2012 overpayment credited to 2013	6 a	8,000.	
b Exempt foreign organizations – tax withheld at source	6 b		
c Tax paid with application for extension of time to file (Form 8868)	6 c		
d Backup withholding erroneously withheld	6 d		
7 Total credits and payments Add lines 6a through 6d	7	8,000.	
8 Enter any penalty for underpayment of estimated tax Check here <input type="checkbox"/> if Form 2220 is attached	8		
9 Tax due If the total of lines 5 and 8 is more than line 7, enter amount owed	9	2,933.	
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	11		
		Refunded	

Part VII-A Statements Regarding Activities

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

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Part VII-A Statements Regarding Activities (continued)

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If 'Yes', attach schedule (see instructions)	11		X
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If 'Yes,' attach statement (see instructions)	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address <u>N/A</u>	13	X	
14	The books are in care of <u>ROBERT P. ANDERSON, JR.</u> Telephone no <u>(860) 442-0367</u> Located at <u>P.O. BOX 88 NEW LONDON CT</u> ZIP + 4 <u>06320</u>			
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 <u>N/A</u>	15		N/A
16	At any time during calendar year 2013, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country?	16		X
See the instructions for exceptions and filing requirements for Form TD F 90-22.1. If 'Yes,' enter the name of the foreign country.				

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

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

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

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Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required (continued)**5 a** 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)?

5 b N/A

Organizations relying on a current notice regarding disaster assistance check here

☐**c** If the answer is 'Yes' to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?N/A ☐ Yes ☐ No

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

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

6 b X

If 'Yes' to 6b, file Form 8870

7 a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? ☐ Yes ☒ No**b** If 'Yes,' did the foundation receive any proceeds or have any net income attributable to the transaction? N/A

7 b

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
FREDERIC P. ANDERSON, MD 40 FRONT STREET NOANK, CT 06340	PRESIDENT 1.00	0.	0.	0.
SARA S. PECK 71 ISLAND VIEW AVENUE MYSTIC, CT 06355	V-PRESIDENT 1.00	0.	0.	0.
ROBERT P. ANDERSON, JR. 19 LATHAM LANE NOANK, CT 06340	SECY/TREAS 1.00	0.	0.	0.

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

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

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 N/A	
2	
3	
4	

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

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

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

1 Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes		
a Average monthly fair market value of securities	1 a	3,891,268.
b Average of monthly cash balances	1 b	39,607.
c Fair market value of all other assets (see instructions)	1 c	
d Total (add lines 1a, b, and c)	1 d	3,930,875.
e Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1 e	0.
2 Acquisition indebtedness applicable to line 1 assets	2	0.
3 Subtract line 2 from line 1d	3	3,930,875.
4 Cash deemed held for charitable activities Enter 1-1/2% of line 3 (for greater amount, see instructions)	4	58,963.
5 Net value of noncharitable-use assets. Subtract line 4 from line 3 Enter here and on Part V, line 4	5	3,871,912.
6 Minimum investment return. Enter 5% of line 5	6	193,596.

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	193,596.
2 a Tax on investment income for 2013 from Part VI, line 5	2 a	10,933.
b Income tax for 2013 (This does not include the tax from Part VI)	2 b	
c Add lines 2a and 2b	2 c	10,933.
3 Distributable amount before adjustments Subtract line 2c from line 1	3	182,663.
4 Recoveries of amounts treated as qualifying distributions	4	
5 Add lines 3 and 4	5	182,663.
6 Deduction from distributable amount (see instructions)	6	
7 Distributable amount as adjusted Subtract line 6 from line 5 Enter here and on Part XIII, line 1	7	182,663.

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	1 a	180,000.
b Program-related investments — total from Part IX-B	1 b	
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)	3 a	
b Cash distribution test (attach the required schedule)	3 b	
4 Qualifying distributions. Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4	4	180,000.
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	
6 Adjusted qualifying distributions. Subtract line 5 from line 4	6	180,000.

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				182,663.
2 Undistributed income, if any, as of the end of 2013				
a Enter amount for 2012 only			7,979.	
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 ▶ \$ 180,000.				
a Applied to 2012, but not more than line 2a			7,979.	
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				172,021.
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				10,642.
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				

BAA

Form 990-PF (2013)

N/A

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

b 85% of line 2a

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(i)(3)(B)(iii)

(3) Largest amount of support from an exempt organization

(4) Gross investment income

1 Information Regarding Foundation Managers:

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

NONE

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

NONE

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

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

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

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

c Any submission deadlines

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

Part XV Supplementary Information (continued)**3 Grants and Contributions Paid During the Year or Approved for Future Payment**

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a Paid during the year SEE STATEMENT 6				
Total			3 a	180,000.
b Approved for future payment				
Total			3 b	

2013

FEDERAL STATEMENTS

PAGE 1

ANDERSON-PAFFARD FOUNDATION, INC.

06-1047468

STATEMENT 1
FORM 990-PF, PART I, LINE 16B
ACCOUNTING FEES

	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ACCOUNTING FEES	\$ 1,400.	\$ 1,400.		
TOTAL	\$ 1,400.	\$ 1,400.	\$ 0.	\$ 0.

STATEMENT 2
FORM 990-PF, PART I, LINE 16C
OTHER PROFESSIONAL FEES

	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
BOOKKEEPING	\$ 700.	\$ 700.		
TOTAL	\$ 700.	\$ 700.	\$ 0.	\$ 0.

STATEMENT 3
FORM 990-PF, PART I, LINE 18
TAXES

	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FEDERAL INCOME TAXES	\$ 13,539.	\$ 13,539.		
TOTAL	\$ 13,539.	\$ 13,539.	\$ 0.	\$ 0.

STATEMENT 4
FORM 990-PF, PART I, LINE 23
OTHER EXPENSES

	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
OFFICE EXPENSE	\$ 472.	\$ 472.		
SECRETARY OF STATE	50.	50.		
TOTAL	\$ 522.	\$ 522.	\$ 0.	\$ 0.

2013

FEDERAL STATEMENTS

PAGE 2

ANDERSON-PAFFARD FOUNDATION, INC.

06-1047468

STATEMENT 5
FORM 990-PF, PART II, LINE 15
OTHER ASSETS

	<u>BOOK VALUE</u>	<u>FAIR MARKET VALUE</u>
ROUNDING	\$ 2.	
TOTAL	\$ 2.	\$ 0.

STATEMENT 6
FORM 990-PF, PART XV, LINE 3A
RECIPIENT PAID DURING THE YEAR

<u>NAME AND ADDRESS</u>	<u>DONEE RELATIONSHIP</u>	<u>FOUND- ATION STATUS</u>	<u>PURPOSE OF GRANT</u>	<u>AMOUNT</u>
COMMUNITY FOUNDATION OF SE CT 68 FEDERAL STREET NEW LONDON, CT 06320		EXEMPT	EXEMPT PURPOSES OF DONEE	\$ 5,000.
CT EARLY MUSIC SOCIETY 52 EUGENE O'NEIL DRIVE NEW LONDON, CT 06320		EXEMPT	EXEMPT PURPOSE OF DONEE	18,000.
CONNECTICUT LYRIC OPERA PO BOX 1992 NEW LONDON, CT 06320		EXEMPT	EXEMPT PURPOSE OF DONEE	3,000.
CT TRUST FOR HISTORIC PRESERVATION 940 WHITNEY AVENUE HAMDEN, CT 06517		EXEMPT	EXEMPT PURPOSE OF DONEE	3,000.
CONSERVATION & RESEARCH FOUNDATION 2605 WESTDALE ROAD LAWRENCE, KS 66049		EXEMPT	EXEMPT PURPOSE OF DONEE	1,000.
DENISON PEQUOTSEPOS NATURE CENTER 109 PEQUOTSEPOS ROAD MYSTIC, CT 06355		EXEMPT	EXEMPT PURPOSE OF DONEE	10,000.
GARDE THEATER 325 STATE STREET NEW LONDON, CT 06320		EXEMPT	EXEMPT PURPOSE OF DONEE	7,000.
GROTON OPEN SPACE ASSOCIATION PO BOX 9187 GROTON, CT 06340		EXEMPT	EXEMPT PURPOSE OF DONEE	20,000.

ANDERSON-PAFFARD FOUNDATION, INC.

06-1047468

STATEMENT 6 (CONTINUED)
FORM 990-PF, PART XV, LINE 3A
RECIPIENT PAID DURING THE YEAR

NAME AND ADDRESS	DONEE RELATIONSHIP	FOUND- ATION STATUS	PURPOSE OF GRANT	AMOUNT
LAWRENCE & MEMORIAL HOSPITAL 365 MONTAUK AVENUE NEW LONDON, CT 06320		EXEMPT	EXEMPT PURPOSE OF DONEE	\$ 20,000.
LOWER MYSTIC CEMETARY ASSOCIATION 321 RIVER ROAD MYSTIC, CT 06355		EXEMPT	EXEMPT PURPOSE OF DONEE	2,500.
METROPOLITAN OPERA LINCOLN CENTER NEW YORK, NY 10023		EXEMPT	EXEMPT PURPOSE OF DONEE	1,000.
MYSTIC AREA SHELTER & HOSPITALITY 119 HIGH STREET MYSTIC, CT 06355		EXEMPT	EXEMPT PURPOSE OF DONEE	4,000.
MYSTIC ARTS CENTER 9 WATER STREET MYSTIC, CT 06355		EXEMPT	EXEMPT PURPOSE OF DONEE	5,000.
MYSTIC NOANK LIBRARY 40 LIBRARY STREET MYSTIC, CT 06355		EXEMPT	EXEMPT PURPOSE OF DONEE	6,000.
MYSTIC SEAPORT MUSEUM 75 GREENMANVILLE AVENUE MYSTIC, CT 06355		EXEMPT	EXEMPT PURPOSE OF DONEE	12,000.
NATCHAUG HOSPITAL 189 STORRS ROAD MANSFIELD CENTER, CT 06250		EXEMPT	EXEMPT PURPOSE OF DONEE	3,000.
NEW LONDON COMMUNITY MEAL CENTER 12 MONTAUK AVENUE NEW LONDON, CT 06320		EXEMPT	EXEMPT PURPOSE OF DONEE	2,000.
NOANK BAPTIST CHURCH 18 CATHEDRAL HEIGHTS GROTON, CT 06340		EXEMPT	EXEMPT PURPOSE OF DONEE	5,000.
NOANK HISTORICAL SOCIETY 17 SYLVAN STREET GROTON, CT 06340		EXEMPT	EXEMPT PURPOSE OF DONEE	15,000.
PLANNED PARENTHOOD 45 FRANKLIN STREET NEW LONDON, CT 06320		EXEMPT	EXEMPT PURPOSE OF DONEE	10,000.

ANDERSON-PAFFARD FOUNDATION, INC.

06-1047468

STATEMENT 6 (CONTINUED)
FORM 990-PF, PART XV, LINE 3A
RECIPIENT PAID DURING THE YEAR

NAME AND ADDRESS	DONEE RELATIONSHIP	FOUND- ATION STATUS	PURPOSE OF GRANT	AMOUNT
RELIANCE HOUSE 40 BROADWAY NORWICH, CT 06360		EXEMPT	EXEMPT PURPOSE OF DONEE	\$ 2,000.
SAFE FUTURES, INC 16 JAY STREET NEW LONDON, CT 06320		EXEMPT	EXEMPT PURPOSE OF DONEE	5,000.
SALT MARSH OPERA 65 CUTLER STREET STONINGTON, CT 06378		EXEMPT	EXEMPT PURPOSE OF DONEE	1,500.
SALVATION ARMY 170 BANK STREET NEW LONDON, CT 06320		EXEMPT	EXEMPT PURPOSE OF DONEE	4,000.
SMITH COLLEGE 10 ELM STREET NORTHAMPTON, MA 01063		EXEMPT	EXEMPT PURPOSE OF DONEE	1,000.
UNITED WAY OF SOUTHEASTERN CONNECTICUT 283 STODDARDS WHARF ROAD GALES FERRY, CT 06335		EXEMPT	EXEMPT PURPOSE OF DONEE	1,000.
VISITING NURSES ASSOCIATION OF SE CT 403 NORTH FRONTAGE ROAD WATERFORD, CT 06385		EXEMPT	EXEMPT PURPOSE OF DONEE	3,000.
WATERFORD COUNTRY SCHOOL 78 HUNTS BROOK ROAD QUAKER HILL, CT 06375		EXEMPT	EXEMPT PURPOSE OF DONEE	10,000.
TOTAL				\$ 180,000.

ANDERSON-PAFFARD FOUNDATION, INC
SCHEDULE OF INVESTMENTS
AS OF SEPTEMBER 30, 2014

<u># Shares or Face Value</u>	<u>Securities, Bonds and Mutual Funds</u>	<u>Cost Basis on statement</u>	<u>Fair Market Value</u>
1,000	ABBVIE Inc	14,722	\$ 57,760
2,000	AG L Resources, Inc	29,398	102,680
1,000	Chevron Corp	57,052	119,320
500	Cullen Frost Bkrs.	10,846	38,255
1,750	Dominion Resources, Inc.	29,447	120,908
1,500	Exxon Corp.	46,879	141,075
4,500	Gabelli Dividend & Income Trust	79,960	95,850
500	General Mills, Inc.	11,724	25,225
1,000	Johnson & Johnson, Inc.	53,550	106,590
1,000	Senior HSG PPTYSTR	12,023	20,920
1,000	Verizon Communications	12,745	49,990
2,000	Wells Fargo & Co. New	71,096	103,740
		\$ 429,441	\$ 982,313

Equity Defined Portfolio

6,809	First Trust Capital Ser 23	68,497	70,405
2,957	First Trust SMID Capital Ser 15	30,010	34,153
930	First Trust SMID Capital Ser 17	10,001	9,914
1,500	First Trust Deep Value Dividend Ser Cash	15,006	14,145
4,125	First Trust Deep Value Dividend Ser 10	40,615	42,323
1,760	First Trust Dividend Ser 6	17,998	25,238
2,940	First Trust Dividend Ser 7	30,011	39,984
8,143	First Trust Dividend Ser 9	79,965	90,713
2,963	First Trust Dividend Ser 18	30,006	34,815
4,963	First Trust Dividend Ser 19	52,005	58,365
4,274	First Trust Dividend Ser 21	42,476	44,450
6,185	First Trust Dividend Ser 22	62,222	61,850
7,574	First Trust Dividend Ser 23	74,933	73,847
6,353	First Trust Utilities Ser 25	62,622	60,163
5,327	First Trust Utilities Ser 26	55,652	53,430
5,655	First Trust Utilities Ser 27	58,156	59,151
8,321	First Trust Utilities Ser 29	85,393	78,384
5,585	First Trust Utilities Ser 30	56,567	53,504
1,815	First Trust Equity Ser 33	18,003	21,562
2,928	First Trust Equity Ser 34	30,013	35,868
1,927	First Trust Equity Ser 35	20,013	22,681
3,469	First Trust Equity Ser 38	35,129	37,292
6,731	First Trust Equity Ser 39	68,858	69,195
7,795	First Trust Equity Ser 40.C	78,623	77,013
9,058	First Trust Target VIP 3Q - 2013	91,845	103,352
1,953	First Trust Target Global 4Q - 2013	18,887	19,218
2,473	First Trust Target Global 3Q - 2014	25,000	23,221
980	First Trust Portfolios Grow & Inc Ser 25	9,972	10,016
5,721	First Trust Select Portfolios 3Q - 2013	57,109	62,874
1,950	First Trust Select Portfolios 4Q - 2013	20,005	20,690
3,424	First Trust Select Portfolios 2Q - 2014	33,898	34,206
5,169	First Trust Select Portfolios 3Q - 2014	51,298	51,276
6,028	Advisors Asset Mgmt- Ser 13-3Q	60,534	63,294
2,429	Advisors Asset Mgmt- Ser 13-4Q	25,002	25,359
7,025	Advisors Asset Mgmt- Ser 14-3Q	69,548	65,824

ANDERSON-PAFFARD FOUNDATION, INC
SCHEDULE OF INVESTMENTS
AS OF SEPTEMBER 30, 2014

2,242	Guggenheim Dividend Ser 9	25,005	26,837
1,924	Guggenheim Dividend Ser 12	20,010	20,144
1,839	Guggenheim Dividend Portfolio 10	20,000	20,431
1,913	Guggenheim Dividend Ser 14 C	19,987	20,507
2,550	Guggenheim High Dividend Ser 6	25,501	24,506
2,294	Guggenheim Large Cap Ser 21	25,005	24,156
		<u>\$ 1,721,379</u>	<u>\$ 1,784,355</u>

<u># Shares or Face Value</u>	<u>Securities, Bonds and Mutual Funds</u>	<u>Cost Basis</u>	<u>Fair Market Value</u>
<u>Taxable Bonds</u>			
20,000	Geico Corp Deb	22,255	25,976
21,000	Merck & Co Inc	22,051	26,608
45,000	GTE California Inc.	50,542	51,170
25,000	El Dupont Nemour	27,455	31,541
50,000	Johnson & Johnson Deb	63,851	70,129
10,000	United Technologies Corp	13,982	13,981
10,000	Deere & Co	14,057	14,655
10,000	Caterpillar Inc	13,723	13,691
10,000	Boeing Co	14,987	15,239
1,000	Texaco Capital Inc	1,426	1,482
10,000	XTO Energy Inc	13,841	14,186
40,000	Walmart	44,276	53,082
25,000	AT&T	25,599	30,470
10,000	Tennessee Valley Auth Power Bond	10,181	11,403
20,000	Houma La Rfdg Ctfs Indbt	21,347	20,053
15,000	Allegheny Cnty pa Redev	16,448	15,061
5,000	Los Angeles Ca Conv & Exhib	5,239	5,008
15,000	Central Greene Pa Sch Dist	19,004	17,647
15,000	Hydro Quebec	18,671	20,909
1,500	Deutsche Bank Cont Capital Tr	35,942	38,865
		<u>\$ 454,877</u>	<u>\$ 491,156</u>

<u>Mutual Funds</u>			
84,255.955	Franklin Income Fd	\$ 185,016	\$ 210,640
1,944.377	Fundamental Invr Inc	74,100	105,113
4,888.954	Income Fd of America Inc. Class A shares	75,354	104,868
8,822.907	Wells Fargo Wealth Builder Moderate Fund	110,018	107,198
8,568.239	Wells Fargo Wealth Builder Conservative Fund	93,018	92,880
		<u>\$ 537,506</u>	<u>\$ 620,699</u>

Total portfolio value at September 30, 2014	<u>\$ 3,143,204</u>	<u>\$ 3,878,523</u>
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**ANDERSON-PAFFARD
STOCK SALES
9/30/2014**

SALES

STOCK	DATE	SHARES	PROCEEDS	COST	REALIZED GAIN/(LOSS)
PACIFIC BELL	10/15/13	5,000.000	5,056.00	5,305.00	(249.00)
FIRST TRUST - UTILITIES SER 19	11/07/13	4,938.000	58,162.73	49,996.00	8,166.73
AGL RESOURCES INC	11/13/13	500.000	23,016.08	7,349.60	15,666.48
DOMINION RESOURCES, INC	11/13/13	500.000	32,197.77	8,412.40	23,785.37
EXXON MOBIL CORP	11/13/13	250.000	22,634.73	7,813.00	14,821.73
FUNDAMENTAL INVRS INC CLASS A	11/13/13	551.615	27,994.00	21,022.09	6,971.91
GENERAL MILLS INC	11/13/13	100.000	4,908.38	2,343.45	2,564.93
GENERAL MILLS INC	11/13/13	100.000	4,914.29	2,343.45	2,570.84
FRONTIER COMMUNICATIONS CORP	11/13/13	240.000	1,073.54	-	1,073.54
INCOME FUND OF AMERICA - CLASS A	11/13/13	1,524.840	30,994.00	25,686.80	5,307.20
WELLS FARGO COMPANY	11/13/13	500.000	20,685.95	17,774.20	2,911.75
NEW YORK TELEPHONE COMPANY	11/18/13	25,000.000	25,000.00	26,340.00	(1,340.00)
FIRST TRUST - DIVIDEND SER 2	11/21/13	2,510.000	42,417.75	28,004.00	14,413.75
FUNDAMENTAL INVRS INC CLASS A	01/10/14	58.188	3,000.00	2,217.55	782.45
INCOME FUND OF AMERICA - CLASS A	01/10/14	97.473	2,000.00	1,641.99	358.01
FIRST TRUST - TARGET	01/17/14	7,487.000	82,985.15	74,121.07	8,864.08
FIRST TRUST - DIVIDEND SER 13	01/28/14	803.000	9,983.80	7,838.15	2,145.65
FIRST TRUST - CAPITAL SER 15	01/28/14	1,311.000	15,987.02	12,940.51	3,046.51
FIRST TRUST - DIVIDEND SER 14	01/28/14	850.000	9,983.37	8,101.44	1,881.93
FIRST TRUST - DIVIDEND SER 15	01/28/14	804.000	9,993.83	8,205.16	1,788.67
FIRST TRUST - DIVIDEND SER 13	02/11/14	3,437.000	41,624.13	33,548.85	8,075.28
EXXON MOBIL CORP	02/19/14	250.000	23,293.57	7,813.00	15,480.57
GENERAL MILLS INC	02/19/14	300.000	14,576.48	7,030.35	7,546.13
FIRST TRUST - CAPITAL SER 15	03/07/14	5,349.000	68,502.50	52,798.49	15,704.01
FIRST TRUST - EQUITY SER 38	04/01/14	0.008	0.08	0.08	0.00
GENERAL MILLS INC	04/03/14	300.000	15,289.60	7,030.35	8,259.25
SENIOR HOUSING PROPERTY	04/03/14	2,000.000	44,414.11	24,055.33	20,358.78
FIRST TRUST - SELECT 1Q - 2013	04/17/15	2,888.000	33,907.14	30,010.00	3,897.14
FIRST TRUST - EQUITY SER 31	04/23/14	3,651.000	43,759.79	34,990.00	8,769.79
FIRST TRUST - UTILITIES SER 21	04/29/14	7,629.000	85,399.03	75,791.00	9,608.03
FIRST TRUST - DIVIDEND SER 14	05/08/14	5,130.000	62,226.39	48,894.56	13,331.83
FIRST TRUST - EQUITY SER 39	06/20/14	0.827	8.69	8.30	0.39
FIRST TRUST - SELECT 2Q - 2013	07/17/14	2,969.000	36,312.35	30,010.00	6,302.35
FIRST TRUST - EQUITY SER 32	07/21/14	6,329.000	78,624.53	64,998.00	13,626.53
GABELLI GLOBAL SMALL & MID CAP	07/22/14	450.000	4,676.61	-	4,676.61
GENERAL MILLS INC	07/22/14	200.000	10,362.00	4,686.90	5,675.10
FIRST TRUST - UTILITIES SER 22	07/31/14	5,263.000	56,574.09	51,607.00	4,967.09
FIRST TRUST - DIVIDEND SER 15	07/31/14	5,578.000	74,934.29	56,925.84	18,008.45
ABBVIE INC	08/25/14	900.000	49,626.69	6,772.50	42,854.19
ABBVIE INC	08/25/14	100.000	5,515.34	752.50	4,762.84
CULLEN FROST BANKERS INC	08/25/14	300.000	23,530.31	9,508.80	14,021.51
CULLEN FROST BANKERS INC	08/25/14	200.000	15,672.79	6,339.20	9,333.59
DOMINION RESOURCES, INC	08/25/14	150.000	10,324.56	2,523.72	7,800.84
DOMINION RESOURCES, INC	08/25/14	100.000	6,886.35	1,682.48	5,203.87
GENERAL MILLS INC	08/25/14	500.000	25,955.54	11,717.25	14,238.29
ALLEGHENY CNTY PA	09/02/14	5,000.000	5,000.00	5,474.50	(474.50)
ADVISORS ASSET MGMT SER 2013 - 2Q	09/15/14	6,206.000	69,548.16	61,534.00	8,014.16
TOTAL			1,339,533.51	953,958.86	385,574.65