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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**

- ▶ **Do not enter Social Security numbers on this form as it may be made public.**  
▶ Information about Form 990-PF and its separate instructions is at [www.irs.gov/form990pf](http://www.irs.gov/form990pf).

OMB No 1545-0052

**2013**

For calendar year 2013, or tax year beginning 11/01, 2013, and ending 9/30, 2014

JAMES H WOODS III FOUNDATION  
PO BOX 505  
CUBA, MO 65453**A** Employer identification number  
37-6551347**B** Telephone number (see the instructions)  
314-993-8634

**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) **J** Accounting method ☒ Cash ☐ Accrual  
☐ Other (specify) \_\_\_\_\_

▶ \$ 1,434,433. (Part I, column (d) must be on cash basis)

**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)

|  |  |            |          |          |         |
|--|--|------------|----------|----------|---------|
| <b>REVENUE</b>                               | <b>1</b> Contributions, gifts, grants, etc., received (att sch)                | 1,155,681. |          |          |         |
|  | <b>2</b> Ck <input type="checkbox"/> if the foundn is not req to att Sch B     |            |          |          |         |
|  | <b>3</b> Interest on savings and temporary cash investments                    |            |          |          |         |
|  | <b>4</b> Dividends and interest from securities                                | 13,915.    | 13,915.  | 13,915.  |         |
|  | <b>5a</b> Gross rents  |            |          |          |         |
|  | <b>b</b> Net rental income or (loss)   |            |          |          |         |
|  | <b>6a</b> Net gain/(loss) from sale of assets not on line 10                   | 109,792.   |          |          |         |
|  | <b>b</b> Gross sales price for all assets on line 6a                           | 757,094.   |          |          |         |
|  | <b>7</b> Capital gain net income (from Part IV, line 2)                        |            | 109,792. |          |         |
|  | <b>8</b> Net short-term capital gain   |            |          | 109,792. |         |
|  | <b>9</b> Income modifications  |            |          |          |         |
|  | <b>10a</b> Gross sales less returns and allowances                             |            |          |          |         |
| <b>ADMINISTRATIVE AND OPERATING EXPENSES</b> | <b>b</b> Less Cost of goods sold   |            |          |          |         |
|  | <b>c</b> Gross profit/(loss) (att sch)   |            |          |          |         |
|  | <b>11</b> Other income (attach schedule)                                       |            |          |          |         |
|  | <b>12</b> Total. Add lines 1 through 11  | 1,279,388. | 123,707. | 123,707. |         |
|  | <b>13</b> Compensation of officers, directors, trustees, etc.                  | 0.         |          |          |         |
|  | <b>14</b> Other employee salaries and wages                                    |            |          |          |         |
|  | <b>15</b> Pension plans, employee benefits                                     |            |          |          |         |
|  | <b>16a</b> Legal fees (attach schedule) SEE ST 1                               | 2,975.     | 2,975.   | 2,975.   | 2,975.  |
|  | <b>b</b> Accounting fees (attach sch)  |            |          |          |         |
|  | <b>c</b> Other prof fees (attach sch) SEE ST 2                                 | 8,200.     | 8,200.   | 8,200.   | 8,200.  |
|  | <b>17</b> Interest   |            |          |          |         |
|  | <b>18</b> Taxes (attach schedule)  |            |          |          |         |
|  | <b>19</b> Depreciation (attach sch) and depletion                              |            |          |          |         |
|  | <b>20</b> Occupancy  |            |          |          |         |
|  | <b>21</b> Travel, conferences, and meetings                                    |            |          |          |         |
|  | <b>22</b> Printing and publications  |            |          |          |         |
|  | <b>23</b> Other expenses (attach schedule)                                     |            |          |          |         |
|  | <b>24</b> Total operating and administrative expenses. Add lines 13 through 23 | 11,175.    | 11,175.  | 11,175.  | 11,175. |
|  | <b>25</b> Contributions, gifts, grants paid                                    |            |          |          |         |
|  | <b>26</b> Total expenses and disbursements. Add lines 24 and 25                | 11,175.    | 11,175.  | 11,175.  | 11,175. |
|  | <b>27</b> Subtract line 26 from line 12:                                       |            |          |          |         |
|  | <b>a</b> Excess of revenue over expenses and disbursements                     | 1,268,213. |          |          |         |
|  | <b>b</b> Net investment income (if negative, enter 0)                          |            | 112,532. |          |         |
|  | <b>c</b> Adjusted net income (if negative, enter 0)                            |            |          | 112,532. |         |

BAA For Paperwork Reduction Act Notice, see instructions.

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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  |                |                       |             |  |
|                             | 2   | Savings and temporary cash investments   |                |                       |             |  |
|                             | 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)  |                |                       |             |  |
|                             | 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) STATEMENT 3   |  | 1,434,433.     | 1,434,433.            |             |  |
| 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) | 0.   | 1,434,433.     | 1,434,433.            |             |  |
| LIABILITIES                 | 17  | Accounts payable and accrued expenses  |                |                       |             |  |
|                             | 18  | Grants payable   |                |                       |             |  |
|                             | 19  | Deferred revenue   |                | 166,220.              |             |  |
|                             | 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.             | 166,220.              |             |  |
| NET ASSETS OR FUND BALANCES |   | Foundations that follow SFAS 117, check here and complete lines 24 through 26 and lines 30 and 31. <input checked="" type="checkbox"/> |                |                       |             |  |
|                             | 24  | Unrestricted   |                | 1,268,213.            |             |  |
|                             | 25  | Temporarily restricted   |                |                       |             |  |
|                             | 26  | Permanently restricted   |                |                       |             |  |
|                             |   | Foundations that do not follow SFAS 117, check here and complete lines 27 through 31. <input type="checkbox"/>                         |                |                       |             |  |
|                             | 27  | Capital stock, trust principal, or current funds   |                |                       |             |  |
|                             | 28  | Paid-in or capital surplus, or land, building, and equipment fund  |                |                       |             |  |
|                             | 29  | Retained earnings, accumulated income, endowment, or other funds   |                |                       |             |  |
|                             | 30  | Total net assets or fund balances (see instructions)   | 0.             | 1,268,213.            |             |  |
|                             | 31  | Total liabilities and net assets/fund balances (see instructions)  | 0.             | 1,434,433.            |             |  |

## 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 | 0.         |
| 2 | Enter amount from Part I, line 27a   | 2 | 1,268,213. |
| 3 | Other increases not included in line 2 (itemize) ▶   | 3 |            |
| 4 | Add lines 1, 2, and 3  | 4 | 1,268,213. |
| 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 | 1,268,213. |

**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<br>P — Purchase<br>D — Donation | (c) Date acquired<br>(month, day, year) | (d) Date sold<br>(month, day, year) |
|--|--|--|---|-------------------------------------|
| 1 a SEE STATEMENT 4  |  |  |   |                                     |
| b  |  |  |   |                                     |
| c  |  |  |   |                                     |
| d  |  |  |   |                                     |
| e  |  |  |   |                                     |

| (e) Gross sales price | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
|-----------------------|--|---|--|
| a                     |  |   |  |
| 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)<br>gain minus column (k), but not less<br>than -0-) or Losses (from column (h)) |
|---|--------------------------------------|---|---|
| (i) Fair Market Value<br>as of 12/31/69   | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of column (i)<br>over column (j), if any |   |
| a   |                                      |   |   |
| b   |                                      |   |   |
| c   |                                      |   |   |
| d   |                                      |   |   |
| e   |                                      |   |   |

|  |  |  |   |          |
|--|--|--|---|----------|
| 2 Capital gain net income or (net capital loss)                                | <div style="border: 1px solid black; padding: 2px;">           If gain, also enter in Part I, line 7<br/>           If (loss), enter -0- in Part I, line 7         </div>                  |  | 2 | 109,792. |
| 3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) | <div style="border: 1px solid black; padding: 2px;">           If gain, also enter in Part I, line 8, column (c) (see instructions). If (loss), enter -0- in Part I, line 8         </div> |  | 3 | 109,792. |

**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 ) N/A

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<br>Calendar year (or tax year<br>beginning in)  | (b) Adjusted qualifying distributions | (c) Net value of<br>noncharitable-use assets | (d) Distribution ratio<br>(column (b) divided by column (c)) |
| 2012  |                                       |  |  |
| 2011  |                                       |  |  |
| 2010  |                                       |  |  |
| 2009  |                                       |  |  |
| 2008  |                                       |  |  |

|  |   |
|--|---|
| 2 Total of line 1, column (d)  | 2 |
| 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 |
| 4 Enter the net value of noncharitable-use assets for 2013 from Part X, line 5   | 4 |
| 5 Multiply line 4 by line 3  | 5 |
| 6 Enter 1% of net investment income (1% of Part I, line 27b)   | 6 |
| 7 Add lines 5 and 6  | 7 |
| 8 Enter qualifying distributions from Part XII, line 4   | 8 |

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.

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**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.<br>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 | 2,251. |
| 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 | 2,251. |
| 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 | 2,251. |
| 6 Credits/Payments   |          |   |        |
| a 2013 estimated tax pmts and 2012 overpayment credited to 2013  | 6 a      |   |        |
| 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        |   | 0.     |
| 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        |   | 2,251. |
| 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)?<br><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<br>(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?<br><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?<br><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:<br>• By language in the governing instrument, or<br>• 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)<br>MO  |     |     |
| 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>  | 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><br>SEE STATEMENT 5   | 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?<br>Website address <u>N/A</u>  | 13 | X |     |
| 14  | The books are in care of <u>DARRELL LAYMAN</u> Telephone no. <u>573-885-7323</u><br>Located at <u>202 W WASHINGTON CUBA MO</u> ZIP + 4 <u>65453</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)?<br>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?<br>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 <b>not</b> 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.<br><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)?Organizations relying on a current notice regarding disaster assistance check here ☐**5 b**

N/A

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

N/A

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? ☐ Yes ☒ No

If 'Yes' to 6b, file Form 8870

**6 b**

X

**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? ☐ Yes ☒ No

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 |
|---|---|---|---|---------------------------------------|
| JAMES H WOODS III<br>PO BOX 32510<br>DEVONPORT, AUCKLAND 0744 NEW ZEALAND | TRUSTEE<br>0  | 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  |                     |                  |
|   |                     |                  |
|   |                     |                  |
|   |                     |                  |
|   |                     |                  |
|   |                     |                  |
|   |                     |                  |
|   |                     |                  |
|   |                     |                  |
|   |                     |                  |
| <b>Total number of others receiving over \$50,000 for professional services</b> |                     | <b>0</b>         |

**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   |           |
| <b>Total.</b> Add lines 1 through 3   | <b>0.</b> |

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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 | 736,699. |
| b Average of monthly cash balances  | 1 b |          |
| c Fair market value of all other assets (see instructions)  | 1 c |          |
| d Total (add lines 1a, b, and c)  | 1 d | 736,699. |
| 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   | 736,699. |
| 4 Cash deemed held for charitable activities. Enter 1-1/2% of line 3 (for greater amount, see instructions)   | 4   | 11,050.  |
| 5 Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4        | 5   | 725,649. |
| 6 Minimum investment return. Enter 5% of line 5   | 6   | 36,282.  |

**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        | 36,282. |
| 2a Tax on investment income for 2013 from Part VI, line 5  | 2 a | 2,251.   |         |
| b Income tax for 2013 (This does not include the tax from Part VI.)                                  | 2 b |          |         |
| c Add lines 2a and 2b  | 2 c | 2,251.   |         |
| 3 Distributable amount before adjustments. Subtract line 2c from line 1                              | 3   | 34,031.  |         |
| 4 Recoveries of amounts treated as qualifying distributions  | 4   | 68,577.  |         |
| 5 Add lines 3 and 4  | 5   | 102,608. |         |
| 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   | 102,608. |         |

**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 | 11,175. |
| 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   | 11,175. |
| 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   | 11,175. |

**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)<br>Corpus | (b)<br>Years prior to 2012 | (c)<br>2012 | (d)<br>2013 |
|---|---------------|----------------------------|-------------|-------------|
| <b>1</b> Distributable amount for 2013 from Part XI, line 7   |               |                            |             | 102,608.    |
| <b>2</b> Undistributed income, if any, as of the end of 2013:   |               |                            |             |             |
| <b>a</b> Enter amount for 2012 only   |               |                            | 0.          |             |
| <b>b</b> Total for prior years 20__, 20__, 20__   |               | 0.                         |             |             |
| <b>3</b> Excess distributions carryover, if any, to 2013:   |               |                            |             |             |
| <b>a</b> From 2008  |               |                            |             |             |
| <b>b</b> From 2009  |               |                            |             |             |
| <b>c</b> From 2010  |               |                            |             |             |
| <b>d</b> From 2011  |               |                            |             |             |
| <b>e</b> From 2012  |               |                            |             |             |
| <b>f</b> Total of lines 3a through e  | 0.            |                            |             |             |
| <b>4</b> Qualifying distributions for 2013 from Part XII, line 4: ▶ \$ 11,175.  |               |                            |             |             |
| <b>a</b> Applied to 2012, but not more than line 2a   |               |                            | 0.          |             |
| <b>b</b> Applied to undistributed income of prior years (Election required — see instructions)  |               | 0.                         |             |             |
| <b>c</b> Treated as distributions out of corpus (Election required — see instructions)  | 0.            |                            |             |             |
| <b>d</b> Applied to 2013 distributable amount   |               |                            |             | 11,175.     |
| <b>e</b> Remaining amount distributed out of corpus   | 0.            |                            |             |             |
| <b>5</b> Excess distributions carryover applied to 2013 (If an amount appears in column (d), the same amount must be shown in column (a) )  | 0.            |                            |             | 0.          |
| <b>6</b> Enter the net total of each column as indicated below:   |               |                            |             |             |
| <b>a</b> Corpus Add lines 3f, 4c, and 4e Subtract line 5  | 0.            |                            |             |             |
| <b>b</b> Prior years' undistributed income. Subtract line 4b from line 2b   |               | 0.                         |             |             |
| <b>c</b> 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.                         |             |             |
| <b>d</b> Subtract line 6c from line 6b Taxable amount — see instructions  |               | 0.                         |             |             |
| <b>e</b> Undistributed income for 2012 Subtract line 4a from line 2a Taxable amount — see instructions  |               |                            | 0.          |             |
| <b>f</b> Undistributed income for 2013 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2014  |               |                            |             | 91,433.     |
| <b>7</b> Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions)                                  | 0.            |                            |             |             |
| <b>8</b> Excess distributions carryover from 2008 not applied on line 5 or line 7 (see instructions)  | 0.            |                            |             |             |
| <b>9</b> Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a  | 0.            |                            |             |             |
| <b>10</b> Analysis of line 9:   |               |                            |             |             |
| <b>a</b> Excess from 2009   |               |                            |             |             |
| <b>b</b> Excess from 2010   |               |                            |             |             |
| <b>c</b> Excess from 2011   |               |                            |             |             |
| <b>d</b> Excess from 2012   |               |                            |             |             |
| <b>e</b> Excess from 2013   |               |                            |             |             |

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**Part XV** Supplementary Information (continued)

| 3 Grants and Contributions Paid During the Year or Approved for Future Payment |   |                                |                                  | N/A        |
|--|---|--------------------------------|----------------------------------|------------|
| 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)  |   |                                |                                  |            |
| <b>a</b> Paid during the year  |   |                                |                                  |            |
| <b>Total</b>   |   |                                |                                  | <b>3 a</b> |
| <b>b</b> Approved for future payment   |   |                                |                                  |            |
| <b>Total</b>   |   |                                |                                  | <b>3 b</b> |





**Schedule B**  
**(Form 990, 990-EZ,**  
**or 990-PF)**

Department of the Treasury  
Internal Revenue Service

**Schedule of Contributors**

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

OMB No 1545-0047

**2013**

Name of the organization

**JAMES H WOODS III FOUNDATION**

Employer identification number

**37-6551347**

**Organization type** (check one):

**Filers of:**

Form 990 or 990-EZ

**Section:**

- ☐ 501(c)( ) (enter number) organization  
☐ 4947(a)(1) nonexempt charitable trust **not** treated as a private foundation  
☐ 527 political organization

Form 990-PF

- ☒ 501(c)(3) exempt private foundation  
☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation  
☐ 501(c)(3) taxable private foundation

Check if your organization is covered by the **General Rule** or a **Special Rule**

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

**General Rule**

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

**Special Rules**

- ☐ For a section 501(c)(3) organization filing Form 990 or 990-EZ that met the 33-1/3% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi) and received from any one contributor, during the year, a contribution of the greater of (1) \$5,000 or (2) 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1. Complete Parts I and II.
- ☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than \$1,000 for use *exclusively* for religious, charitable, scientific, literary, or educational purposes, or the prevention of cruelty to children or animals. Complete Parts I, II, and III.
- ☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions for use *exclusively* for religious, charitable, etc., purposes, but these contributions did not total to more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Do not complete any of the parts unless the **General Rule** applies to this organization because it received nonexclusively religious, charitable, etc., contributions of \$5,000 or more during the year ► \$ \_\_\_\_\_

**Caution:** An organization that is not covered by the General Rule and/or the Special Rules does not file Schedule B (Form 990, 990-EZ, or 990-PF) but it **must** answer 'No' on Part IV, line 2, of its Form 990; or check the box on line H of its Form 990-EZ or on its Form 990-PF, Part I, line 2, to certify that it does not meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF).

**BAA For Paperwork Reduction Act Notice, see the Instructions for Form 990, 990-EZ, or 990-PF.**

Schedule B (Form 990, 990-EZ, or 990-PF) (2013)

Name of organization

JAMES H WOODS III FOUNDATION

Employer identification number

37-6551347

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

| (a)<br>Number | (b)<br>Name, address, and ZIP + 4  | (c)<br>Total<br>contributions | (d)<br>Type of contribution   |
|---------------|--|-------------------------------|---|
| 1             | THOMAS HILL WARD FOUNDATION<br>222 E DUNKLIN<br>JEFFERSON CITY, MO 65101 | \$ 259,751.                   | Person <input type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input checked="" type="checkbox"/><br>(Complete Part II for noncash contributions.) |
| 2             | JAMES H WOODS JR FOUNDATION<br>4 LAYTON TERRACE<br>ST LOUIS, MO 63124    | \$ 828,752.                   | Person <input type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input checked="" type="checkbox"/><br>(Complete Part II for noncash contributions.) |
| 3             | JAMES H WOODS JR FOUNDATION<br>4 LAYTON TERRACE<br>ST LOUIS, MO 63124    | \$ 65,159.                    | Person <input checked="" type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II for noncash contributions.) |
|               |  |                               | Person <input type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II for noncash contributions.)            |
|               |  |                               | Person <input type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II for noncash contributions.)            |
|               |  |                               | Person <input type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II for noncash contributions.)            |





Employer identification number

37-6551347

**organizations that total more than \$1,000 for the year. Complete columns (a) through (e) and the following line entry.**

► \$ N/A

[illegible]

**STATEMENT 1**  
**FORM 990-PF, PART I, LINE 16A**  
**LEGAL FEES**

|              | (A)<br>EXPENSES<br>PER BOOKS | (B) NET<br>INVESTMENT<br>INCOME | (C)<br>ADJUSTED<br>NET INCOME | (D)<br>CHARITABLE<br>PURPOSES |
|--------------|------------------------------|---------------------------------|-------------------------------|-------------------------------|
| LEGAL        | \$ 2,975.                    | \$ 2,975.                       | \$ 2,975.                     | \$ 2,975.                     |
| <b>TOTAL</b> | <b>\$ 2,975.</b>             | <b>\$ 2,975.</b>                | <b>\$ 2,975.</b>              | <b>\$ 2,975.</b>              |

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

|                            | (A)<br>EXPENSES<br>PER BOOKS | (B) NET<br>INVESTMENT<br>INCOME | (C)<br>ADJUSTED<br>NET INCOME | (D)<br>CHARITABLE<br>PURPOSES |
|----------------------------|------------------------------|---------------------------------|-------------------------------|-------------------------------|
| INVESTMENT MANAGEMENT FEES | \$ 8,200.                    | \$ 8,200.                       | \$ 8,200.                     | \$ 8,200.                     |
| <b>TOTAL</b>               | <b>\$ 8,200.</b>             | <b>\$ 8,200.</b>                | <b>\$ 8,200.</b>              | <b>\$ 8,200.</b>              |

**STATEMENT 3**  
**FORM 990-PF, PART II, LINE 13**  
**INVESTMENTS - OTHER**

|   | VALUATION<br>METHOD | BOOK<br>VALUE        | FAIR MARKET<br>VALUE |
|---|---------------------|----------------------|----------------------|
| <u>OTHER PUBLICLY TRADED SECURITIES</u> |                     |                      |                      |
| COMMERCE TRUST PORTFOLIO                | MKT VAL             | \$ 1,434,433.        | \$ 1,434,433.        |
| <b>TOTAL</b>                            |                     | <b>\$ 1,434,433.</b> | <b>\$ 1,434,433.</b> |

**STATEMENT 4**  
**FORM 990-PF, PART IV, LINE 1**  
**CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME**

| ITEM | (A) DESCRIPTION                   | (B) HOW<br>ACQUIRED | (C) DATE<br>ACQUIRED | (D) DATE<br>SOLD |
|------|-----------------------------------|---------------------|----------------------|------------------|
| 1    | VANGUARD INTERMEDIATE             | PURCHASED           | 4/01/2014            | 4/02/2014        |
| 2    | 0.667 CDK GLOBAL INC              | PURCHASED           | 1/01/2014            | 1/14/2014        |
| 3    | 501.25 COLUMBIA ACORN US          | PURCHASED           | 4/30/2014            | 5/13/2014        |
| 4    | 3169.5 COLUMBIA STRATEGIC INCOME  | PURCHASED           | 4/30/2014            | 5/13/2014        |
| 5    | 3483.5 COLUMBIA INT.BOND FUND-Z   | PURCHASED           | 4/30/2014            | 5/13/2014        |
| 6    | 2009.249 COLUMBIA CONTRARIAN CORE | PURCHASED           | 4/30/2014            | 5/13/2014        |
| 7    | 493.75 COLUMBIA SMALL CAP GROWT   | PURCHASED           | 4/30/2014            | 5/13/2014        |
| 8    | 1928 COLUMBIA EMERGING MKTS       | PURCHASED           | 4/30/2014            | 5/13/2014        |
| 9    | 208 TE CONNECTIVITY LTD           | PURCHASED           | 4/30/2014            | 5/15/2014        |
| 10   | 101 ABBOTT LABS                   | PURCHASED           | 4/30/2014            | 5/15/2014        |
| 11   | 66 ABBVIE INC                     | PURCHASED           | 4/30/2014            | 5/15/2014        |
| 12   | 50 AMGEN INC                      | PURCHASED           | 4/30/2014            | 5/15/2014        |
| 13   | 145 CHUBB CORP                    | PURCHASED           | 4/30/2014            | 5/15/2014        |
| 14   | 67 CULLEN FROST BANKERS           | PURCHASED           | 4/30/2014            | 5/15/2014        |

**STATEMENT 4 (CONTINUED)**  
**FORM 990-PF, PART IV, LINE 1**  
**CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME**

| ITEM | (A) DESCRIPTION                   | (B) HOW<br>ACQUIRED | (C) DATE<br>ACQUIRED | (D) DATE<br>SOLD |
|------|-----------------------------------|---------------------|----------------------|------------------|
| 15   | 150 DISCOVER FIN. SERVICES        | PURCHASED           | 4/30/2014            | 5/15/2014        |
| 16   | 84 DU PONT (E I) DE NEMOURS CO    | PURCHASED           | 4/30/2014            | 5/15/2014        |
| 17   | 250 EMC CORPORATION               | PURCHASED           | 4/30/2014            | 5/15/2014        |
| 18   | 100 EXXON MOBIL CORPORATION       | PURCHASED           | 4/30/2014            | 5/15/2014        |
| 19   | 100 APACHE CORP                   | PURCHASED           | 4/30/2014            | 7/15/2014        |
| 20   | 50 CHEVRON CORPORATION            | PURCHASED           | 4/30/2014            | 7/15/2014        |
| 21   | 111 DEERE & CO                    | PURCHASED           | 4/30/2014            | 7/15/2014        |
| 22   | 50 DIAGEO PLC - ADR               | PURCHASED           | 4/30/2014            | 7/15/2014        |
| 23   | 572.737 ABSOLUTE OPPORTUNITIES FD | PURCHASED           | 4/30/2014            | 5/13/2014        |
| 24   | 550 GOLDMAN SACHS GROWTH          | PURCHASED           | 4/30/2014            | 5/13/2014        |
| 25   | 685.303 GOLDMAN SACHS US EQUITY   | PURCHASED           | 4/30/2014            | 5/13/2014        |
| 26   | 806.5 OPPENHEIMER INT.GROWTH      | PURCHASED           | 4/30/2014            | 5/13/2014        |
| 27   | 2907 PIMCO COMMODITIES PLUS       | PURCHASED           | 4/30/2014            | 5/13/2014        |
| 28   | 1268.5 RIDGEWORTH MID CAP VALUE   | PURCHASED           | 4/30/2014            | 5/13/2014        |
| 29   | 1959.25 SCHRODER EMERGING MKT     | PURCHASED           | 4/30/2014            | 5/13/2014        |
| 30   | 1380.25 TEMPLETON GLOBAL BOND     | PURCHASED           | 4/30/2014            | 5/13/2014        |
| 31   | 669 VICTORY SMALL CO OPP FUND     | PURCHASED           | 4/30/2014            | 5/13/2014        |
| 32   | 500 ISHARES MSCI EMERGING MKTS    | PURCHASED           | 4/30/2014            | 5/15/2014        |
| 33   | 66 KELLOGG CO                     | PURCHASED           | 4/30/2014            | 5/15/2014        |
| 34   | 134 KINDER MORGAN INC             | PURCHASED           | 4/30/2014            | 5/15/2014        |
| 35   | 25 KNOWLES CORPORATION            | PURCHASED           | 4/30/2014            | 5/15/2014        |
| 36   | 134 MDU RESOURCES GROUP INC       | PURCHASED           | 4/30/2014            | 5/15/2014        |
| 37   | 165 MARKET VECTORS GOLD MINER     | PURCHASED           | 4/30/2014            | 5/15/2014        |
| 38   | 100 MARKET VECTORS AGRIBUSINES    | PURCHASED           | 4/30/2014            | 5/15/2014        |
| 39   | 175 MARSH & MCLENNAN INC          | PURCHASED           | 4/30/2014            | 5/15/2014        |
| 40   | 67 MEAD JOHNSON NUTRITION         | PURCHASED           | 4/30/2014            | 5/15/2014        |
| 41   | 100 MICROCHIP TECHNOLOGY INC      | PURCHASED           | 4/30/2014            | 5/15/2014        |
| 42   | 67 NATIONAL-OILWELL VARCO         | PURCHASED           | 4/30/2014            | 5/15/2014        |
| 43   | 132 NEWMONT MINING CORP           | PURCHASED           | 4/30/2014            | 5/15/2014        |
| 44   | 100 PLUM CREEK TIMBER CO INC      | PURCHASED           | 4/30/2014            | 5/15/2014        |
| 45   | 87 PRAXAIR INC                    | PURCHASED           | 4/30/2014            | 5/15/2014        |
| 46   | 50 ROCKWELL AUTOMATION INC        | PURCHASED           | 4/30/2014            | 5/15/2014        |
| 47   | 619 SPDR DJ WILSHIRE INTNL R E    | PURCHASED           | 4/30/2014            | 5/15/2014        |
| 48   | 400 SPDR DB INTNL GOVT INFALT     | PURCHASED           | 4/30/2014            | 5/15/2014        |
| 49   | 43 SANOFI SA CVR RIGHTS EXP       | PURCHASED           | 4/30/2014            | 5/15/2014        |
| 50   | 412 SCHWAB CHARLES CORP           | PURCHASED           | 4/30/2014            | 5/15/2014        |
| 51   | 50 SEMPRA ENERGY                  | PURCHASED           | 4/30/2014            | 5/15/2014        |
| 52   | 80 J M SMUCKER CO                 | PURCHASED           | 4/30/2014            | 5/15/2014        |
| 53   | 210 TJX COS INC                   | PURCHASED           | 4/30/2014            | 5/15/2014        |
| 54   | 125 3M CO                         | PURCHASED           | 4/30/2014            | 5/15/2014        |
| 55   | 150 WELLS FARGO & COMPANY         | PURCHASED           | 4/30/2014            | 5/15/2014        |
| 56   | 133 ZOETIS INC                    | PURCHASED           | 4/30/2014            | 5/15/2014        |
| 57   | COLUMBIA ACORN INTL FUND          | PURCHASED           | 4/30/2014            | 6/05/2014        |
| 58   | 100 US BANCORP                    | PURCHASED           | 4/30/2014            | 7/15/2014        |
| 59   | 1777.249 PIMCO TOTAL RETURN FUND  | PURCHASED           | 4/30/2014            | 8/06/2014        |
| 60   | FINANCIAL SQUARE TR GOV           | PURCHASED           | 4/30/2014            | 10/31/2014       |
| 61   | GOLDMAN SACHS US EQUITY           | PURCHASED           | 12/09/2013           | 12/09/2013       |
| 62   | GOLDMAN SACHS US EQUITY           | PURCHASED           | 12/01/2013           | 12/09/2013       |
| 63   | PIMCO EMERGING MKT BOND           | PURCHASED           | 12/01/2013           | 12/13/2013       |
| 64   | PIMCO EMERGING MKT BOND           | PURCHASED           | 12/01/2013           | 12/13/2013       |
| 65   | VANGUARD INTERMEDIATE             | PURCHASED           | 12/01/2013           | 12/13/2013       |

## JAMES H WOODS III FOUNDATION

37-6551347

STATEMENT 4 (CONTINUED)  
 FORM 990-PF, PART IV, LINE 1  
 CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

| ITEM | (E)<br>GROSS<br>SALES | (F)<br>DEPREC.<br>ALLOWED | (G)<br>COST<br>BASIS | (H)<br>GAIN<br>(LOSS) | (I)<br>FMV<br>12/31/69 | (J)<br>ADJ. BAS.<br>12/31/69 | (K)<br>EXCESS<br>(I) - (J) | (L)<br>GAIN<br>(LOSS) |
|------|-----------------------|---------------------------|----------------------|-----------------------|------------------------|------------------------------|----------------------------|-----------------------|
| 1    | 0.                    |                           | 0.                   | 0.                    |                        |                              |                            | \$ 0.                 |
| 2    | 20.                   |                           | 14.                  | 6.                    |                        |                              |                            | 6.                    |
| 3    | 17,634.               |                           | 16,243.              | 1,391.                |                        |                              |                            | 1,391.                |
| 4    | 19,302.               |                           | 20,031.              | -729.                 |                        |                              |                            | -729.                 |
| 5    | 31,944.               |                           | 32,414.              | -470.                 |                        |                              |                            | -470.                 |
| 6    | 42,054.               |                           | 23,788.              | 18,266.               |                        |                              |                            | 18,266.               |
| 7    | 14,393.               |                           | 11,583.              | 2,810.                |                        |                              |                            | 2,810.                |
| 8    | 19,801.               |                           | 19,999.              | -198.                 |                        |                              |                            | -198.                 |
| 9    | 12,214.               |                           | 7,815.               | 4,399.                |                        |                              |                            | 4,399.                |
| 10   | 3,934.                |                           | 2,827.               | 1,107.                |                        |                              |                            | 1,107.                |
| 11   | 3,447.                |                           | 1,702.               | 1,745.                |                        |                              |                            | 1,745.                |
| 12   | 5,575.                |                           | 2,341.               | 3,234.                |                        |                              |                            | 3,234.                |
| 13   | 13,499.               |                           | 9,463.               | 4,036.                |                        |                              |                            | 4,036.                |
| 14   | 5,142.                |                           | 3,936.               | 1,206.                |                        |                              |                            | 1,206.                |
| 15   | 8,740.                |                           | 7,709.               | 1,031.                |                        |                              |                            | 1,031.                |
| 16   | 5,716.                |                           | 4,371.               | 1,345.                |                        |                              |                            | 1,345.                |
| 17   | 6,367.                |                           | 6,196.               | 171.                  |                        |                              |                            | 171.                  |
| 18   | 10,181.               |                           | 6,032.               | 4,149.                |                        |                              |                            | 4,149.                |
| 19   | 9,933.                |                           | 8,655.               | 1,278.                |                        |                              |                            | 1,278.                |
| 20   | 6,523.                |                           | 6,150.               | 373.                  |                        |                              |                            | 373.                  |
| 21   | 9,809.                |                           | 9,146.               | 663.                  |                        |                              |                            | 663.                  |
| 22   | 6,340.                |                           | 6,392.               | -52.                  |                        |                              |                            | -52.                  |
| 23   | 6,409.                |                           | 6,667.               | -258.                 |                        |                              |                            | -258.                 |
| 24   | 16,671.               |                           | 14,995.              | 1,676.                |                        |                              |                            | 1,676.                |
| 25   | 7,833.                |                           | 6,668.               | 1,165.                |                        |                              |                            | 1,165.                |
| 26   | 31,454.               |                           | 26,242.              | 5,212.                |                        |                              |                            | 5,212.                |
| 27   | 33,140.               |                           | 31,250.              | 1,890.                |                        |                              |                            | 1,890.                |
| 28   | 18,292.               |                           | 16,249.              | 2,043.                |                        |                              |                            | 2,043.                |
| 29   | 26,117.               |                           | 25,216.              | 901.                  |                        |                              |                            | 901.                  |
| 30   | 18,192.               |                           | 18,654.              | -462.                 |                        |                              |                            | -462.                 |
| 31   | 27,549.               |                           | 23,741.              | 3,808.                |                        |                              |                            | 3,808.                |
| 32   | 21,010.               |                           | 19,955.              | 1,055.                |                        |                              |                            | 1,055.                |
| 33   | 4,490.                |                           | 2,819.               | 1,671.                |                        |                              |                            | 1,671.                |
| 34   | 4,323.                |                           | 3,763.               | 560.                  |                        |                              |                            | 560.                  |
| 35   | 729.                  |                           | 742.                 | -13.                  |                        |                              |                            | -13.                  |
| 36   | 4,640.                |                           | 2,224.               | 2,416.                |                        |                              |                            | 2,416.                |
| 37   | 3,952.                |                           | 6,922.               | -2,970.               |                        |                              |                            | -2,970.               |
| 38   | 5,454.                |                           | 3,694.               | 1,760.                |                        |                              |                            | 1,760.                |
| 39   | 8,620.                |                           | 7,008.               | 1,612.                |                        |                              |                            | 1,612.                |
| 40   | 5,836.                |                           | 2,482.               | 3,354.                |                        |                              |                            | 3,354.                |
| 41   | 4,733.                |                           | 1,532.               | 3,201.                |                        |                              |                            | 3,201.                |
| 42   | 5,367.                |                           | 1,634.               | 3,733.                |                        |                              |                            | 3,733.                |
| 43   | 3,236.                |                           | 4,444.               | -1,208.               |                        |                              |                            | -1,208.               |
| 44   | 4,388.                |                           | 3,603.               | 785.                  |                        |                              |                            | 785.                  |
| 45   | 11,388.               |                           | 9,560.               | 1,828.                |                        |                              |                            | 1,828.                |
| 46   | 6,035.                |                           | 3,835.               | 2,200.                |                        |                              |                            | 2,200.                |
| 47   | 26,901.               |                           | 25,127.              | 1,774.                |                        |                              |                            | 1,774.                |
| 48   | 24,467.               |                           | 22,090.              | 2,377.                |                        |                              |                            | 2,377.                |
| 49   | 19.                   |                           | 106.                 | -87.                  |                        |                              |                            | -87.                  |
| 50   | 11,080.               |                           | 8,714.               | 2,366.                |                        |                              |                            | 2,366.                |
| 51   | 4,897.                |                           | 1,700.               | 3,197.                |                        |                              |                            | 3,197.                |
| 52   | 7,986.                |                           | 6,083.               | 1,903.                |                        |                              |                            | 1,903.                |
| 53   | 12,525.               |                           | 5,768.               | 6,757.                |                        |                              |                            | 6,757.                |

**STATEMENT 4 (CONTINUED)**  
**FORM 990-PF, PART IV, LINE 1**  
**CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME**

| ITEM | (E)<br>GROSS<br>SALES | (F)<br>DEPREC.<br>ALLOWED | (G)<br>COST<br>BASIS | (H)<br>GAIN<br>(LOSS) | (I)<br>FMV<br>12/31/69 | (J)<br>ADJ. BAS.<br>12/31/69 | (K)<br>EXCESS<br>(I) - (J) | (L)<br>GAIN<br>(LOSS) |
|------|-----------------------|---------------------------|----------------------|-----------------------|------------------------|------------------------------|----------------------------|-----------------------|
| 54   | 17,790.               |                           | 11,223.              | 6,567.                |                        |                              |                            | \$ 6,567.             |
| 55   | 7,450.                |                           | 5,159.               | 2,291.                |                        |                              |                            | 2,291.                |
| 56   | 4,081.                |                           | 4,190.               | -109.                 |                        |                              |                            | -109.                 |
| 57   | 269.                  |                           | 0.                   | 269.                  |                        |                              |                            | 269.                  |
| 58   | 4,297.                |                           | 3,769.               | 528.                  |                        |                              |                            | 528.                  |
| 59   | 19,425.               |                           | 19,879.              | -454.                 |                        |                              |                            | -454.                 |
| 60   | 82,788.               |                           | 82,788.              | 0.                    |                        |                              |                            | 0.                    |
| 61   | 252.                  |                           | 0.                   | 252.                  |                        |                              |                            | 252.                  |
| 62   | 65.                   |                           | 0.                   | 65.                   |                        |                              |                            | 65.                   |
| 63   | 236.                  |                           | 0.                   | 236.                  |                        |                              |                            | 236.                  |
| 64   | 55.                   |                           | 0.                   | 55.                   |                        |                              |                            | 55.                   |
| 65   | 85.                   |                           | 0.                   | 85.                   |                        |                              |                            | 85.                   |
|      |                       |                           |                      |                       |                        |                              | TOTAL                      | \$ 109,792.           |

**STATEMENT 5**  
**FORM 990-PF, PART VII-A, LINE 10**  
**SUBSTANTIAL CONTRIBUTORS DURING THE TAX YEAR**

| NAME OF SUBSTANTIAL CONTRIBUTOR | ADDRESS OF SUBSTANTIAL CONTRIBUTOR |
|---------------------------------|------------------------------------|
|---------------------------------|------------------------------------|

JAMES H WOODS JR FOUNDATION

4 LAYTON TERRACE  
 ST LOUIS, MO 63124

THOMAS HILL WARD FOUNDATION

222 E DUNKLIN  
 JEFFERSON CITY, MO 65101

JAMES H WOODS III FOUNDATION

37-6551347

**SCHEDULE OF CONTRIBUTORS**  
**FAIR MARKET VALUE OR ESTIMATED VALUE**  
**THOMAS HILL WARD FOUNDATION**

|                                       |    |                 |
|---------------------------------------|----|-----------------|
| 101 SH ABBOTT LABS                    | \$ | 2,827.          |
| 66 SH ABBVIE INC                      |    | 1,702.          |
| 50 SH AMGEN INC                       |    | 2,341.          |
| 67 SH CHEVRON CORP                    |    | 3,099.          |
| 3709.175 SH COMMERCE BOND FUND        |    | 69,531.         |
| 100 SH DANAHER CORP                   |    | 1,810.          |
| 83 SH DISNEY WALT CO                  |    | 3,796.          |
| 50 SH DOVER CORP                      |    | 4,506.          |
| 84 SH DU PONT                         |    | 4,371.          |
| 33 SH EOG RESOURCES                   |    | 4,165.          |
| 132 SH EXXON MOBIL                    |    | 3,605.          |
| 640.493 SH ABSOLUTE STRATEGIES        |    | 6,854.          |
| 572.737 ABSOLUTE OPPORTUNITIES FUND   |    | 6,667.          |
| 167 SH GENERAL ELECTRIC               |    | 4,362.          |
| 685.303 SH GOLDMAN SACHS US EQUITY    |    | 6,668.          |
| 200 SH ISHARES MSCI                   |    | 5,959.          |
| 167 SH ISHARES LATIN AMERICA          |    | 4,915.          |
| 33 SH ISHARES NASDAQ BIOTECH          |    | 3,939.          |
| 67 SH JOHNSON AND JOHNSON             |    | 2,248.          |
| 66 SH KELLOGG CO                      |    | 2,819.          |
| 134 SH KINDER MORGAN                  |    | 3,763.          |
| 83 SH KRAFT FOODS GROUP               |    | 3,578.          |
| 134 SH MDU RESOURCES GROUP            |    | 2,224.          |
| 165 SH MARKET VECTORS GOLD MINERS     |    | 6,922.          |
| 100 SH MARKET VECTORS AGRIBUSINESS    |    | 3,694.          |
| 67 SH MEAD JOHNSON NUTRITION          |    | 2,482.          |
| 100 SH MICROCHIP                      |    | 1,532.          |
| 134 SH MENDELEZ INTERNATIONAL         |    | 3,414.          |
| 67 SH NATIONAL OILWELL VARCO          |    | 1,634.          |
| 134 SH NEWELL RUBBERMAID              |    | 3,538.          |
| 132 SH NEWMONT MINING                 |    | 4,444.          |
| 711.785 PIMCO EMERGING MARKETS        |    | 8,335.          |
| 67 SH PEPSICO                         |    | 3,520.          |
| 1107.637 PIMCO EMERGING LOCAL BOND    |    | 11,668.         |
| 100 SH PLUM CREEK TIMBER CO           |    | 3,603.          |
| 66 SH PROCTER & GAMBLE                |    | 3,889.          |
| 204.435 PRUDENTIAL GLOBAL REAL ESTATE |    | 4,001.          |
| 50 SH ROCKWELL AUTOMATION             |    | 3,835.          |
| 100 SH SPDR S&P EMERGING ASIA PACIFIC |    | 4,735.          |
| 50 SH SEMPRA ENERGY                   |    | 1,700.          |
| 33 SH 3M                              |    | 2,297.          |
| 116 SH TORTOISE ENERGY INFRA          |    | 3,488.          |
| 50 SH TYPPERWARE BRANDS               |    | 4,285.          |
| 100 SH US BANCORP                     |    | 3,769.          |
| 34 SH UNION PACIFIC CORP              |    | 2,145.          |
| 50 SH UNITED TECHNOLOGIES             |    | 4,216.          |
| 770.867 VANGUARD INTERMEDIATE TERM    |    | 6,667.          |
| 133 SH ZOETIS                         |    | 4,189.          |
| TOTAL                                 | \$ | <u>259,751.</u> |

## JAMES H WOODS III FOUNDATION

37-6551347

**SCHEDULE OF CONTRIBUTORS**  
**FAIR MARKET VALUE OR ESTIMATED VALUE**  
**JAMES H WOODS JR FOUNDATION**

|   |           |
|---|-----------|
| 146 SH AUTOMATIC DATA PROCESSING        | \$ 7,947. |
| 183 SH BAXTER INTERNATIONAL             | 11,306.   |
| 100 SH BHP LIMITED SPONS ADR            | 6,403.    |
| 23 SH BLACKROCK                         | 4,467.    |
| 155 SH ACCENTURE PLC                    | 9,278.    |
| 208 SH TE CONNECTIVITY                  | 7,815.    |
| 100 SH APACHE CORP                      | 8,655.    |
| 26 SH APPLE                             | 14,578.   |
| 100 SH CATERPILLAR                      | 8,917.    |
| 88 SH CHEVRON                           | 10,824.   |
| 145 SH CHUBB                            | 9,463.    |
| 501.250 SH COLUMBIA ACORN               | 16,243.   |
| 3169.5 SH STRATEGIC INCOME              | 20,031.   |
| 3483.5 SH COLUMBIA INTERMEDIATE BOND    | 32,414.   |
| 2009.249 COLUMBIA CONTRARIAN CORE       | 23,788.   |
| 493.75 SH COLUMBIA SMALL CAP GROWTH     | 11,583.   |
| 1928 SH COLUMBIA EMERGING MARKETS       | 19,999.   |
| 67 SH CULLEN FROST BANKERS              | 3,936.    |
| 111 SH DEERE                            | 9,146.    |
| 50 SH DIAGEO PLC                        | 6,392.    |
| 150 SH DISCOVER FINANCIAL               | 7,709.    |
| 250 SH EMC                              | 6,196.    |
| 214 SH EMERSON ELECTRIC                 | 10,880.   |
| 115 SH EXXON MOBIL                      | 6,553.    |
| 550 SH GOLDMAN SACHS GROWTH             | 14,995.   |
| 866 SH HARBOR INTL                      | 46,574.   |
| 138 SH HONEYWELL                        | 8,446.    |
| 61 SH IBM                               | 7,233.    |
| 1205 SH ISHARES MSCI EMERGING MKTS      | 47,224.   |
| 127 SH JOHNSON AND JOHNSON              | 8,591.    |
| 150 SH KRAFT FOODS                      | 6,155.    |
| 175 SH MARSH & MCLENNAN                 | 7,008.    |
| 125 SH MCDONALDS CORP                   | 10,855.   |
| 289 SH MONDELEZ INTERNATIONAL           | 6,947.    |
| 151 SH NESTLE S A ADR                   | 9,336.    |
| 138 SH NOVARTIS AG                      | 8,450.    |
| 90 SH OCCIDENTAL PETROLEUM              | 7,515.    |
| 806.5 SH OPPENHEIMER INTER GROWTH       | 26,242.   |
| 1777.249 SH PIMCO TOTAL RETURN          | 19,879.   |
| 133 SH PEPSICO                          | 8,640.    |
| 124 SH PHILIP MORRIS INTL               | 6,482.    |
| 2907 SH PIMCO COMMODITIES PLUS          | 31,250.   |
| 87 SH PRAXAIR                           | 9,560.    |
| 57 SH PROCTER & GAMBLE                  | 2,752.    |
| 158.75 SH PRUDENTIAL GLOBAL REAL ESTATE | 3,746.    |
| 1000 SH PRUDENTIAL JENNISON MID CAP     | 32,300.   |
| 175 SH QUALCOMM                         | 10,770.   |
| 1268.5 RIDGEWORTH MID CAP VALUE         | 16,249.   |
| 400 SH ROCHE HLDG                       | 10,421.   |
| 619 SH SPDR DJ WILSHIRE INTL REAL EST   | 25,127.   |
| 400 SH SPDR DB INTL GOVT                | 22,091.   |
| 43 SH SANOFI SA CVR RIGHTS              | 106.      |
| 134 SH SCHLUMBERGER LTD                 | 10,934.   |
| 1959.25 SH SCHRODER EMERGING MARKET     | 25,216.   |
| 412 SH SCHWAB CHARLES CORP              | 8,714.    |
| 80 SH JM SMUCKER                        | 6,083.    |
| 210 SH TJX COS                          | 5,768.    |
| 1380.25 TEMPLETON GLOBAL BOND           | 18,654.   |
| 92 SH 3M                                | 8,926.    |



## JAMES H WOODS III FOUNDATION

37-6551347

**SCHEDULE OF CONTRIBUTORS (continued)**  
**FAIR MARKET VALUE OR ESTIMATED VALUE**  
**JAMES H WOODS JR FOUNDATION**

|                         |    |                 |
|-------------------------|----|-----------------|
| 103 SH UNITED PARCEL    | \$ | 7,119.          |
| 669 SH VICTORY SMALL CO |    | 23,742.         |
| 63 SH VISA INC          |    | 9,549.          |
| 471 SH WELLS FARGO      |    | 14,580.         |
| TOTAL                   | \$ | <u>828,752.</u> |

**SCHEDULE OF CONTRIBUTORS**  
**CASH CONTRIBUTIONS**  
**JAMES H WOODS JR FOUNDATION**

|                |    |                |
|----------------|----|----------------|
| PRINCIPAL CASH | \$ | 62,177.        |
| PRINCIPAL CASH |    | 7.             |
| PRINCIPAL CASH |    | 2,975.         |
| TOTAL          | \$ | <u>65,159.</u> |

**BALANCE SHEET**  
**DEFERRED REVENUE**

|                  |    |                 |
|------------------|----|-----------------|
| UNREALIZED GAINS | \$ | 166,220.        |
| TOTAL            | \$ | <u>166,220.</u> |