



See a Social Security Number? Say Something!  
Report Privacy Problems to <https://public.resource.org/privacy>  
Or call the IRS Identity Theft Hotline at 1-800-908-4490



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**

Open to Public Inspection

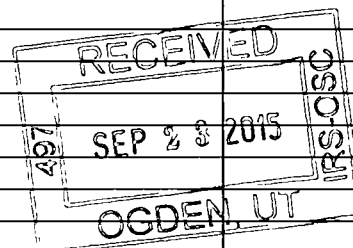
For calendar year 2013 or tax year beginning

11/01, 2013, and ending

10/31, 2014

Name of foundation <b>PEIERLS FOUNDATION</b>		A Employer identification number <b>13-6082503</b>
Number and street (or P O box number if mail is not delivered to street address) <b>73 SOUTH HOLMAN WAY</b>	Room/suite	B Telephone number (see instructions) <b>(303) 278-2889</b>
City or town, state or province, country, and ZIP or foreign postal code <b>GOLDEN, CO 80401</b>		C If exemption application is pending check here <input type="checkbox"/>
G Check all that apply	<input type="checkbox"/> Initial return <input type="checkbox"/> Final return <input type="checkbox"/> Address change	<input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Amended return <input type="checkbox"/> Name change
H Check type of organization <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation		D 1 Foreign organizations, check here <input type="checkbox"/> 2 Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/>
I Fair market value of all assets at end of year (from Part II, col (c), line 16) <b>\$ 110,043,433.</b>	J Accounting method <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____ (Part I, column (d) must be on cash basis)	E If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/> F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>

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 (attach schedule) . . . . .		1,212,636.			
2 Check <input type="checkbox"/> if the foundation is not required to attach Sch B . . . . .					
3 Interest on savings and temporary cash investments . . . . .		7,333.	7,333.		ATCH 1
4 Dividends and interest from securities . . . . .		139,209.	139,209.		ATCH 2
5a Gross rents . . . . .					
b Net rental income or (loss) . . . . .					
6a Net gain or (loss) from sale of assets not on line 10 . . . . .		9,252,575.			
b Gross sales price for all assets on line 6a . . . . .	18,300,925.				
7 Capital gain net income (from Part IV, line 2) . . . . .			9,244,312.		
8 Net short-term capital gain . . . . .					
9 Income modifications . . . . .					
10 a Gross sales less returns and allowances . . . . .					
b Less Cost of goods sold . . . . .					
c Gross profit or (loss) (attach schedule) . . . . .					
11 Other income (attach schedule) . . . . .					
12 Total. Add lines 1 through 11 . . . . .		10,611,753.	9,390,854.		
13 Compensation of officers, directors, trustees, etc . . . . .		0			
14 Other employee salaries and wages . . . . .					
15 Pension plans, employee benefits . . . . .					
16a Legal fees (attach schedule) ATCH 3 . . . . .		1,032.	1,032.		
b Accounting fees (attach schedule) . . . . .					
c Other professional fees (attach schedule) * . . . . .		101,699.	101,699.		
17 Interest . ATCH 5 . . . . .		1,392.	1,392.		
18 Taxes (attach schedule) (see instructions) ATCH 6 . . . . .		86,969.	8,807.		
19 Depreciation (attach schedule) and depletion . . . . .					
20 Occupancy . . . . .					
21 Travel, conferences, and meetings . . . . .					
22 Printing and publications . . . . .					
23 Other expenses (attach schedule) ATCH 7 . . . . .		204,390.	204,390.		
24 Total operating and administrative expenses. Add lines 13 through 23 . . . . .		395,482.	317,320.		
25 Contributions, gifts, grants paid . . . . .		6,188,100.			6,188,100.
26 Total expenses and disbursements. Add lines 24 and 25 . . . . .		6,583,582.	317,320.	0	6,188,100.
27 Subtract line 26 from line 12 . . . . .		4,028,171.			
a Excess of revenue over expenses and disbursements . . . . .			9,073,534.		
b Net investment income (if negative, enter -0-) . . . . .					
c Adjusted net income (if negative, enter -0-) . . . . .					



Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)	Beginning of year	End of year	
			(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash - non-interest-bearing . . . . .	13,187,519.	16,318,357.	16,318,316.
	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 schedule) ▶ . . . . .			
		Less allowance for doubtful accounts ▶ . . . . .			
	8	Inventories for sale or use . . . . .			
	9	Prepaid expenses and deferred charges . . . . .			
	10 a	Investments - U S and state government obligations (attach schedule) . . . . .			
	b	Investments - corporate stock (attach schedule) ATCH 8 . . . . .	103,346,338.	103,565,044.	87,787,974.
	c	Investments - corporate bonds (attach schedule) ATCH 9 . . . . .	25,636.		
	Liabilities	11	Investments - land, buildings, and equipment basis ▶ . . . . .		
		Less accumulated depreciation ▶ (attach schedule) . . . . .			
12		Investments - mortgage loans . . . . .			
13		Investments - other (attach schedule) . . . . . ATCH 10	3,331,711.	3,825,428.	5,903,153.
14		Land, buildings, and equipment basis ▶ . . . . .			
		Less accumulated depreciation ▶ (attach schedule) . . . . .			
15		Other assets (describe ▶ . . . . . )			
16		<b>Total assets</b> (to be completed by all filers - see the instructions Also, see page 1, item I) . . . . .	119,891,204.	123,708,829.	110,009,443.
17		Accounts payable and accrued expenses . . . . .			
18		Grants payable . . . . .			
Net Assets or Fund Balances	19	Deferred revenue . . . . .			
	20	Loans from officers, directors, trustees, and other disqualified persons . . . . .			
	21	Mortgages and other notes payable (attach schedule) . . . . .			
	22	Other liabilities (describe ▶ . . . . . )			
	23	<b>Total liabilities</b> (add lines 17 through 22) . . . . .	0	0	
		<b>Foundations that follow SFAS 117, check here</b> ▶ <input checked="" type="checkbox"/> <b>and complete lines 24 through 26 and lines 30 and 31.</b>			
	24	Unrestricted . . . . .	119,891,204.	123,708,829.	
	25	Temporarily restricted . . . . .			
	26	Permanently restricted . . . . .			
		<b>Foundations that do not follow SFAS 117, . . . ▶</b> <input type="checkbox"/> <b>check here and complete lines 27 through 31.</b>			
27	Capital stock, trust principal, or current funds . . . . .				
28	Paid-in or capital surplus, or land, bldg, and equipment fund . . . . .				
29	Retained earnings, accumulated income, endowment, or other funds . . . . .				
30	<b>Total net assets or fund balances</b> (see instructions) . . . . .	119,891,204.	123,708,829.		
31	<b>Total liabilities and net assets/fund balances</b> (see instructions) . . . . .	119,891,204.	123,708,829.		

## 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	119,891,204.
2	Enter amount from Part I, line 27a . . . . .	2	4,028,171.
3	Other increases not included in line 2 (itemize) ▶ ATCH 11 . . . . .	3	429,061.
4	Add lines 1, 2, and 3 . . . . .	4	124,348,436.
5	Decreases not included in line 2 (itemize) ▶ ATCH 12 . . . . .	5	639,607.
6	<b>Total net assets or fund balances at end of year</b> (line 4 minus line 5) - Part II, column (b), line 30 . . . . .	6	123,708,829.

**Part IV Capital Gains and Losses for Tax on Investment Income**

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co.)			(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
<b>1a</b> SEE PART IV SCHEDULE					
<b>b</b>					
<b>c</b>					
<b>d</b>					
<b>e</b>					
(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)		
<b>a</b>					
<b>b</b>					
<b>c</b>					
<b>d</b>					
<b>e</b>					
Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(i) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))		
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any			
<b>a</b>					
<b>b</b>					
<b>c</b>					
<b>d</b>					
<b>e</b>					
<b>2</b> Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 }			<b>2</b>	9,244,312.	
<b>3</b> Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) (see instructions) If (loss), enter -0- in Part I, line 8			<b>3</b>	0	

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

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

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

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

☐ Yes ☒ No

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2012	5,590,695.	105,019,425.	0.053235
2011	4,975,041.	97,098,410.	0.051237
2010	5,925,300.	99,707,161.	0.059427
2009	4,803,500.	94,605,101.	0.050774
2008	4,800,000.	112,943,499.	0.042499
<b>2</b> Total of line 1, column (d)			<b>2</b> 0.257172
<b>3</b> Average distribution ratio for the 5-year base period - divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years			<b>3</b> 0.051434
<b>4</b> Enter the net value of noncharitable-use assets for 2013 from Part X, line 5			<b>4</b> 114,259,981.
<b>5</b> Multiply line 4 by line 3			<b>5</b> 5,876,848.
<b>6</b> Enter 1% of net investment income (1% of Part I, line 27b)			<b>6</b> 90,735.
<b>7</b> Add lines 5 and 6			<b>7</b> 5,967,583.
<b>8</b> Enter qualifying distributions from Part XII, line 4 If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate. See the Part VI instructions			<b>8</b> 6,188,100.

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

1a Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1 . . . Date of ruling or determination letter _____ (attach copy of letter if necessary - see instructions)		1	90,735.
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input checked="" type="checkbox"/> and enter 1% of Part I, line 27b . . .			
c All other domestic foundations enter 2% of line 27b Exempt foreign organizations enter 4% of Part I, line 12, col (b)			
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-) . . .		2	
3 Add lines 1 and 2 . . .		3	90,735.
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	90,735.
6 Credits/Payments			
a 2013 estimated tax payments and 2012 overpayment credited to 2013 . . .	6a	91,838.	
b Exempt foreign organizations - tax withheld at source . . .	6b		
c Tax paid with application for extension of time to file (Form 8868) . . .	6c		
d Backup withholding erroneously withheld . . .	6d		
7 Total credits and payments Add lines 6a through 6d . . .	7	91,838.	
8 Enter any penalty for underpayment of estimated tax Check here <input checked="" 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		
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid . . .	10	1,103.	
11 Enter the amount of line 10 to be Credited to 2014 estimated tax <input checked="" type="checkbox"/> 1,103. Refunded <input type="checkbox"/> . . .	11		

**Part VII-A Statements Regarding Activities**

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

Form 990-PF (2013)

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

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions).	11		X
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions).	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	X	
Website address <b>N/A</b>				
14	The books are in care of <b>BRIAN ELIOT PEIERLS</b> Telephone no <b>512-789-7994</b>			
	Located at <b>7808 HARVESTMAN COVE AUSTIN, TX</b> ZIP+4 <b>78731</b>			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here <input type="checkbox"/>			
	and enter the amount of tax-exempt interest received or accrued during the year <b>15</b>			
16	At any time during calendar year 2013, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country?	16	Yes	No
	See the instructions for exceptions and filing requirements for Form TD F 90-22.1 If "Yes," enter the name of the foreign country <b>▶</b>			X

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

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

	Yes	No
1a During the year did the foundation (either directly or indirectly)		
(1) Engage in the sale or exchange, or leasing of property with a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? <input type="checkbox"/>	1b	
Organizations relying on a current notice regarding disaster assistance check here <b>▶</b> <input type="checkbox"/>		
c Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2013?	1c	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? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
If "Yes," list the years <b>▶</b>		
b Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see instructions.)	2b	X
c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here <b>▶</b>		
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? <input checked="" type="checkbox"/> Yes <input 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.)	3b	X
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a	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?	4b	X

Form 990-PF (2013)

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

5a During the year did the foundation pay or incur any amount to

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

5b

Organizations relying on a current notice regarding disaster assistance check here ☐c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? ☐ Yes ☐ No

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

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

6b

If "Yes" to 6b, file Form 8870

7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? ☐ Yes ☒ Nob If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction? ☐ Yes ☒ No

7b

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

1 List all officers, directors, trustees, foundation managers and their compensation (see instructions).

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
ATCH 13		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 ☐

Form 990-PF (2013)

**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 . . . . . ▶

**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 NONE	
2	
All other program-related investments See instructions	
3 NONE	
Total. Add lines 1 through 3 . . . . . ▶	

Form 990-PF (2013)

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

<b>1</b>	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes		
<b>a</b>	Average monthly fair market value of securities	<b>1a</b>	92,228,195.
<b>b</b>	Average of monthly cash balances	<b>1b</b>	19,148,361.
<b>c</b>	Fair market value of all other assets (see instructions)	<b>1c</b>	4,623,425.
<b>d</b>	<b>Total</b> (add lines 1a, b, and c)	<b>1d</b>	115,999,981.
<b>e</b>	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	<b>1e</b>	
<b>2</b>	Acquisition indebtedness applicable to line 1 assets	<b>2</b>	
<b>3</b>	Subtract line 2 from line 1d	<b>3</b>	115,999,981.
<b>4</b>	Cash deemed held for charitable activities. Enter 1 1/2 % of line 3 (for greater amount, see instructions)	<b>4</b>	1,740,000.
<b>5</b>	<b>Net value of noncharitable-use assets.</b> Subtract line 4 from line 3. Enter here and on Part V, line 4.	<b>5</b>	114,259,981.
<b>6</b>	<b>Minimum investment return.</b> Enter 5% of line 5	<b>6</b>	5,712,999.

**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.)

<b>1</b>	Minimum investment return from Part X, line 6	<b>1</b>	5,712,999.
<b>2a</b>	Tax on investment income for 2013 from Part VI, line 5	<b>2a</b>	90,735.
<b>b</b>	Income tax for 2013 (This does not include the tax from Part VI)	<b>2b</b>	
<b>c</b>	Add lines 2a and 2b	<b>2c</b>	90,735.
<b>3</b>	Distributable amount before adjustments. Subtract line 2c from line 1.	<b>3</b>	5,622,264.
<b>4</b>	Recoveries of amounts treated as qualifying distributions	<b>4</b>	
<b>5</b>	Add lines 3 and 4	<b>5</b>	5,622,264.
<b>6</b>	Deduction from distributable amount (see instructions)	<b>6</b>	
<b>7</b>	<b>Distributable amount</b> as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1.	<b>7</b>	5,622,264.

**Part XII Qualifying Distributions** (see instructions)

<b>1</b>	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes		
<b>a</b>	Expenses, contributions, gifts, etc. - total from Part I, column (d), line 26	<b>1a</b>	6,188,100.
<b>b</b>	Program-related investments - total from Part IX-B	<b>1b</b>	
<b>2</b>	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	<b>2</b>	
<b>3</b>	Amounts set aside for specific charitable projects that satisfy the		
<b>a</b>	Suitability test (prior IRS approval required)	<b>3a</b>	
<b>b</b>	Cash distribution test (attach the required schedule)	<b>3b</b>	
<b>4</b>	<b>Qualifying distributions.</b> Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4.	<b>4</b>	6,188,100.
<b>5</b>	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).	<b>5</b>	90,735.
<b>6</b>	<b>Adjusted qualifying distributions.</b> Subtract line 5 from line 4.	<b>6</b>	6,097,365.

**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
<b>1</b> Distributable amount for 2013 from Part XI, line 7 . . . . .				5,622,264.
<b>2</b> Undistributed income, if any, as of the end of 2013				
<b>a</b> Enter amount for 2012 only . . . . .			2,337,754.	
<b>b</b> Total for prior years 20 <u>11</u> , 20 <u>10</u> , 20 <u>09</u> . . . . .				
<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 ▶ \$ <u>6,188,100.</u>				
<b>a</b> Applied to 2012, but not more than line 2a . . . . .			2,337,754.	
<b>b</b> Applied to undistributed income of prior years (Election required - see instructions) . . . . .				
<b>c</b> Treated as distributions out of corpus (Election required - see instructions) . . . . .				
<b>d</b> Applied to 2013 distributable amount . . . . .				3,850,346.
<b>e</b> Remaining amount distributed out of corpus . . . . .				
<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) ) . . . . .				
<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 . . . . .				
<b>b</b> Prior years' undistributed income Subtract line 4b from line 2b . . . . .				
<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 . . . . .				
<b>d</b> Subtract line 6c from line 6b Taxable amount - see instructions . . . . .				
<b>e</b> Undistributed income for 2012 Subtract line 4a from line 2a Taxable amount - see instructions . . . . .				
<b>f</b> Undistributed income for 2013 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2014 . . . . .				1,771,918.
<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) . . . . .				
<b>8</b> Excess distributions carryover from 2008 not applied on line 5 or line 7 (see instructions) . . . . .				
<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 . . . . .				

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

NOT APPLICABLE

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

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

4942(j)(3) or

4942(j)(5)

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

Tax year

Prior 3 years

**(a) 2013**

**(b) 2012**

(c) 2011

**(d) 2010**

**(e) Total**

**b** 85% of line 2a

**C** Qualifying distributions from Part XII, line 4 for each year listed .

**d** Amounts included in line 2c not used directly for active conduct of exempt activities . . . . .

**e** Qualifying distributions made directly for active conduct of exempt activities Subtract line 2d from line 2c . . . . .

**3** Complete 3a, b, or c for the alternative test relied upon

a "Assets" alternative test - enter

**(1) Value of all assets . . .**

(2) Value of assets qualifying under section 4942(j)(3)(B)(i). . . .

**b** "Endowment" alternative test—enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed . . .

**C "Support" alternative test - enter**

(1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties). . . . .

(2) Support from general public and 5 or more exempt organizations as provided in section 4942 (j)(3)(B)(iii) . . . . .

(3) Largest amount of support from an exempt organization. . . .

(4) Gross investment income .

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

### 1 Information Regarding Foundation Managers:

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

## ATTACHMENT 14

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

N/A

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

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

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

ATCH 15

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

ATCH 16

c Any submission deadlines

NONE. NO RESPONSE WILL BE SENT UNLESS FOUNDATION IS FAVORABLY INCLINED

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

NO GRANTS TO INDIVIDUALS, ONLY RECOGNIZED PUBLIC CHARITIES

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

<div>Recipient</div> <div>Name and address (home or business)</div>	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
<b>a Paid during the year</b>  ATCH 17				
<b>Total</b> . . . . . ► <b>3a</b>				6,188,100.
<b>b Approved for future payment</b>				
<b>Total</b> . . . . . ► <b>3b</b>				

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

Enter gross amounts unless otherwise indicated

Enter gross amounts unless otherwise indicated	Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See instructions )
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	
1 Program service revenue					
a _____					
b _____					
c _____					
d _____					
e _____					
f _____					
g Fees and contracts from government agencies					
2 Membership dues and assessments . . . . .					
3 Interest on savings and temporary cash investments			14	7,333.	
4 Dividends and interest from securities . . . . .			14	139,209.	
5 Net rental income or (loss) from real estate					
a Debt-financed property . . . . .					
b Not debt-financed property . . . . .					
6 Net rental income or (loss) from personal property .					
7 Other investment income . . . . .					
8 Gain or (loss) from sales of assets other than inventory			18	9,252,575.	
9 Net income or (loss) from special events . . . . .					
10 Gross profit or (loss) from sales of inventory . .					
11 Other revenue a _____					
b _____					
c _____					
d _____					
e _____					
12 Subtotal. Add columns (b), (d), and (e) . . . . .				9,399,117.	
13 Total. Add line 12, columns (b), (d), and (e) . . . . .				13	9,399,117.

(See worksheet in line 13 instructions to verify calculations )

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

[illegible]

## Part XVII Information Regarding Transfers To and Transactions and Relationships With Noncharitable Exempt Organizations

- |          |  | Yes          | No |
|----------|--|--------------|----|
| <b>1</b> | Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?  |              |    |
| <b>a</b> | Transfers from the reporting foundation to a noncharitable exempt organization of  |              |    |
|          | (1) Cash . . . . .   | <b>1a(1)</b> | X  |
|          | (2) Other assets . . . . .   | <b>1a(2)</b> | X  |
| <b>b</b> | Other transactions   |              |    |
|          | (1) Sales of assets to a noncharitable exempt organization . . . . .   | <b>1b(1)</b> | X  |
|          | (2) Purchases of assets from a noncharitable exempt organization . . . . .   | <b>1b(2)</b> | X  |
|          | (3) Rental of facilities, equipment, or other assets . . . . .   | <b>1b(3)</b> | X  |
|          | (4) Reimbursement arrangements . . . . .   | <b>1b(4)</b> | X  |
|          | (5) Loans or loan guarantees . . . . .   | <b>1b(5)</b> | X  |
|          | (6) Performance of services or membership or fundraising solicitations . . . . .   | <b>1b(6)</b> | X  |
| <b>c</b> | Sharing of facilities, equipment, mailing lists, other assets, or paid employees . . . . .   | <b>1c</b>    | X  |
| <b>d</b> | If the answer to any of the above is "Yes," complete the following schedule. Column (b) should always show the fair market value of the goods, other assets, or services given by the reporting foundation. If the foundation received less than fair market value in any transaction or sharing arrangement, show in column (d) the value of the goods, other assets, or services received. |              |    |

[illegible]

- 2a** Is the foundation directly or indirectly affiliated with, or related to, one or more tax-exempt organizations described in section 501(c) of the Code (other than section 501(c)(3)) or in section 527? . . . . . ☐ Yes ☒ No
- b** If "Yes," complete the following schedule

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

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

Sign Here **E. Jeffrey Perwin** | **9/9/15** | **President**  
Signature of officer or trustee Date Title  
May the IRS discuss this return with the preparer shown below (see instructions)? ☒ Yes ☐ No

Brian Hot Lieske 9/14/15 Vice President

Paid Preparer Use Only	Print/Type preparer's name <b>Gail W. Sevier</b>	Preparer's signature <b>Gail W. Sevier</b>	Date <b>9/9/15</b>	Check <input type="checkbox"/> if self-employed	PTIN <b>P00506787</b>
	Firm's name ▶ <b>MARRS, SEVIER &amp; COMPANY LLC</b>			Firm's EIN ▶ <b>84-1315809</b>	
	Firm's address ▶ <b>230 SOUTH HOLLAND STREET LAKEWOOD, CO 80226</b>			Phone no <b>303-922-6654</b>	

Form **990-PF** (2013)

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

Department of the Treasury  
Internal Revenue Service

**Schedule of Contributors**

OMB No 1545-0047

**2013**

▶ Attach to Form 990, Form 990-EZ, or Form 990-PF.

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

Name of the organization

PEIERLS FOUNDATION

Employer identification number

13-6082503

Organization type (check one).

Filers of:

Section:

Form 990 or 990-EZ

☐ 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).

Name of organization **PEIERLS FOUNDATION**Employer identification number  
**13-6082503****Part I** Contributors (see instructions) Use duplicate copies of Part I if additional space is needed

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	E. JEFFREY PEIERLS 73 SOUTH HOLMAN WAY GOLDEN, CO 80401	\$ 359,300.	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input checked="" type="checkbox"/> (Complete Part II for noncash contributions)
2	U/D ETHEL F PEIERLS CHAR LEAD TRUST C/O US TRUST, 114 WEST 47TH STREET NEW YORK, NY 10036	\$ 753,799.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
3	E. JEFFREY PEIERLS 73 SOUTH HOLMAN WAY GOLDEN, CO 80401	\$ 98,505.	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input checked="" type="checkbox"/> (Complete Part II for noncash contributions)
4	BRIAN PEIERLS 7808 HARVESTMAN COVE AUSTIN, TX 78731	\$ 1,032.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
			Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
			Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)

13-6082503

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
1	20000 SHS KERYX BIOPHARMACEUTICALS INC	\$ 359,300.	08/27/2014
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
3	9000 SHS PFSWEB, INC.	\$ 98,505.	10/03/2014
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		\$	
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		\$	
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		\$	
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		\$	
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		\$	

Name of organization PEIERLS FOUNDATION

Employer identification number

13-6082503

**Part III** Exclusively religious, charitable, etc., individual contributions to section 501(c)(7), (8), or (10) organizations that total more than \$1,000 for the year. Complete columns (a) through (e) and the following line entryFor organizations completing Part III, enter the total of *exclusively* religious, charitable, etc., contributions of \$1,000 or less for the year (Enter this information once See instructions ) ► \$ \_\_\_\_\_

Use duplicate copies of Part III if additional space is needed

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
---	----- ----- -----	----- ----- -----	----- ----- -----
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	----- ----- -----	----- ----- -----	
(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
---	----- ----- -----	----- ----- -----	----- ----- -----
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	----- ----- -----	----- ----- -----	
(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
---	----- ----- -----	----- ----- -----	----- ----- -----
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	----- ----- -----	----- ----- -----	
(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
---	----- ----- -----	----- ----- -----	----- ----- -----
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	----- ----- -----	----- ----- -----	

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

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		TOTAL SHORT-TERM COMMON TRUST FUND AND PARTNERSHIP, S CORPORATION, AND OTHER ESTATES OR TRUST GAIN OR LOSS					214,544.	
		TOTAL LONG-TERM COMMON TRUST FUND AND PARTNERSHIP, S CORPORATION, AND OTHER ESTATES OR TRUST GAIN OR LOSS					2,226,433.	
		75900 CERTES NETWORKS 75,900.					12/31/2010 -75,900.	05/15/2014
		580000 CERTES NETWORKS 287,100.					02/09/2012 -287,100.	02/28/2014
1,295,354.		340000 CYTRX CORP 850,000.					10/18/2012 445,354.	03/14/2014
1.		0.3 ETUBICS CORP COMMON					04/10/2014 1.	04/10/2014
443.		322.5 EUROS 439.					01/08/2014 4.	02/19/2014
416.		21850 FINOVA GROUP INC.					03/28/2000 416.	02/07/2014
416.		21850 FINOVA GROUP INC.					03/28/2000 416.	02/07/2014
416.		21850 FINOVA GROUP INC.					03/28/2000 416.	06/19/2014
416.		21850 FINOVA GROUP INC.					03/28/2000 416.	06/19/2014
223,077.		4700 INCYTE CORP 28,841.					06/07/2002 194,236.	11/15/2013
223,077.		4700 INCYTE CORP 28,841.					06/07/2002 194,236.	11/15/2013
1,499,838.		31600 INCYTE CORP 195,566.					06/11/2012 1,304,272.	11/15/2013

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

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
22,936.		1500 INTEGRATED SILICON SOLUTION 13,481.					08/21/1996 9,455.	03/31/2014
322,637.		21100 INTEGRATED SILICON SOLUTION 189,636.					08/21/1996 133,001.	03/31/2014
333,340.		21800 INTEGRATED SILICON SOLUTION 195,928.					08/21/1996 137,412.	03/31/2014
156.		81400 IPO SECURITIES LIT SET					11/29/2000 156.	07/11/2014
12.		81400 IPO SECURITIES LIT SET					11/29/2000 12.	07/21/2014
104,697.		227915 JAPANESE YEN 107,385.					06/25/2013 -2,688.	02/19/2014
1,306,486.		76100 KERYX BIOPHARNAMEUTICAL 915,361.					01/26/2007 391,125.	08/25/2014
1,002,472.		57100 KERYX BIOPHARNAMEUTICAL 559,009.					07/09/2007 443,463.	08/26/2014
359,907.		20500 KERYX BIOPHARNAMEUTICAL 246,582.					01/26/2007 113,325.	08/26/2014
50,914.		2900 KERYX BIOPHARNAMEUTICAL 28,381.					06/29/2007 22,533.	08/26/2014
359,783.		20000 KERYX BIOPHARNAMEUTICAL 4,365.					10/09/2008 355,418.	08/29/2014
		511000 NEXTIO INC SER E CV PRF 930,020.					04/28/2011 -930,020.	10/31/2014

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

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		50387 NEXTIO INC SER F CV PRF 97,666.					12/30/2011 -97,666.	10/31/2014
		55786 NEXTIO INC SER F CV PRF 129,758.					05/08/2012 -129,758.	10/31/2014
		3133.9 NEXTIO INC SER F CV PRF 3,134.					05/08/2012 -3,134.	10/31/2014
		10077 NEXTIO WARRANTS 19,534.					12/31/2011 -19,534.	10/31/2014
1,481,907.		98863 OVASCIENCE INC. COMMON 200,000.					07/13/2011 1,281,907.	09/04/2014
184,842.		11090 OVASCIENCE INC. COMMON 22,435.					07/13/2011 162,407.	09/29/2014
270,735.		16229 OVASCIENCE INC. COMMON 32,831.					07/13/2011 237,904.	09/30/2014
439.		5314 PAION AG RIGHTS					12/23/2013 439.	01/08/2014
690.		5314 PAION AG RIGHTS					06/20/2014 690.	07/03/2014
256,500.		68400 PERFORMANCE TECHNOLOGIES 220,403.					12/26/2008 36,097.	02/19/2014
25,875.		6900 PERFORMANCE TECHNOLOGIES 22,158.					11/07/2008 3,717.	02/19/2014
213,750.		57000 PERFORMANCE TECHNOLOGIES 183,630.					11/17/2008 30,120.	02/19/2014

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

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
213,750.		57000 PERFORMANCE TECHNOLOGIES 181,823.					11/19/2008 31,927.	02/19/2014
26,250.		7000 PERFORMANCE TECHNOLOGIES 22,192.					11/25/2008 4,058.	02/19/2014
129,375.		34500 PERFORMANCE TECHNOLOGIES 109,380.					11/18/2008 19,995.	02/19/2014
104,625.		27900 PERFORMANCE TECHNOLOGIES 88,924.					02/18/2009 15,701.	02/19/2014
30,000.		8000 PERFORMANCE TECHNOLOGIES 25,840.					12/31/2008 4,160.	02/19/2014
69,750.		18600 PERFORMANCE TECHNOLOGIES 59,816.					01/27/2009 9,934.	02/19/2014
47,471.		4340 FPSWEB, INC. 47,583.					08/10/2000 -112.	10/03/2014
299,383.		27371 FPSWEB, INC. 280,185.					08/11/2000 19,198.	10/03/2014
46,541.		4255 FPSWEB, INC. 48,525.					08/10/2000 -1,984.	10/03/2014
93,093.		8511 FPSWEB, INC. 97,050.					08/09/2000 -3,957.	10/03/2014
23,276.		2128 FPSWEB, INC. 23,950.					08/10/2000 -674.	10/03/2014
58,179.		5319 FPSWEB, INC. 56,125.					08/18/2000 2,054.	10/03/2014

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

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
69,817.		6383 FPSWEB, INC. 69,038.					08/10/2000 779.	10/03/2014
10,860.		1000 FPSWEB, INC. 10,237.					08/11/2000 623.	10/08/2014
11,566.		1063 FPSWEB, INC. 10,413.					08/16/2000 1,153.	10/20/2014
40,911.		3760 FPSWEB, INC. 35,697.					08/15/2000 5,214.	10/20/2014
108,012.		9927 FPSWEB, INC. 101,618.					08/11/2000 6,394.	10/20/2014
69,451.		6383 FPSWEB, INC. 61,851.					08/11/2000 7,600.	10/20/2014
21,513.		1981 FPSWEB, INC. 18,807.					08/15/2000 2,706.	10/21/2014
31,633.		2910 FPSWEB, INC. 2,110.					12/31/2008 29,523.	10/23/2014
18,545.		1706 FPSWEB, INC. 16,196.					08/15/2000 2,349.	10/23/2014
66,201.		6090 FPSWEB, INC. 4,418.					03/09/2009 61,783.	10/23/2014
73,991.		14400 PLANAR SYSTEMS, INC. 92,232.					10/04/1999 -18,241.	09/03/2014
31,754.		6200 PLANAR SYSTEMS, INC. 39,711.					10/04/1999 -7,957.	09/04/2014

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

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
512.		100 PLANAR SYSTEMS, INC. 528.					10/21/1999 -16.	09/04/2014
1,036.		175266 PROSTOR SYSTEMS INC SER B-2					07/31/2008 1,036.	10/14/2014
1,356.		108500 RIVERSTONE NETWORKS, INC. 127,859.					06/07/2002 -126,503.	11/12/2013
1,356.		108500 RIVERSTONE NETWORKS, INC. 127,859.					06/07/2002 -126,503.	11/12/2013
409.		32700 RIVERSTONE NETWORKS, INC. 35,905.					06/10/2002 -35,496.	11/12/2013
409.		32700 RIVERSTONE NETWORKS, INC. 35,905.					06/10/2002 -35,496.	11/12/2013
612,993.		85375 SYMMETRICOM, INC. 311,192.					10/05/2002 301,801.	11/26/2013
7,841.		1092 SYMMETRICOM, INC. 2,790.					10/05/2002 5,051.	11/26/2013
7,841.		1092 SYMMETRICOM, INC. 2,790.					10/05/2002 5,051.	11/26/2013
15,688.		2185 SYMMETRICOM, INC. 5,583.					10/05/2002 10,105.	11/26/2013
15,688.		2185 SYMMETRICOM, INC. 5,583.					10/05/2002 10,105.	11/26/2013
15,688.		2185 SYMMETRICOM, INC. 5,583.					10/05/2002 10,105.	11/26/2013

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

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
15,688.		2185 SYMMETRICOM, INC. 5,583.					10/05/2002 10,105.	11/26/2013
7,848.		1093 SYMMETRICOM, INC. 2,793.					10/05/2002 5,055.	11/26/2013
7,848.		1093 SYMMETRICOM, INC. 2,793.					10/05/2002 5,055.	11/26/2013
42,671.		5943 SYMMETRICOM, INC. 15,184.					10/05/2002 27,487.	11/26/2013
42,671.		5943 SYMMETRICOM, INC. 15,184.					10/05/2002 27,487.	11/26/2013
23,529.		3277 SYMMETRICOM, INC. 8,373.					10/05/2002 15,156.	11/26/2013
23,529.		3277 SYMMETRICOM, INC. 8,373.					10/05/2002 15,156.	11/26/2013
23,529.		3277 SYMMETRICOM, INC. 8,373.					10/05/2002 15,156.	11/26/2013
23,529.		3277 SYMMETRICOM, INC. 8,373.					10/05/2002 15,156.	11/26/2013
23,529.		3277 SYMMETRICOM, INC. 8,373.					10/05/2002 15,156.	11/26/2013
23,529.		3277 SYMMETRICOM, INC. 8,373.					10/05/2002 15,156.	11/26/2013
10,978.		1529 SYMMETRICOM, INC. 3,907.					10/05/2002 7,071.	11/26/2013

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

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
10,978.		1529 SYMMETRICOM, INC. 3,907.					10/05/2002 7,071.	11/26/2013
7,374.		1027 SYMMETRICOM, INC. 2,624.					10/05/2002 4,750.	11/26/2013
7,374.		1027 SYMMETRICOM, INC. 2,624.					10/05/2002 4,750.	11/26/2013
13,175.		1835 SYMMETRICOM, INC. 4,688.					10/05/2002 8,487.	11/26/2013
13,175.		1835 SYMMETRICOM, INC. 4,688.					10/05/2002 8,487.	11/26/2013
19,925.		2275 SYMMETRICOM, INC. 7,090.					10/05/2002 12,835.	11/26/2013
19,925.		2275 SYMMETRICOM, INC. 7,090.					10/05/2002 12,835.	11/26/2013
4.		1869 TRANSWITCH CORPORATION 98,750.					04/13/2004 -98,746.	10/22/2014
1.		560 TRANSWITCH CORPORATION 29,625.					04/21/2004 -29,624.	10/22/2014
		45 TRANSWITCH CORPORATION 2,369.					03/24/2004 -2,369.	10/22/2014
30.		14870 TRANSWITCH CORPORATION 789,633.					04/27/2004 -789,603.	10/22/2014
1,102,197.		88400 VANDA PHARMACEUTICALS INC. 81,231.					10/08/2008 1,020,966.	11/12/2013

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

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
583,516.		46800 VANDA PHARMACEUTICALS INC. 43,590.					10/07/2008 539,926.	11/12/2013
162,088.		13000 VANDA PHARMACEUTICALS INC. 11,467.					10/10/2008 150,621.	11/12/2013
645,858.		51800 VANDA PHARMACEUTICALS INC. 47,951.					10/09/2008 597,907.	11/12/2013
314,582.		22500 VANDA PHARMACEUTICALS INC. 19,847.					10/10/2008 294,735.	11/13/2013
265,007.		20000 VANDA PHARMACEUTICALS INC. 17,642.					10/10/2008 247,365.	01/15/2014
192,450.		10800 VANDA PHARMACEUTICALS INC. 9,527.					10/10/2008 182,923.	03/14/2014
57,477.		3200 VANDA PHARMACEUTICALS INC. 2,823.					10/10/2008 54,654.	03/17/2014
249,375.		13400 VANDA PHARMACEUTICALS INC. 11,820.					10/10/2008 237,555.	03/18/2014
TOTAL GAIN(LOSS) .....							<u>9,244,312.</u>	

ATTACHMENT 1

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

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>
ORCHESTRA MEDICAL VENTURES II, LP	6,953.	6,953.
BOULDER VENTURES IV ANNEX, LP	165.	165.
BOULDER VENTURES V, LP	215.	215.
TOTAL	<u>7,333.</u>	<u>7,333.</u>

ATTACHMENT 2

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

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>
AEROGROW	450.	450.
NORTHERN TRUST 97135 ORDINARY DIVIDEND	1.	1.
NORTHERN TRUST 97135 FOREIGN DIVIDENDS	101,709.	101,709.
NORTHERN TRUST 97135 US GOVT INT	7.	7.
NORTHERN TRUST 46003 ORDINARY DIVIDENDS	35,413.	35,413.
NORTHERN TRUST 46003 US GOVT INT	1,629.	1,629.
TOTAL	<u>139,209.</u>	<u>139,209.</u>

ATTACHMENT 3

FORM 990PF, PART I - LEGAL FEES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>	<u>ADJUSTED NET INCOME</u>	<u>CHARITABLE PURPOSES</u>
LEGAL	1,032.	1,032.		
TOTALS	<u>1,032.</u>	<u>1,032.</u>		

ATTACHMENT 4

FORM 990PF, PART I - OTHER PROFESSIONAL FEES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>
AGENCY FEES - NT 97135	6,872.	6,872.
AGENCY FEES - NT 46003	94,827.	94,827.
TOTALS	<u>101,699.</u>	<u>101,699.</u>

FORM 990PF, PART I - INTEREST EXPENSE

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
ORCHESTRA MEDICAL VENTURES II	124.	124.
LONGWOOD FUND LP	1,268.	1,268.
TOTALS	1,392.	1,392.

ATTACHMENT 6

FORM 990PF, PART I - TAXES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>
US EXCISE TAXES	77,305.	
FOREIGN TAXES - NORTHERN TRUST	8,807.	8,807.
INCOME TAX PENALTY	857.	
TOTALS	<u>86,969.</u>	<u>8,807.</u>

ATTACHMENT 7

FORM 990PF, PART I - OTHER EXPENSES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
BOULDER VENTURES IV, ANNEX, LP	20,540.	20,540.
ORCHESTRA MEDICAL VENTURES II	79,647.	79,647.
BOULDER VENTURES V, LP	62,026.	62,026.
LONGWOOD VENTURES LP	40,537.	40,537.
FILING FEES	1,640.	1,640.
TOTALS	204,390.	204,390.

ATTACHMENT 8FORM 990PF, PART II - CORPORATE STOCK

<u>DESCRIPTION</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
37830 ACUSPHERE INC.	1,844,198.	5,682.
577688 AEROGROW INT'L INC.	1,121,719.	2,270,314.
18850 AGENUS INC.	1,006,286.	56,173.
30196 AGENUS INC.	88,684.	89,984.
72949 ALIEN TECHNOLOGY SER. A'	208,113.	207,905.
6880 AMERICA'S SUPPLIERS INC.	348,995.	860.
1228 AMERICAN INT'L GP WT EXP	20,004.	30,025.
2300 AMERICAN INTERNATIONAL GR	2,255,578.	123,211.
14407 ANT PHARMACEUTICAL.	876,236.	489,262.
146830 ARCA BIOPHARMA, INC.	1,733,166.	164,450.
295900 ARRAY BIOPHARMA INC.	1,275,345.	1,062,281.
22920 ASTEA INTERNATIONAL INC.	251,546.	34,151.
5 BACTOLAC PHARMACEUTICAL INC.	160,650.	593,000.
538649 BAROFOLD INC SER. A CV.	199,300.	199,300.
169049 BAROFOLD INC SER. A CV.	62,548.	62,548.
391566 BENECHILL INC. SER D CV	650,000.	650,000.
243900 BIOCRYST PHARMACEUTICAL	1,299,997.	2,858,508.
722891 BIOPTIX DIAGNOSTICS SER	899,999.	180,723.
1944000 BIOPIX DIAGNOSTICES C	486,000.	486,000.
525251 CALIBER THERAPEUT B CV	57,778.	57,778.
77037 CALIBER THER UNITS	77,037.	77,037.
2791187 CALIBER THERAPEUTICS S	307,031.	307,031.
1575752 CALIBER THERAPEUTICS B	173,333.	173,333.
1876000 CALIENT TECH. SER 4 CV	938,000.	1,688,400.
800000 CALIENT TECH. SER 5 CV	600,000.	720,000.
513938 CALIENT TECH SER 6 PER	416,290.	462,544.

FORM 990PF, PART II - CORPORATE STOCKATTACHMENT 8 (CONT'D)

<u>DESCRIPTION</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
276600 CAPSTONE THERAPEUTICS C	1,250,076.	64,171.
58840 CARDIOVASCULAR SYSTEMS I	673,998.	1,824,040.
431327 CARMENTA BIOSCIENCE	629,996.	629,737.
1880 CEL-SCI CORP.	92,834.	1,269.
120000 CERECOR INC. UNITS	900,000.	480,000.
CERTES NETWORKS COMMON	1,078,000.	
225000 CERTES NETWORKS SER A P	225,000.	225,000.
81840 CHEMOCENTRYX	930,940.	459,941.
25102 CIBER, INC.	183,709.	82,084.
226000 CODEXIS INC.	874,271.	578,560.
151000 COLLECTIVEIP SER A CV	350,229.	350,169.
190747 CONTRAFECT COMMON	914,177.	621,835.
383000 CORTEX PHARMACEUTICALS	795,840.	23,746.
88400 CROSSROADS SYSTEMS, INC.	1,054,245.	244,868.
645006 CUR MEDIA COMMON	645,006.	580,505.
62579 CYCLACEL PHARMACEUTICALS	835,683.	202,130.
11000 DATA I/O CORP.	60,500.	37,070.
49000 DIGI INTERNATIONAL INC.	450,280.	405,720.
1260025 DR SEARS FAM. ESS. SER	900,018.	252,005.
3236000 EASIC CORP. COMMON	927,438.	32,360.
7685901 EASIC CORP. COMMON	14,146.	76,859.
2561967 EASIC CORP. SER A-2	32,645.	179,338.

FORM 990PF, PART II - CORPORATE STOCKATTACHMENT 8 (CONT'D)

DESCRIPTION	ENDING BOOK VALUE	ENDING FMV
709459 EASIC CORP. SER A-1	130,575.	709,459.
19600 EDCI HOLDINGS, INC.	311,194.	11,760.
226000 EDGE THERAPEUTIC	870,100.	870,100.
9687 ENSERVCO CORP.	32,645.	27,899.
635000 ENUMERAL BIOMEDICAL CS	635,000.	635,000.
450000 ETUBICS UNITS	450,000.	450,000.
77100 EVOKE PHARMACEUTICAL	901,699.	516,570.
195395 EVOTEC AG ADS	2,235,113.	1,434,199.
88684 EXELIXIS INC.	1,578,428.	150,763.
335000 FLUROFINDER CONV NOTE	335,000.	335,000.
297640 FORCE10 SER. RE. ESCROW		8,929.
54500 FORESTAR GROUP INC.	1,282,556.	951,025.
163328 GENMARK DIAGNOSTICS, IN	1,250,000.	1,861,939.
71500 GENMARK DIAGNOSTICES, IN	349,635.	815,100.
13654 GOOD TIMES RESTAURANTS I	284,495.	73,049.
138500 GTX, INC.	1,399,767.	77,283.
420100 HARBOR DIVERSIFIED INC.	1,165,104.	39,910.
79000 HEAT BIOLOGICS	790,000.	517,450.
150000 HIBERNA CORP. COMMON	150,000.	9,000.
2285000 HYPERACTIVE '08 SER C	799,750.	799,750.
700000 HYPERACTIVE '10 SER D C	245,000.	245,000.
319000 HYPERACTIVE '12 SER D C	111,650.	111,650.
1150000 IMTHERA MED, SER 1-A .	1,145,607.	4,738,000.
230000 IMTHERA MED WARRANTS	1.	
75400 INCYTE CORP	466,635.	5,056,324.

FORM 990PF, PART II - CORPORATE STOCKATTACHMENT 8 (CONT'D)

<u>DESCRIPTION</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
309492 INTERACT911 SER PFD	123,594.	123,797.
1060000 INTERACT911 SEC C-1	797,063.	750,875.
3500000 INTERACT911 SEC C-1	250,649.	236,125.
3500000 INTERACT911 WARRANTS	25.	
97200 KINDRED BIOSCIENCES INC.	1,002,725.	891,324.
8680 KINROSS GOLD CORP.	71,507.	18,662.
88500 LANDEC CORP	279,218.	1,114,215.
58933 LANTRONIX INC.	779,706.	116,098.
26910 LIVE MICROSYSTEMS INC.	1,140,033.	8,073.
49286 LPATH WARRANTS 3/9/17	110,400.	49,286.
566297 LPATH INC. COMMON	2,855,338.	1,647,924.
57400 MAGNUM SEMICONV CV NOTE	57,400.	57,400.
1496997 MAGNUM SEMI. SER E-1	1,634,786.	1,796,396.
250000 MARKET FORCE SER B CV P	665,000.	457,500.
301524 MIRAGEN THERA SER A PRE	904,573.	1,809,144.
50028 MIRAGEN THERA SER B PREF	300,168.	300,168.
17333.3 MOTRICITY INC. WTS.		173.
42775 MOVE, INC.	1,040,243.	896,136.
38190 MS & AD INSURANCE GROUP	1,350,346.	803,113.
170000 MYREXIS, INC.	477,685.	19,499.
81400 NEPHROGENEX INC COMMON	976,800.	355,718.
1068000 NEUROTROPE SER A PFD	1,068,000.	749,843.
2850824 NEW FRONTIER ENERGY IN	644,030.	54,165.
575.3 NEW FRONTIER ENERGY SER	99,120.	14,957.
1500 NEW FRONTIER SER B CV PFD	313,990.	31,500.
511000 NEXTIO INC. SER. E CV P	930,020.	
107520 NEXTIO INC. SERIES F CV	230,558.	
10077 NEXTIO WT. EXP 12/30/202	19,534.	

FORM 990PF, PART II - CORPORATE STOCKATTACHMENT 8 (CONT'D)

<u>DESCRIPTION</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
104800 OMEROS CORP.	555,620.	1,736,536.
119000 ONCOGENEX PHARMACEUTICA	1,101,292.	266,560.
290000 OSTENDO TECH	731,820.	730,800.
177400 PAIN THERAPEUTICS INC.	408,724.	308,676.
5314 PAION AG	450,055.	18,753.
369800 PEREGRINE PHARMACEUTICA	634,242.	591,680.
114441.4 PEREGRINE SEMICONDUCT	1,248,658.	1,422,502.
22100 PHARMACYCLICS, INC.	28,288.	2,887,807.
2014 PHOTOMEDEX, INC.	366,788.	7,734.
9900 PLANAR SYSTEMS INC.	52,272.	35,838.
700 PREMIER ALLI. GROUP SER D	593,055.	914,669.
233334 PREMIER ALLIANCE GR WTS	31,500.	
123681 PREMIER ALLIANCE GR COM	75,445.	121,207.
1000 PRESCIENT MEDICAL INC		
94900 PROGENICS PHARMACEUTICAL	385,668.	458,367.
50546 QUALMARK CORP.	394,916.	11,631.
1497999 QUANTIA INC SER A-2 CV	610,182.	614,180.
3256000 QUANTIA INC SER B-1 CV	547,334.	553,520.
896114 QUANTIA INC SER A-1	900,000.	62,727.

FORM 990PF, PART II - CORPORATE STOCKATTACHMENT 8 (CONT'D)

<u>DESCRIPTION</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
22998 RALLY SOFTWARE	109,349.	235,040.
910746 RAPT MEDIA SER B PFD	350,000.	350,000.
1300000 REFLEX SECURITY SER. B	1,300,000.	13,000.
12600 REFLEX SECURITY SER. C C	12,600.	252.
382066 REFLEX SYS LLC SER B	15,265.	76,413.
2367693 REFLEX SYS LLC SER A		473,538.
140000 RING ENERGY	770,000.	2,408,000.
246000 SANGAMO BIOSCIENCES INC	1,127,936.	2,986,440.
353900 SCICLONE PHARMACEUTICAL	1,400,033.	2,703,796.
311213 SOLFOCUS INC. SER A 2	258,058.	3,112.
155700 SOLFOCUS INC. SER A	258,213.	1,557.
184201 SOLFOCUS COMMON	1,455,959.	
5884 SOLITARIO EXPL. & ROYALTY	6,884.	5,943.
62725 SOMPO JAPAM NIPPONKOA	1,817,571.	1,538,117.
80200 SORRENTO EXPLOR	581,450.	338,444.
2954 STRASBAUGH	21,886.	148.
5000 SUGGESTION BOX INC COM	353,645.	700.
192.1 SUNIVA INC. SER. B CV P	1,500,324.	600,506.
28.5 SUNIVA INC. SER. D CV PF	359,955.	287,964.
112 SUNIVA INC. SER E CV P	369,771.	369,771.
10700 SUNRISE TELECOM, INC.	20,066.	799.
15602 SYNERON MEDICAL LTD.	148,704.	146,035.
536377 TABULA INC. SER. D CV P	1,394,999.	1,394,580.

FORM 990PF, PART II - CORPORATE STOCKATTACHMENT 8 (CONT'D)

<u>DESCRIPTION</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
100000 TABULA CONV PROM NOTE	100,000.	100,000.
353000 TARGACEPT INC. COM	984,133.	826,020.
153600 TITAN- PHARMACEUTICALS	1,047,803.	72,576.
59000 TOKIO MARINE HOLDINGS IN	896,155.	1,848,865.
740000 UR-ENERGY, INC.	772,283.	592,000.
182000 UR-ENERGY, INC	200,200.	145,600.
91000 UR-ENERGY , WTS		1,820.
31300 URSTADT BIDDLE PROP. CLA	206,356.	677,019.
31300 URSTADT BIDDLE PROPERTIE	207,733.	575,294.
385841 VENAXIS, INC.	2,880,831.	544,036.
16667 VENAXIS, INC. WTS	46,200.	333.
203828.5 VERASTEM INC. COM	1,499,050.	1,934,328.
78403 VERASTEM INC. COM	491,088.	744,044.
1242 VERNALIS PLC	498,746.	1,913.
81359 VIOLIN MEMORY COMMON	960,000.	393,778.
1425192 VITAL ACCESS CORP SER	897,871.	897,871.
278000 VITAL ACC CV PROM NOTE	278,000.	278,000.
17336 VOLTARI		
8666 VOLTARI COMMON	1,260,220.	12,566.
8670 VOLTARI COMMON	661,404.	12,571.
17333 VOLTARI WARRANTS		173.
68000 YAMANASHI CHUO BANK	709,115.	302,668.
TOTALS	<u>103,565,044.</u>	<u>87,787,974.</u>

FORM 990PF, PART II - CORPORATE BONDS

DESCRIPTION

ATTACHMENT 9

TOTALS

FORM 990PF, PART II - OTHER INVESTMENTSATTACHMENT 10

<u>DESCRIPTION</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
BOULDER VENTURES IV ANNEX, LP	128,065.	431,383.
BOULDER VENTURES V, LP	1,448,713.	1,895,268.
ORCHESTRA MEDICAL VENTURES II	2,020,054.	1,871,210.
LONGWOOD FOUNDERS FUND LP	-341,404.	1,237,360.
SOFINNOVA HEALTHQUEST PARTNERS	210,000.	158,879.
BOULDER VENTURES VI	360,000.	309,053.
TOTALS	<u>3,825,428.</u>	<u>5,903,153.</u>

ATTACHMENT 11FORM 990PF, PART III - OTHER INCREASES IN NET WORTH OR FUND BALANCESDESCRIPTIONAMOUNT

ADJUSTMENT TO ASSET LIST

429,061.

TOTAL

429,061.

ATTACHMENT 12FORM 990PF, PART III - OTHER DECREASES IN NET WORTH OR FUND BALANCESDESCRIPTIONAMOUNT

FMV IN EXCESS OF COST OF DONATED ASSETS  
EXCISE TAXES PAID IN EXCESS OF DEDUCTION

446,912.  
192,695.

TOTAL

639,607.

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

ATTACHMENT 13

TITLE AND AVERAGE HOURS PER  
WEEK DEVOTED TO POSITION

NAME AND ADDRESS

E. JEFFREY PEIERLS  
73 SOUTH HOLMAN WAY  
GOLDEN, CO 80401

PRESIDENT

BRIAN E. PEIERLS  
7808 HARVESTMAN COVE  
AUSTIN, TX 78731

VICE PRESIDENT

MALCOLM A. MOORE  
1201 THIRD AVENUE  
SUITE 2200  
SEATTLE, WA 98101-3035

SECRETARY

FORM 990PF, PART XV - INFORMATION REGARDING FOUNDATION MANAGERS

E.JEFFREY PEIERLS  
BRIAN ELIOT PEIERLS

ATTACHMENT 15

FORM 990PF, PART XV - NAME, ADDRESS AND PHONE FOR APPLICATIONS

E.JEFFREY PEIERLS  
73 SOUTH HOLMAN WAY  
GOLDEN, CO 80401

990PF, PART XV - FORM AND CONTENTS OF SUBMITTED APPLICATIONS

NO SPECIFIC FORM REQUIRED, BUT INCLUDE FINANCIAL STATEMENTS, AND COPY  
OF IRS EXEMPTION LETTER

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 17

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
AMERICAN FOUNDATION FOR THE BLIND 11 PENN PLAZA SUITE 300 NEW YORK, NY 10001			20,600.
AMERICAN RED CROSS 2025 EAST STREET N.W. WASHINGTON, DC 20006			712,600.
CHIEF SEATTLE COUNCIL, BOY SCOUTS OF AMERICA PO BOX 440408 SEATTLE, WA 98114-9758			30,900.
MEHARRY MEDICAL COLLEGE 1005 DRIVE D.B. TODD JR. BLVD. NASHVILLE, TN 37208-3599			59,000.
PLANNED PARENTHOOD OF THE GREAT NORTHWEST 2001 EAST MADISON STREET SEATTLE, WA 98122-2959			83,400.
LEARNING ALLY 20 ROSZEL ROAD PRINCETON, NJ 08540-9983			30,000.

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 17 (CONT'D)

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
F. I. PROCTOR AT UCSF 95 KIRKHAM STREET SAN FRANCISCO, CA 94143-0944			109,100.
NARAL PRO-CHOICE AMERICA FOUNDATION 1156 15TH STREET N.W SUITE 700 WASHINGTON, DC 20005			57,100.
ARTHRITIS FOUNDATION 1330 WEST PEACHTREE STREET, SUITE 100 ATLANTA, GA 38309-2904			29,100.
NORTHERN NEW JERSEY COUNCIL, BSA PO BOX 670 OAKLAND, NJ 07436-1709			30,900.
SAYWHATCLUB 16 HILCREST ROAD LITTLE FALLS, NJ 07424			8,400.
PLANNED PARENTHOOD FEDERATION OF AMERICA 434 WEST 33RD STREET NEW YORK, NY 10001			232,700.

FORM 990FE, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 17 (CONT'D)

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
PLANNED PARENTHOOD OF METROPOLITAN NEW JERSEY 151 WASHINGTON STREET NEWARK, NJ 07102			83,400.
LAKE WASHINGTON COLLEGE FOUNDATION 11605 132ND AVENUE N.E. KIRKLAND, WA 98034-8506			62,400.
PLANNED PARENTHOOD OF GREATER TEXAS 7424 GREENVILLE AVENUE, SUITE 206 DALLAS, TX 75231-4534			83,400.
PACIFIC LEGAL FOUNDATION 3900 LENNANE DRIVE SUITE 200 SACRAMENTO, CA 95834			41,000.
VIRGINIA GARCIA MEMORIAL HEALTH CENTER PO BOX 568 CORNELIUS, OR 97113			70,000.
BIG BROTHERS BIG SISTERS OF AUSTIN, TEXAS 1400 TILLERY STREET AUSTIN, TX 78721			76,900.

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 17 (CONT'D)

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
BOY SCOUTS OF AMERICA, CAPITAL AREA COUNCIL 12500N IH 35 AUSTIN, TX 78753-1312			30,900.
AUSTIN COMMUNITY COLLEGE FOUNDATION 5930 MIDDLE FISKVILLE ROAD AUSTIN, TX 78752			43,600.
RAISING AUSTIN (TOGETHER4CHILDREN) PO BOX 10047 AUSTIN, TX 78756-1047			115,200.
NATURAL RESOURCES DEFENSE COUNCIL 40 WEST 20TH STREET NEW YORK, NY 10011			55,700.
THE INTERFAITH ALLIANCE FOUNDATION 1212 NEW YORK AVENUE NW, 7TH FLOOR WASHINGTON, DC 20005-4706			55,700.
AMERICAN HEART ASSOCIATION OF COLORADO 1280 SOUTH PARKER ROAD DENVER, CO 80231-2100			17,800.

FORM 990PE, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 17 (CONT'D)

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
BOY SCOUTS OF AMERICA, DENVER AREA COUNCIL 10455 WEST 6TH AVENUE, SUITE 100 DENVER, CO 80215			28,500
CARE, INC. 465 CALIFORNIA STREET, SUITE 1210 SAN FRANCISCO, CA 94104			777,000.
INTERNATIONAL RESCUE COMMITTEE 122 EAST 42ND STREET NEW YORK, NY 10168-1289			622,000.
UNITED NEGRO COLLEGE FUND 1805 7TH STREET, N.W. WASHINGTON, DC 20001			49,000.
PLANNED PARENTHOOD OF THE ROCKY MOUNTAINS 7155 EAST 38TH AVENUE DENVER, CO 80203-2706			82,400.
STANFORD GRADUATE SCHOOL OF BUSINESS 518 MEMORIAL WAY STANFORD, CA 94305-5015			35,800.

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 17 (CONT'D)

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
THE NATURE CONSERVANCY 2424 SPRUCE STREET BOULDER, CO 80302-4617			834,000.
YALE UNIVERSITY, OFFICE OF DEVELOPMENT PO BOX 2038 NEW HAVEN, CT 06521-2038			41,600.
COLORADO UPLIFT 3914 KING STREET DENVER, CO 80211-1932			90,000.
AMERICAN INDIAN COLLEGE FUND 8333 GREENWOOD BLVD DENVER, CO 80221-4488			116,000.
HEARING HEALTH FOUNDATION 363 SEVENTH AVENUE, 10TH FLOOR NEW YORK, NY 10001-3904			34,500.
UNITARIAN UNIVERSALIST ASSOCIATION 25 BEACON STREET BOSTON, MA 02108			22,500.

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 17 (CONT'D)

RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR

AND

FOUNDATION STATUS OF RECIPIENT

PURPOSE OF GRANT OR CONTRIBUTION

RECIPIENT NAME AND ADDRESS

AMOUNT

UNITARIAN-UNIVERSALIST SERVICE COMMITTEE  
689 MASSACHUSETTS AVENUE  
CAMBRIDGE, MA 02139-3302

44,500

SOUTHERN INSTITUTE FOR EDUCATION & RESEARCH  
MR BOX 1692, 31 MCALISTER DRIVE  
NEW ORLEANS, LA 70118

16,500.

METROPOLITAN STATE COLLEGE OF DENVER FOUNDATION  
PO BOX 173362 - CAMPUS BOX 14  
DENVER, CO 80217-9002

84,000.

GIRLS INCORPORATED OF METRO DENVER  
1499 JULIAN STREET  
DENVER, CO 80204

38,000.

COLORADO I HAVE A DREAM FOUNDATION  
1836 GRANT STREET  
DENVER, CO 80203-2022

133,000.

DOCTORS WITHOUT BORDERS, USA  
333 SEVENTH AVENUE, SECOND FLOOR  
NEW YORK, NY 10001-5004

450,000.

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 17 (CONT'D)

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
ENERGY OUTREACH COLORADO 225 EAST 16TH AVENUE, SUITE 200 DENVER, CO 80203-1612			35,000.
HOPE CENTER 3400 ELIZABETH STREET DENVER, CO 80205-4244			54,000.
BIG BROTHERS BIG SISTERS OF COLORADO 2420 WEST 26TH AVENUE, SUITE 450 DENVER, CO 80211-5305			65,000.
AMERICAN UNITED FOR SEPARATION OF CHURCH AND STATE 1301 K STREET, SUITE 850, EAST TOWER WASHINGTON, DC 20005			55,000.
MILE HIGH UNITED WAY (READING CORP.) 711 PARK AVENUE WEST DENVER, CO 80205			70,000.
THIRD SECTOR NEW ENGLAND (TOOLS OF THE MIND) 89 SOUTH STREET, SUITE 700 BOSTON, MA 02111-2680			85,000.

FORM 990FF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 17 (CONT'D)

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
	FOUNDATION STATUS OF RECIPIENT		
READING PARTNERS COLORADO 3131 OSCEOLA STREET #303 DENVER, CO 80212			70,000.
ADAMS COUNTY SCHOOL DIST 50-ELD DIVISION 6933 RALEIGH STREET WESTMINSTER, CO 80030			65,000.
DENVER SCHOLARSHIP FOUNDATION 303 EAST 17TH AVENUE, SUITE 200 DENVER, CO 80203			50,000.
TOTAL CONTRIBUTIONS PAID			<u>6,188,100.</u>

**SCHEDULE D  
(Form 1041)**

Department of the Treasury  
Internal Revenue Service

**Capital Gains and Losses**

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

OMB No 1545-0092

**2013**

Name of estate or trust

PEIERLS FOUNDATION

Employer identification number

13-6082503

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

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

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

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

	(d) Proceeds (sales price)	(e) Cost (or other basis)	(g) Adjustments to gain or loss from Form(s) 8949, Part I, line 2, column (g)	(h) Gain or (loss) Subtract column (e) from column (d) and combine the result with column (g)
<b>1a</b> Totals for all short-term transactions reported on Form 1099-B for which basis was reported to the IRS and for which you have no adjustments (see instructions). However, if you choose to report all these transactions on Form 8949, leave this line blank and go to line 1b				
<b>1b</b> Totals for all transactions reported on Form(s) 8949 with <b>Box A</b> checked				
<b>2</b> Totals for all transactions reported on Form(s) 8949 with <b>Box B</b> checked	106,270.	107,824.		-1,554.
<b>3</b> Totals for all transactions reported on Form(s) 8949 with <b>Box C</b> checked				
<b>4</b> Short-term capital gain or (loss) from Forms 4684, 6252, 6781, and 8824			<b>4</b>	
<b>5</b> Net short-term gain or (loss) from partnerships, S corporations, and other estates or trusts			<b>5</b>	214,544.
<b>6</b> Short-term capital loss carryover. Enter the amount, if any, from line 9 of the 2012 Capital Loss Carryover Worksheet			<b>6</b>	( )
<b>7</b> <b>Net short-term capital gain or (loss).</b> Combine lines 1a through 6 in column (h). Enter here and on line 17, column (3) on the back			<b>7</b>	212,990.

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

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

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

	(d) Proceeds (sales price)	(e) Cost (or other basis)	(g) Adjustments to gain or loss from Form(s) 8949, Part II, line 2, column (g)	(h) Gain or (loss) Subtract column (e) from column (d) and combine the result with column (g)
<b>8a</b> Totals for all long-term transactions reported on Form 1099-B for which basis was reported to the IRS and for which you have no adjustments (see instructions). However, if you choose to report all these transactions on Form 8949, leave this line blank and go to line 8b				
<b>8b</b> Totals for all transactions reported on Form(s) 8949 with <b>Box D</b> checked				
<b>9</b> Totals for all transactions reported on Form(s) 8949 with <b>Box E</b> checked	15,745,415.	8,940,526.		6,804,889.
<b>10</b> Totals for all transactions reported on Form(s) 8949 with <b>Box F</b> checked				
<b>11</b> Long-term capital gain or (loss) from Forms 2439, 4684, 6252, 6781, and 8824			<b>11</b>	
<b>12</b> Net long-term gain or (loss) from partnerships, S corporations, and other estates or trusts			<b>12</b>	2,226,433.
<b>13</b> Capital gain distributions			<b>13</b>	
<b>14</b> Gain from Form 4797, Part I			<b>14</b>	8,263.
<b>15</b> Long-term capital loss carryover. Enter the amount, if any, from line 14 of the 2012 Capital Loss Carryover Worksheet			<b>15</b>	( )
<b>16</b> <b>Net long-term capital gain or (loss).</b> Combine lines 8a through 15 in column (h). Enter here and on line 18a, column (3) on the back			<b>16</b>	9,039,585.

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

Schedule D (Form 1041) 2013

<b>Part III Summary of Parts I and II</b> <b>Caution: Read the instructions before completing this part</b>		(1) Beneficiaries' (see instr.)	(2) Estate's or trust's	(3) Total
<b>17</b>	<b>Net short-term gain or (loss)</b> . . . . .	<b>17</b>		212,990.
<b>18</b>	<b>Net long-term gain or (loss):</b>			
a	Total for year . . . . .	<b>18a</b>		9,039,585.
b	Unrecaptured section 1250 gain (see line 18 of the wrksht) . . . .	<b>18b</b>		
c	28% rate gain . . . . .	<b>18c</b>		
<b>19</b>	<b>Total net gain or (loss).</b> Combine lines 17 and 18a. . . . . ▶	<b>19</b>		9,252,575.

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

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

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

<b>Part V Tax Computation Using Maximum Capital Gains Rates</b>	
<b>Form 1041 filers.</b> Complete this part <b>only</b> if both lines 18a and 19 in column (2) are gains, or an amount is entered in Part I or Part II and there is an entry on Form 1041, line 2b(2), and Form 1041, line 22, is more than zero. <b>Caution:</b> Skip this part and complete the <b>Schedule D Tax Worksheet</b> in the instructions if • Either line 18b, col (2) or line 18c, col (2) is more than zero, or • Both Form 1041, line 2b(1), and Form 4952, line 4g are more than zero	
<b>Form 990-T trusts.</b> Complete this part <b>only</b> if both lines 18a and 19 are gains, or qualified dividends are included in income in Part I of Form 990-T, and Form 990-T, line 34, is more than zero. Skip this part and complete the <b>Schedule D Tax Worksheet</b> in the instructions if either line 18b, col (2) or line 18c, col (2) is more than zero	

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

Schedule D (Form 1041) 2013

Form **8949**Department of the Treasury  
Internal Revenue Service**Sales and Other Dispositions of Capital Assets**► Information about Form 8949 and its separate instructions is at [www.irs.gov/form8949](http://www.irs.gov/form8949).

► File with your Schedule D to list your transactions for lines 1b, 2, 3, 8b, 9, and 10 of Schedule D.

OMB No 1545-0074

**2013**Attachment  
Sequence No **12A**

Name(s) shown on return

PEIERLS FOUNDATION

Social security number or taxpayer identification number  
13-6082503

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

**Part I** **Short-Term.** Transactions involving capital assets you held one year or less are short-term. For long-term transactions, see page 2.

**Note.** You may aggregate all short-term transactions reported on Form(s) 1099-B showing basis was reported to the IRS and for which no adjustments or codes are required. Enter the total directly on Schedule D, line 1a, you are not required to report these transactions on Form 8949 (see instructions).

**You must check Box A, B, or C below. Check only one box.** If more than one box applies for your short-term transactions, complete a separate Form 8949, page 1, for each applicable box. If you have more short-term transactions than will fit on this page for one or more of the boxes, complete as many forms with the same box checked as you need.

- ☐ (A) Short-term transactions reported on Form(s) 1099-B showing basis was reported to the IRS (see **Note** above)
- ☒ (B) Short-term transactions reported on Form(s) 1099-B showing basis was **not** reported to the IRS
- ☐ (C) Short-term transactions not reported to you on Form 1099-B

1	(a) Description of property (Example 100 sh XYZ Co.)	(b) Date acquired (Mo., day, yr.)	(c) Date sold or disposed (Mo., day, yr.)	(d) Proceeds (sales price) (see instructions)	(e) Cost or other basis. See the Note below and see Column (e) in the separate instructions	Adjustment, if any, to gain or loss. If you enter an amount in column (g), enter a code in column (f). See the separate instructions.		(h) Gain or (loss). Subtract column (e) from column (d) and combine the result with column (g).
						(f) Code(s) from instructions	(g) Amount of adjustment	
	0.3 ETUBICS CORP COMMO	04/10/2014	04/10/2014	1.				1.
	322.5 EUROS	01/08/2014	02/19/2014	443.	439.			4.
	227915 JAPANESE YEN	06/25/2013	02/19/2014	104,697.	107,385.			-2,688.
	5314 PAION AG RIGHTS	12/23/2013	01/08/2014	439.				439.
	5314 PAION AG RIGHTS	06/20/2014	07/03/2014	690.				690.
<b>2 Totals.</b> Add the amounts in columns (d), (e), (g), and (h) (subtract negative amounts). Enter each total here and include on your Schedule D, line 1b (if Box A above is checked), line 2 (if Box B above is checked), or line 3 (if Box C above is checked) ►				106,270	107,824.			-1,554.

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

For Paperwork Reduction Act Notice, see your tax return instructions.

JSA  
3X2615 2 000Form **8949** (2013)

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

Social security number or taxpayer identification number

PEIERLS FOUNDATION

13-6082503

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

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

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

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

☐ (D) Long-term transactions reported on Form(s) 1099-B showing basis was reported to the IRS (see **Note** above)

☒ (E) Long-term transactions reported on Form(s) 1099-B showing basis was **not** reported to the IRS

☐ (F) Long-term transactions not reported to you on Form 1099-B

1	(a) Description of property (Example: 100 sh XYZ Co.)	(b) Date acquired (Mo., day, yr.)	(c) Date sold or disposed (Mo., day, yr.)	(d) Proceeds (sales price) (see instructions)	(e) Cost or other basis. See the Note below and see Column (e) in the separate instructions	Adjustment, if any, to gain or loss. If you enter an amount in column (g), enter a code in column (f). See the separate instructions.		(h) Gain or (loss). Subtract column (e) from column (d) and combine the result with column (g)
						(f) Code(s) from instructions	(g) Amount of adjustment	
	75900 CERTES NETWORKS	12/31/2010	05/15/2014		75,900.			-75,900.
	580000 CERTES NETWORKS	02/09/2012	02/28/2014		287,100.			-287,100.
	340000 CYTRX CORP	10/18/2012	03/14/2014	1,295,354.	850,000.			445,354.
	21850 FINOVA GROUP INC.	03/28/2000	02/07/2014	416.				416.
	21850 FINOVA GROUP INC.	03/28/2000	02/07/2014	416.				416.
	21850 FINOVA GROUP INC.	03/28/2000	06/19/2014	416.				416.
	21850 FINOVA GROUP INC.	03/28/2000	06/19/2014	416.				416.
	4700 INCYTE CORP	06/07/2002	11/15/2013	223,077.	28,841.			194,236.
	4700 INCYTE CORP	06/07/2002	11/15/2013	223,077.	28,841.			194,236.
	31600 INCYTE CORP	06/11/2012	11/15/2013	1,499,838.	195,566.			1,304,272.
	1500 INTEGRATED SILICON SOLUTION	08/21/1996	03/31/2014	22,936.	13,481.			9,455.
	21100 INTEGRATED SILICON SOLUTION	08/21/1996	03/31/2014	322,637.	189,636.			133,001.
	21800 INTEGRATED SILICON SOLUTION	08/21/1996	03/31/2014	333,340.	195,928.			137,412.
	81400 IPO SECURITIES LIT SET	11/29/2000	07/11/2014	156.				156.
	<b>2 Totals.</b> Add the amounts in columns (d), (e), (g), and (h) (subtract negative amounts). Enter each total here and include on your Schedule D, line 8b (if Box D above is checked), line 9 (if Box E above is checked), or line 10 (if Box F above is checked) ▶			15745415.	8940526.			6,804,889.

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

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

Social security number or taxpayer identification number

PEIERLS FOUNDATION

13-6082503

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

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

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

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

☐ (D) Long-term transactions reported on Form(s) 1099-B showing basis was reported to the IRS (see **Note** above)

☒ (E) Long-term transactions reported on Form(s) 1099-B showing basis was **not** reported to the IRS

☐ (F) Long-term transactions not reported to you on Form 1099-B

1	(a) Description of property (Example: 100 sh XYZ Co.)	(b) Date acquired (Mo., day, yr.)	(c) Date sold or disposed (Mo., day, yr.)	(d) Proceeds (sales price) (see instructions)	(e) Cost or other basis. See the Note below and see Column (e) in the separate instructions	Adjustment, if any, to gain or loss. If you enter an amount in column (g), enter a code in column (f). See the separate instructions.		(h) Gain or (loss). Subtract column (e) from column (d) and combine the result with column (g)
						(f) Code(s) from instructions	(g) Amount of adjustment	
	81400 IPO SECURITIES LIT SET	11/29/2000	07/21/2014	12.				12.
	76100 KERYX BIOPHARNAME UTICAL	01/26/2007	08/25/2014	1,306,486.	915,361.			391,125.
	57100 KERYX BIOPHARNAME UTICAL	07/09/2007	08/26/2014	1,002,472.	559,009.			443,463.
	20500 KERYX BIOPHARNAME UTICAL	01/26/2007	08/26/2014	359,907.	246,582.			113,325.
	2900 KERYX BIOPHARNAMEU TICAL	06/29/2007	08/26/2014	50,914.	28,381.			22,533.
	20000 KERYX BIOPHARNAME UTICAL	10/09/2008	08/29/2014	359,783.	4,365.			355,418.
	511000 NEXTIO INC SER E CV PRF	04/28/2011	10/31/2014		930,020.			-930,020.
	50387 NEXTIO INC SER F CV PRF	12/30/2011	10/31/2014		97,666.			-97,666.
	55786 NEXTIO INC SER F CV PRF	05/08/2012	10/31/2014		129,758.			-129,758.
	3133.9 NEXTIO INC SER F CV PRF	05/08/2012	10/31/2014		3,134.			-3,134.
	10077 NEXTIO WARRANTS	12/31/2011	10/31/2014		19,534.			-19,534.
	98863 OVASCIENCE INC. COMMON	07/13/2011	09/04/2014	1,481,907.	200,000.			1,281,907.
	11090 OVASCIENCE INC. COMMON	07/13/2011	09/29/2014	184,842.	22,435.			162,407.
	16229 OVASCIENCE INC. COMMON	07/13/2011	09/30/2014	270,735.	32,831.			237,904.
	<b>2 Totals.</b> Add the amounts in columns (d), (e), (g), and (h) (subtract negative amounts). Enter each total here and include on your Schedule D, line 8b (if Box D above is checked), line 9 (if Box E above is checked), or line 10 (if Box F above is checked) ▶							

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

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

Social security number or taxpayer identification number

PEIERLS FOUNDATION

13-6082503

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

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

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

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

☐ (D) Long-term transactions reported on Form(s) 1099-B showing basis was reported to the IRS (see **Note** above)

☒ (E) Long-term transactions reported on Form(s) 1099-B showing basis was **not** reported to the IRS

☐ (F) Long-term transactions not reported to you on Form 1099-B

1	(a) Description of property (Example: 100 sh. XYZ Co.)	(b) Date acquired (Mo., day, yr.)	(c) Date sold or disposed (Mo., day, yr.)	(d) Proceeds (sales price) (see instructions)	(e) Cost or other basis. See the <b>Note</b> below and see <i>Column (e)</i> in the separate instructions.	Adjustment, if any, to gain or loss If you enter an amount in column (g), enter a code in column (f). See the separate instructions.		(h) Gain or (loss). Subtract column (e) from column (d) and combine the result with column (g).
						(f) Code(s) from instructions	(g) Amount of adjustment	
	68400 PERFORMANCE TECHNOLOGIES	12/26/2008	02/19/2014	256,500.	220,403.			36,097.
	6900 PERFORMANCE TECHNOLOGIES	11/07/2008	02/19/2014	25,875.	22,158.			3,717.
	57000 PERFORMANCE TECHNOLOGIES	11/17/2008	02/19/2014	213,750.	183,630.			30,120.
	57000 PERFORMANCE TECHNOLOGIES	11/19/2008	02/19/2014	213,750.	181,823.			31,927.
	7000 PERFORMANCE TECHNOLOGIES	11/25/2008	02/19/2014	26,250.	22,192.			4,058.
	34500 PERFORMANCE TECHNOLOGIES	11/18/2008	02/19/2014	129,375.	109,380.			19,995.
	27900 PERFORMANCE TECHNOLOGIES	02/18/2009	02/19/2014	104,625.	88,924.			15,701.
	8000 PERFORMANCE TECHNOLOGIES	12/31/2008	02/19/2014	30,000.	25,840.			4,160.
	18600 PERFORMANCE TECHNOLOGIES	01/27/2009	02/19/2014	69,750.	59,816.			9,934.
	4340 FPSWEB, INC.	08/10/2000	10/03/2014	47,471.	47,583.			-112.
	27371 FPSWEB, INC.	08/11/2000	10/03/2014	299,383.	280,185.			19,198.
	4255 FPSWEB, INC.	08/10/2000	10/03/2014	46,541.	48,525.			-1,984.
	8511 FPSWEB, INC.	08/09/2000	10/03/2014	93,093.	97,050.			-3,957.
	2128 FPSWEB, INC.	08/10/2000	10/03/2014	23,276.	23,950.			-674.
<b>2 Totals.</b> Add the amounts in columns (d), (e), (g), and (h) (subtract negative amounts). Enter each total here and include on your Schedule D, line 8b (if Box D above is checked), line 9 (if Box E above is checked), or line 10 (if Box F above is checked) ▶								

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

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

Social security number or taxpayer identification number

PEIERLS FOUNDATION

13-6082503

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

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

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

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

☐ (D) Long-term transactions reported on Form(s) 1099-B showing basis was reported to the IRS (see **Note** above)

☒ (E) Long-term transactions reported on Form(s) 1099-B showing basis was **not** reported to the IRS

☐ (F) Long-term transactions not reported to you on Form 1099-B

1	(a) Description of property (Example: 100 sh. XYZ Co.)	(b) Date acquired (Mo., day, yr.)	(c) Date sold or disposed (Mo., day, yr.)	(d) Proceeds (sales price) (see instructions)	(e) Cost or other basis. See the Note below and see Column (e) in the separate instructions.	Adjustment, if any, to gain or loss. If you enter an amount in column (g), enter a code in column (f). See the separate instructions.		(h) Gain or (loss). Subtract column (e) from column (d) and combine the result with column (g).
						(f) Code(s) from instructions	(g) Amount of adjustment	
	5319 FPSWEB, INC.	08/18/2000	10/03/2014	58,179.	56,125.			2,054.
	6383 FPSWEB, INC.	08/10/2000	10/03/2014	69,817.	69,038.			779.
	1000 FPSWEB, INC.	08/11/2000	10/08/2014	10,860.	10,237.			623.
	1063 FPSWEB, INC.	08/16/2000	10/20/2014	11,566.	10,413.			1,153.
	3760 FPSWEB, INC.	08/15/2000	10/20/2014	40,911.	35,697.			5,214.
	9927 FPSWEB, INC.	08/11/2000	10/20/2014	108,012.	101,618.			6,394.
	6383 FPSWEB, INC.	08/11/2000	10/20/2014	69,451.	61,851.			7,600.
	1981 FPSWEB, INC.	08/15/2000	10/21/2014	21,513.	18,807.			2,706.
	2910 FPSWEB, INC.	12/31/2008	10/23/2014	31,633.	2,110.			29,523.
	1706 FPSWEB, INC.	08/15/2000	10/23/2014	18,545.	16,196.			2,349.
	6090 FPSWEB, INC.	03/09/2009	10/23/2014	66,201.	4,418.			61,783.
	14400 PLANAR SYSTEMS, INC.	10/04/1999	09/03/2014	73,991.	92,232.			-18,241.
	6200 PLANAR SYSTEMS, INC.	10/04/1999	09/04/2014	31,754.	39,711.			-7,957.
	100 PLANAR SYSTEMS, INC.	10/21/1999	09/04/2014	512.	528.			-16.
<b>2 Totals.</b> Add the amounts in columns (d), (e), (g), and (h) (subtract negative amounts). Enter each total here and include on your Schedule D, line 8b (if Box D above is checked), line 9 (if Box E above is checked), or line 10 (if Box F above is checked) ▶								

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

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

Social security number or taxpayer identification number

PEIERLS FOUNDATION

13-6082503

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

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

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

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

☐ (D) Long-term transactions reported on Form(s) 1099-B showing basis was reported to the IRS (see **Note** above)

☒ (E) Long-term transactions reported on Form(s) 1099-B showing basis was **not** reported to the IRS

☐ (F) Long-term transactions not reported to you on Form 1099-B

1	(a) Description of property (Example: 100 sh. XYZ Co.)	(b) Date acquired (Mo., day, yr.)	(c) Date sold or disposed (Mo., day, yr.)	(d) Proceeds (sales price) (see instructions)	(e) Cost or other basis. See the Note below and see Column (e) in the separate instructions	Adjustment, if any, to gain or loss. If you enter an amount in column (g), enter a code in column (f). See the separate instructions.		(h) Gain or (loss) Subtract column (e) from column (d) and combine the result with column (g)
						(f) Code(s) from instructions	(g) Amount of adjustment	
	175266 PROSTOR SYSTEMS INC SER B-2	07/31/2008	10/14/2014	1,036.				1,036.
	108500 RIVERSTONE NETWORKS, INC.	06/07/2002	11/12/2013	1,356.	127,859.			-126,503.
	108500 RIVERSTONE NETWORKS, INC.	06/07/2002	11/12/2013	1,356.	127,859.			-126,503.
	32700 RIVERSTONE NETWORKS, INC.	06/10/2002	11/12/2013	409.	35,905.			-35,496.
	32700 RIVERSTONE NETWORKS, INC.	06/10/2002	11/12/2013	409.	35,905.			-35,496.
	85375 SYMMETRICOM, INC.	10/05/2002	11/26/2013	612,993.	311,192.			301,801.
	1092 SYMMETRICOM, INC.	10/05/2002	11/26/2013	7,841.	2,790.			5,051.
	1092 SYMMETRICOM, INC.	10/05/2002	11/26/2013	7,841.	2,790.			5,051.
	2185 SYMMETRICOM, INC.	10/05/2002	11/26/2013	15,688.	5,583.			10,105.
	2185 SYMMETRICOM, INC.	10/05/2002	11/26/2013	15,688.	5,583.			10,105.
	2185 SYMMETRICOM, INC.	10/05/2002	11/26/2013	15,688.	5,583.			10,105.
	2185 SYMMETRICOM, INC.	10/05/2002	11/26/2013	15,688.	5,583.			10,105.
	1093 SYMMETRICOM, INC.	10/05/2002	11/26/2013	7,848.	2,793.			5,055.
	1093 SYMMETRICOM, INC.	10/05/2002	11/26/2013	7,848.	2,793.			5,055.
<b>2 Totals.</b> Add the amounts in columns (d), (e), (g), and (h) (subtract negative amounts). Enter each total here and include on your Schedule D, line 8b (if Box D above is checked), line 9 (if Box E above is checked), or line 10 (if Box F above is checked) ▶								

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

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

Social security number or taxpayer identification number

PEIERLS FOUNDATION

13-6082503

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

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

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

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

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

1	(a) Description of property (Example: 100 sh XYZ Co.)	(b) Date acquired (Mo., day, yr.)	(c) Date sold or disposed (Mo., day, yr.)	(d) Proceeds (sales price) (see instructions)	(e) Cost or other basis. See the <b>Note</b> below and see Column (e) in the separate instructions	Adjustment, if any, to gain or loss. If you enter an amount in column (g), enter a code in column (f). See the separate instructions.		(h) Gain or (loss). Subtract column (e) from column (d) and combine the result with column (g).
						(f) Code(s) from instructions	(g) Amount of adjustment	
5943	SYMMETRICOM, INC.	10/05/2002	11/26/2013	42,671.	15,184.			27,487.
5943	SYMMETRICOM, INC.	10/05/2002	11/26/2013	42,671.	15,184.			27,487.
3277	SYMMETRICOM, INC.	10/05/2002	11/26/2013	23,529.	8,373.			15,156.
3277	SYMMETRICOM, INC.	10/05/2002	11/26/2013	23,529.	8,373.			15,156.
3277	SYMMETRICOM, INC.	10/05/2002	11/26/2013	23,529.	8,373.			15,156.
3277	SYMMETRICOM, INC.	10/05/2002	11/26/2013	23,529.	8,373.			15,156.
3277	SYMMETRICOM, INC.	10/05/2002	11/26/2013	23,529.	8,373.			15,156.
3277	SYMMETRICOM, INC.	10/05/2002	11/26/2013	23,529.	8,373.			15,156.
3277	SYMMETRICOM, INC.	10/05/2002	11/26/2013	23,529.	8,373.			15,156.
1529	SYMMETRICOM, INC.	10/05/2002	11/26/2013	10,978.	3,907.			7,071.
1529	SYMMETRICOM, INC.	10/05/2002	11/26/2013	10,978.	3,907.			7,071.
1027	SYMMETRICOM, INC.	10/05/2002	11/26/2013	7,374.	2,624.			4,750.
1027	SYMMETRICOM, INC.	10/05/2002	11/26/2013	7,374.	2,624.			4,750.
1835	SYMMETRICOM, INC.	10/05/2002	11/26/2013	13,175.	4,688.			8,487.
1835	SYMMETRICOM, INC.	10/05/2002	11/26/2013	13,175.	4,688.			8,487.
<b>2 Totals.</b> Add the amounts in columns (d), (e), (g), and (h) (subtract negative amounts). Enter each total here and include on your Schedule D, line 8b (if Box D above is checked), line 9 (if Box E above is checked), or line 10 (if Box F above is checked) ▶								

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

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

Social security number or taxpayer identification number

PEIERLS FOUNDATION

13-6082503

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

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

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

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

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

1	(a) Description of property (Example 100 sh XYZ Co.)	(b) Date acquired (Mo., day, yr.)	(c) Date sold or disposed (Mo., day, yr.)	(d) Proceeds (sales price) (see instructions)	(e) Cost or other basis. See the Note below and see Column (e) in the separate instructions.	Adjustment, if any, to gain or loss If you enter an amount in column (g), enter a code in column (f). See the separate instructions.		(h) Gain or (loss). Subtract column (e) from column (d) and combine the result with column (g).
						(f) Code(s) from instructions	(g) Amount of adjustment	
	2275 SYMMETRICOM, INC.	10/05/2002	11/26/2013	19,925.	7,090.			12,835.
	2275 SYMMETRICOM, INC.	10/05/2002	11/26/2013	19,925.	7,090.			12,835.
	1869 TRANSWITCH CORPORATION	04/13/2004	10/22/2014	4.	98,750.			-98,746.
	560 TRANSWITCH CORPORATION	04/21/2004	10/22/2014	1.	29,625.			-29,624.
	45 TRANSWITCH CORPORATION	03/24/2004	10/22/2014		2,369.			-2,369.
	14870 TRANSWITCH CORPORATION	04/27/2004	10/22/2014	30.	789,633.			-789,603.
	88400 VANDA PHARMACEUTI CALS INC.	10/08/2008	11/12/2013	1,102,197.	81,231.			1,020,966.
	46800 VANDA PHARMACEUTI CALS INC.	10/07/2008	11/12/2013	583,516.	43,590.			539,926.
	13000 VANDA PHARMACEUTI CALS INC.	10/10/2008	11/12/2013	162,088.	11,467.			150,621.
	51800 VANDA PHARMACEUTI CALS INC.	10/09/2008	11/12/2013	645,858.	47,951.			597,907.
	22500 VANDA PHARMACEUTI CALS INC.	10/10/2008	11/13/2013	314,582.	19,847.			294,735.
	20000 VANDA PHARMACEUTI CALS INC.	10/10/2008	01/15/2014	265,007.	17,642.			247,365.
	10800 VANDA PHARMACEUTI CALS INC.	10/10/2008	03/14/2014	192,450.	9,527.			182,923.
	3200 VANDA PHARMACEUTIC ALS INC.	10/10/2008	03/17/2014	57,477.	2,823.			54,654.
<b>2 Totals.</b> Add the amounts in columns (d), (e), (g), and (h) (subtract negative amounts). Enter each total here and include on your Schedule D, line 8b (if Box D above is checked), line 9 (if Box E above is checked), or line 10 (if Box F above is checked).								

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

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

Social security number or taxpayer identification number

PEIERLS FOUNDATION

13-6082503

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

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

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

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

☐ (D) Long-term transactions reported on Form(s) 1099-B showing basis was reported to the IRS (see **Note** above)

☒ (E) Long-term transactions reported on Form(s) 1099-B showing basis was **not** reported to the IRS

☐ (F) Long-term transactions not reported to you on Form 1099-B

1	(a) Description of property (Example: 100 sh. XYZ Co.)	(b) Date acquired (Mo., day, yr.)	(c) Date sold or disposed (Mo., day, yr.)	(d) Proceeds (sales price) (see instructions)	(e) Cost or other basis. See the <b>Note</b> below and see <i>Column (e)</i> in the separate instructions.	Adjustment, if any, to gain or loss. If you enter an amount in column (g), enter a code in column (f). See the separate instructions.		(h) Gain or (loss). Subtract column (e) from column (d) and combine the result with column (g).
						(f) Code(s) from instructions	(g) Amount of adjustment	
	13400 VANDA PHARMACEUTICALS INC.	10/10/2008	03/18/2014	249,375.	11,820.			237,555.
<b>2 Totals.</b> Add the amounts in columns (d), (e), (g), and (h) (subtract negative amounts). Enter each total here and include on your Schedule D, line 8b (if <b>Box D</b> above is checked), line 9 (if <b>Box E</b> above is checked), or line 10 (if <b>Box F</b> above is checked) ▶								

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

**Application for Extension of Time To File an  
Exempt Organization Return**

OMB No 1545-1709

► **File a separate application for each return.**  
► **Information about Form 8868 and its instructions is at [www.irs.gov/form8868](http://www.irs.gov/form8868).**

- If you are filing for an **Automatic 3-Month Extension**, complete only **Part I** and check this box ☒ **X**
- If you are filing for an **Additional (Not Automatic) 3-Month Extension**, complete only **Part II** (on page 2 of this form)

**Do not complete Part II unless** you have already been granted an automatic 3-month extension on a previously filed Form 8868

**Electronic filing (e-file).** You can electronically file Form 8868 if you need a 3-month automatic extension of time to file (6 months for a corporation required to file Form 990-T), or an additional (not automatic) 3-month extension of time. You can electronically file Form 8868 to request an extension of time to file any of the forms listed in Part I or Part II with the exception of Form 8870, Information Return for Transfers Associated With Certain Personal Benefit Contracts, which must be sent to the IRS in paper format (see instructions). For more details on the electronic filing of this form, visit [www.irs.gov/efile](http://www.irs.gov/efile) and click on *e-file for Charities & Nonprofits*

**Part I Automatic 3-Month Extension of Time.** Only submit original (no copies needed)

A corporation required to file Form 990-T and requesting an automatic 6-month extension - check this box and complete Part I only ☐

All other corporations (including 1120-C filers), partnerships, REMICs, and trusts must use Form 7004 to request an extension of time to file income tax returns

Enter filer's identifying number, see instructions

**Type or  
print**File by the  
due date for  
filing your  
return. See  
instructions

Name of exempt organization or other filer, see instructions

PEIERLS FOUNDATION

Employer identification number (EIN) or

13-6082503

Number, street, and room or suite no. If a P.O. box, see instructions

73 SOUTH HOLMAN WAY

Social security number (SSN)

City, town or post office, state, and ZIP code. For a foreign address, see instructions

GOLDEN, CO 80401

Enter the Return code for the return that this application is for (file a separate application for each return)  

Application Is For	Return Code	Application Is For	Return Code
Form 990 or Form 990-EZ	01	Form 990-T (corporation)	07
Form 990-BL	02	Form 1041-A	08
Form 4720 (individual)	03	Form 4720 (other than individual)	09
Form 990-PF	04	Form 5227	10
Form 990-T (sec. 401(a) or 408(a) trust)	05	Form 6069	11
Form 990-T (trust other than above)	06	Form 8870	12

BRIAN ELIOT PEIERLS

- The books are in the care of ► 78908 HARVESTMAN COVE, AUSTIN, TX. 78731

Telephone No ► 512 789-7994

FAX No ►

- If the organization does not have an office or place of business in the United States, check this box ☐
- If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) \_\_\_\_\_ If this is for the whole group, check this box ☐ If it is for part of the group, check this box ☐ and attach a list with the names and EINs of all members the extension is for

- 1 I request an automatic 3-month (6 months for a corporation required to file Form 990-T) extension of time until 06/15, 2015, to file the exempt organization return for the organization named above. The extension is for the organization's return for
- ☐ calendar year 20\_\_\_\_ or
- ☒ tax year beginning 11/01, 2013, and ending 10/31, 2014

- 2 If the tax year entered in line 1 is for less than 12 months, check reason ☐ Initial return ☐ Final return ☐ Change in accounting period

3a If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions	3a	\$	0
b If this application is for Form 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit	3b	\$	91,838.
c Balance due. Subtract line 3b from line 3a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions	3c	\$	0

**Caution.** If you are going to make an electronic funds withdrawal (direct debit) with this Form 8868, see Form 8453-EO and Form 8879-EO for payment instructions

For Privacy Act and Paperwork Reduction Act Notice, see instructions.

Form **8868** (Rev. 1-2014)