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Return of Private Foundation

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

OMB No 1545-0052

2013

Open to Public Inspection

Form 990-PF

Department of the Treasury
Internal Revenue Service

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.

For calendar year 2013 or tax year beginning 11/01/13, and ending 10/31/14

Name of foundation THE HARSHAW FAMILY FOUNDATION		A Employer identification number 27-4251521						
Number and street (or P.O. box number if mail is not delivered to street address) 6104 REGAL SPRINGS DR	Room/suite	B Telephone number (see instructions) 502-259-9600						
City or town, state or province, country, and ZIP or foreign postal code LOUISVILLE KY 40205		C If exemption application is pending, check here <input type="checkbox"/>						
G Check all that apply: <table border="0"> <tr> <td><input type="checkbox"/> Initial return</td> <td><input type="checkbox"/> Initial return of a former public charity</td> </tr> <tr> <td><input type="checkbox"/> Final return</td> <td><input type="checkbox"/> Amended return</td> </tr> <tr> <td><input type="checkbox"/> Address change</td> <td><input type="checkbox"/> Name change</td> </tr> </table>		<input type="checkbox"/> Initial return	<input type="checkbox"/> Initial return of a former public charity	<input type="checkbox"/> Final return	<input type="checkbox"/> Amended return	<input type="checkbox"/> Address change	<input type="checkbox"/> Name change	D 1. Foreign organizations, check here <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/>
<input type="checkbox"/> Initial return	<input type="checkbox"/> Initial return of a former public charity							
<input type="checkbox"/> Final return	<input type="checkbox"/> Amended return							
<input type="checkbox"/> Address change	<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		E If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/>						
I Fair market value of all assets at end of year (from Part II, col (c), line 16) \$ 5,458,857	J Accounting method <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify)	F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>						

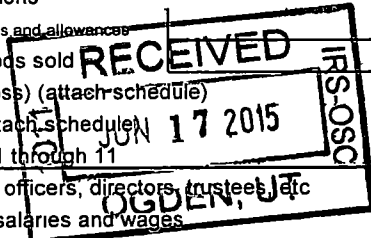
Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions))		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
1	Contributions, gifts, grants, etc., received (attach schedule)	1,529,404			
2	Check <input type="checkbox"/> if the foundation is not required to attach Sch B				
3	Interest on savings and temporary cash investments	15,060	15,060		
4	Dividends and interest from securities	35,022	35,022		
5a	Gross rents				
b	Net rental income or (loss)				
6a	Net gain or (loss) from sale of assets not on line 10 STMT 1	-1,551			
b	Gross sales price for all assets on line 6a 792,582				
7	Capital gain net income (from Part IV, line 2)		0		
8	Net short-term capital gain			0	
9	Income modifications				
10a	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	1,577,935	50,082	0	
13	Compensation of officers, directors, trustees, etc.	0			
14	Other employee salaries and wages				
15	Pension plans, employee benefits				
16a	Legal fees (attach schedule)				
b	Accounting fees (attach schedule) STMT 2	3,720	112		3,608
c	Other professional fees (attach schedule) STMT 3	8,107	8,107		
17	Interest				
18	Taxes (attach schedule) (see instructions) STMT 4	1,017	1,002		15
19	Depreciation (attach schedule) and depletion				
20	Occupancy				
21	Travel, conferences, and meetings				
22	Printing and publications				
23	Other expenses (att. sch) STMT 5	217			217
24	Total operating and administrative expenses. Add lines 13 through 23	13,061	9,221	0	3,840
25	Contributions, gifts, grants paid	300,000			300,000
26	Total expenses and disbursements. Add lines 24 and 25	313,061	9,221	0	303,840
27	Subtract line 26 from line 12:				
a	Excess of revenue over expenses and disbursements	1,264,874			
b	Net investment income (if negative, enter -0-)		40,861		
c	Adjusted net income (if negative, enter -0-)			0	

For Paperwork Reduction Act Notice, see instructions.

DAA

Form 990-PF (2013)

SCANNED JUN 19 2015 Revenue Operating and Administrative Expenses



P 13

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	3,125,804	3,585,908	3,585,908
	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 (att. schedule) ▶ Less: allowance for doubtful accounts ▶	0		
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10a Investments – U.S. and state government obligations (attach schedule)			
	b Investments – corporate stock (attach schedule) SEE STMT 6	1,000,630	1,872,949	1,872,949
	c Investments – corporate bonds (attach schedule)			
	11 Investments – land, buildings, and equipment basis ▶ Less: accumulated depreciation (attach sch.) ▶			
	12 Investments – mortgage loans			
	13 Investments – other (attach schedule)			
	14 Land, buildings, and equipment basis ▶ Less: accumulated depreciation (attach sch.) ▶			
15 Other assets (describe ▶)				
16 Total assets (to be completed by all filers – see the instructions. Also, see page 1, item I)	4,126,434	5,458,857	5,458,857	
Liabilities	17 Accounts payable and accrued expenses			
	18 Grants payable			
	19 Deferred revenue			
	20 Loans from officers, directors, trustees, and other disqualified persons			
	21 Mortgages and other notes payable (attach schedule)			
	22 Other liabilities (describe ▶ SEE STATEMENT 7)	747	68,296	
23 Total liabilities (add lines 17 through 22)	747	68,296		
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here and complete lines 24 through 26 and lines 30 and 31. ▶ <input type="checkbox"/>			
	24 Unrestricted			
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here and complete lines 27 through 31. ▶ <input checked="" type="checkbox"/>			
	27 Capital stock, trust principal, or current funds	4,125,687	5,390,561	
	28 Paid-in or capital surplus, or land, bldg, and equipment fund			
	29 Retained earnings, accumulated income, endowment, or other funds			
30 Total net assets or fund balances (see instructions)	4,125,687	5,390,561		
31 Total liabilities and net assets/fund balances (see instructions)	4,126,434	5,458,857		

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	4,125,687
2 Enter amount from Part I, line 27a	2	1,264,874
3 Other increases not included in line 2 (itemize) ▶	3	
4 Add lines 1, 2, and 3	4	5,390,561
5 Decreases not included in line 2 (itemize) ▶	5	
6 Total net assets or fund balances at end of year (line 4 minus line 5) – Part II, column (b), line 30	6	5,390,561

Part IV Capital Gains and Losses for Tax on Investment Income

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

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69

(i) FMV as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
a			
b			
c			
d			
e			

2 Capital gain net income or (net capital loss)	<div style="border: 1px solid black; padding: 2px;"> If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 </div>	2	-1,962
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6). If gain, also enter in Part I, line 8, column (c) (see instructions). If (loss), enter -0- in Part I, line 8		3	-9,849

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	372,252	4,678,757	0.079562
2011	14,011	2,823,855	0.004962
2010	86,015	1,674,396	0.051371
2009			
2008			

2 Total of line 1, column (d)	2	0.135895
3 Average distribution ratio for the 5-year base period – divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years	3	0.045298
4 Enter the net value of noncharitable-use assets for 2013 from Part X, line 5	4	5,552,690
5 Multiply line 4 by line 3	5	251,526
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	409
7 Add lines 5 and 6	7	251,935
8 Enter qualifying distributions from Part XII, line 4	8	303,840

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

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

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	409
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	0
3 Add lines 1 and 2		3	409
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	409
6 Credits/Payments:			
a 2013 estimated tax payments and 2012 overpayment credited to 2013	6a	793	
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	793	
8 Enter any penalty for underpayment of estimated tax. Check here <input type="checkbox"/> if Form 2220 is attached	8		
9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9		
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	384	
11 Enter the amount of line 10 to be Credited to 2014 estimated tax 384 Refunded	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 \$ (2) On foundation managers \$		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers \$		
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?		
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) ▶ KY		
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	

N/A

STMT 8

Part VII-A Statements Regarding Activities (continued)

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)	11		X
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► N/A	13	X	
14	The books are in care of ► THE FOUNDATION 6104 REGAL SPRINGS DR Located at ► LOUISVILLE	Telephone no ► 502-259-9600 ZIP+4 ► 40205		
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 – Check here and enter the amount of tax-exempt interest received or accrued during the year	15		
16	At any time during calendar year 2013, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? See the instructions for exceptions and filing requirements for Form TD F 90-22.1 If "Yes," enter the name of the foreign country ►	16	Yes	No 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)? Organizations relying on a current notice regarding disaster assistance check here	N/A	1b
c Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2013?		1c X
2 Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)):		
a At the end of tax year 2013, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2013? If "Yes," list the years ► 20 , 20 , 20	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
b Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement – see instructions)	N/A	2b
c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. ► 20 , 20 , 20		
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
b If "Yes," did it have excess business holdings in 2013 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969, (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2013.)	N/A	3b
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

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

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

(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? ☐ Yes ☒ No

(2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive? ☐ Yes ☒ No

(3) Provide a grant to an individual for travel, study, or other similar purposes? ☐ Yes ☒ No

(4) Provide a grant to an organization other than a charitable, etc., organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? (see instructions) ☐ Yes ☒ No

(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? ☐ Yes ☒ No

b If any answer is "Yes" to 5a(1)–(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)? **N/A** ☐ **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? **N/A** ☐ 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 ☒ No

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? **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 ☒ No

b If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction? **N/A** **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
W. FRANK HARSHAW 6104 REGAL SPRINGS DR LOUISVILLE KY 40205	PRESIDENT 0.00	0	0	0
VIRGINIA K. HARSHAW 28427 DEL LAGO WAY BONITA SPRINGS FL 34135	SECRETARY/TR 0.00	0	0	0
THOMAS J. BECK 3042 BRECKENRIDGE LN LOUISVILLE KY 40220	DIRECTOR 0.00	0	0	0

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

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

Total number of other employees paid over \$50,000

0

Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors (continued)**3 Five highest-paid independent contractors for professional services (see instructions). If none, enter "NONE."**

(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
NONE		

Total number of others receiving over \$50,000 for professional services ▶**Part IX-A Summary of Direct Charitable Activities**

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

	Expenses
1 N/A	
2	
3	
4	

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

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2

	Amount
1 N/A	
2	
All other program-related investments See instructions	
3	

Total. Add lines 1 through 3 ▶

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes		
a	Average monthly fair market value of securities	1a	1,842,316
b	Average of monthly cash balances	1b	3,794,933
c	Fair market value of all other assets (see instructions)	1c	0
d	Total (add lines 1a, b, and c)	1d	5,637,249
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	0
2	Acquisition indebtedness applicable to line 1 assets	2	0
3	Subtract line 2 from line 1d	3	5,637,249
4	Cash deemed held for charitable activities. Enter 1½% of line 3 (for greater amount, see instructions)	4	84,559
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	5,552,690
6	Minimum investment return. Enter 5% of line 5	6	277,635

Part XI Distributable Amount (see instructions) (Section 4942(j)(3) and (j)(5) private operating foundations and certain foreign organizations check here ☐ and do not complete this part.)

1	Minimum investment return from Part X, line 6	1	277,635
2a	Tax on investment income for 2013 from Part VI, line 5	2a	409
b	Income tax for 2013. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	409
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	277,226
4	Recoveries of amounts treated as qualifying distributions	4	
5	Add lines 3 and 4	5	277,226
6	Deduction from distributable amount (see instructions)	6	
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	277,226

Part XII Qualifying Distributions (see instructions)

1	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes.		
a	Expenses, contributions, gifts, etc. – total from Part I, column (d), line 26	1a	303,840
b	Program-related investments – total from Part IX-B	1b	
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	303,840
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b (see instructions)	5	409
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	303,431

Note. The amount on line 6 will be used in Part V, column (b), in subsequent years when calculating whether the foundation qualifies for the section 4940(e) reduction of tax in those years.

Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2012	(c) 2012	(d) 2013
1 Distributable amount for 2013 from Part XI, line 7				277,226
2 Undistributed income, if any, as of the end of 2013:				
a Enter amount for 2012 only				
b Total for prior years. 20____, 20____, 20____				
3 Excess distributions carryover, if any, to 2013:				
a From 2008				
b From 2009				
c From 2010				
d From 2011				
e From 2012				23,159
f Total of lines 3a through e	23,159			
4 Qualifying distributions for 2013 from Part XII, line 4 ▶ \$ 303,840				
a Applied to 2012, but not more than line 2a				
b Applied to undistributed income of prior years (Election required – see instructions)				
c Treated as distributions out of corpus (Election required – see instructions)				
d Applied to 2013 distributable amount				277,226
e Remaining amount distributed out of corpus	26,614			
5 Excess distributions carryover applied to 2013 (If an amount appears in column (d), the same amount must be shown in column (a))				
6 Enter the net total of each column as indicated below:				
a Corpus. Add lines 3f, 4c, and 4e. Subtract line 5	49,773			
b Prior years' undistributed income. Subtract line 4b from line 2b				
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed				
d Subtract line 6c from line 6b. Taxable amount – see instructions				
e Undistributed income for 2012. Subtract line 4a from line 2a. Taxable amount – see instructions				
f Undistributed income for 2013. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2014				0
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions)				
8 Excess distributions carryover from 2008 not applied on line 5 or line 7 (see instructions)				
9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a	49,773			
10 Analysis of line 9:				
a Excess from 2009				
b Excess from 2010				
c Excess from 2011				
d Excess from 2012				23,159
e Excess from 2013				26,614

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

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

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

	Tax year	Prior 3 years			(e) Total
	(a) 2013	(b) 2012	(c) 2011	(d) 2010	
2a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed					
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).)

W. FRANK HARSHAW **\$1,529,404**

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

N/A

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

N/A

c Any submission deadlines

N/A

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

N/A

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a Paid during the year METRO UNITED WAY DEPT 52860 LOUISVILLE KY 40295-0148		CHARITY	DONATIONS	300,000
Total			▶ 3a	300,000
b Approved for future payment N/A				
Total			▶ 3b	

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, 990-PF) and its instructions is at www.irs.gov/form990.

Name of the organization

Employer identification number

THE HARSHAW FAMILY FOUNDATION

27-4251521

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 $\frac{1}{3}$ % 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

THE HARSHAW FAMILY FOUNDATION

Employer identification number

27-4251521**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	FRANK HARSHAW 6104 REGAL SPRINGS DRIVE LOUISVILLE KY 40205	\$ 750,000	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
2	FRANK HARSHAW 6104 REGAL SPRINGS DRIVE LOUISVILLE KY 40205	\$ 779,404	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input checked="" type="checkbox"/> (Complete Part II for noncash contributions.)
(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)

Name of organization

THE HARSHAW FAMILY FOUNDATION

Employer identification number

27-4251521

Part II Noncash Property (see instructions). Use duplicate copies of Part II if additional space is needed.

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
2	STOCK	\$ 779,404	11/18/13
(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
		\$	
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		\$	

Capital Gains and Losses for Tax on Investment Income

Form **990-PF****2013**For calendar year 2013, or tax year beginning **11/01/13**, and ending **10/31/14**

Name

Employer Identification Number

THE HARSHAW FAMILY FOUNDATION**27-4251521**

(a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co

(b) How acquired
P-Purchase
D-Donation(c) Date acquired
(mo, day, yr)(d) Date sold
(mo, day, yr)

(1)	INVESTMENT CENTERS OF AMERICA	P	VARIOUS	VARIOUS
(2)	CURIAN CLEARING LLC	P	VARIOUS	VARIOUS
(3)	CURIAN CLEARING LLC			
(4)	INVESTMENT CENTERS OF AMERICA			
(5)	CORPORATE CAPITAL TRUST			
(6)	CNL HEALTHCARE PROPERTIES			
(7)				
(8)				
(9)				
(10)				
(11)				
(12)				
(13)				
(14)				
(15)				

(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)
(1) 350,572		355,174	-4,602
(2) 433,712		438,959	-5,247
(3) 371			371
(4) 5,896			5,896
(5) 228			228
(6) 1,392			1,392
(7)			
(8)			
(9)			
(10)			
(11)			
(12)			
(13)			
(14)			
(15)			

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69

(i) F M V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	(l) Gains (Col (h) gain minus col (k), but not less than -0-) OR Losses (from col (h))
(1)			-4,602
(2)			-5,247
(3)			371
(4)			5,896
(5)			228
(6)			1,392
(7)			
(8)			
(9)			
(10)			
(11)			
(12)			
(13)			
(14)			
(15)			

THE HARSHAN FAMILY FOUNDATION INC.
ATTACHMENT TO NET GAIN OR LOSS FROM SALE OF ASSETS
INVESTMENT CENTERS OF AMERICA (FORMERLY SEI INVESTMENTS)
FYE 10/31/2014

EIN 27-4251521

Date	DESCRIPTION	Symbol	Number OF SHARES	Basis (cost)	Sale Proceeds	Realized Gain (Loss)
12/30/2013	MULTI ASSET ACCUM FUND	SAAAX	(3,432.060000)	(36,064.30)	34,732.45	(1,331.85)
1/7/2014	MULTI ASSET ACCUM FUND	SAAAX	(1.458000)	(14.76)	14.65	(0.11)
12/30/2013	MULTI-ASSET CAP STAB FUND	SCLAX	(3,491.013000)	(35,083.93)	34,770.50	(313.43)
12/30/2013	ENHANCED INCOME FUND	SEEAX	(1,854.683000)	(14,149.75)	14,077.05	(72.70)
1/7/2014	ENHANCED INCOME FUND	SEEAX	(8.211000)	(62.32)	62.32	-
12/30/2013	HIGH YIELD BOND FUND	SHYAX	(3,697.423000)	(28,937.38)	28,655.03	(282.35)
12/30/2013	MULTI-ASSET INFL FUND	SIFAX	(3,645.833000)	(35,000.00)	34,343.74	(656.26)
12/30/2013	EMERGING MKTS DEBT FUND	SITEX	(1,293.108000)	(14,317.19)	12,969.87	(1,347.32)
1/7/2014	EMERGING MKTS DEBT FUND	SITEX	(12.391000)	(124.53)	123.79	(0.74)
10/07/14	LARGE CAP FUND	SLGAX	(522.885000)	(6,912.54)	7,890.34	977.80
12/30/2013	MULTI-STRATEGY ALT FUND	SMSAX	(2,874.742000)	(28,000.00)	28,632.42	632.42
1/7/2014	MULTI-STRATEGY ALT FUND	SMSAX	(22.282000)	(221.93)	221.93	-
12/30/2013	REAL RETURN FUND	SRAAX	(1,370.160000)	(14,057.17)	13,852.32	(204.85)
12/30/2013	U S FIXED INCOME FUND	SUFAX	(2,735.408000)	(28,278.73)	27,545.55	(733.18)
12/30/2013	U S. MANAGED VOLATILITY FUND	SVOAX	(2,190.379000)	(34,242.11)	35,243.20	1,001.09
1/7/2014	U S. MANAGED VOLATILITY FUND	SVOAX	(7.160000)	(115.21)	114.13	(1.08)
12/30/2013	GLOBAL MANAGED VOL FUND	SVTAX	(5,015.376000)	(55,036.07)	52,811.91	(2,224.16)
1/7/2014	GLOBAL MANAGED VOL FUND	SVTAX	(238.195000)	(2,508.19)	2,496.28	(11.91)
12/30/2013	SHORT-DURATION GOVT FUND	TCSGX	(1,670.086000)	(17,585.81)	17,552.61	(33.20)
12/30/2013	PRIME OBLIGATION FUND	TPRXX	(1,728.140000)	(1,728.14)	1,728.14	-
1/8/2014	PRIME OBLIGATION FUND	TPRXX	(673.200000)	(673.20)	673.20	
4/9/2014	PRIME OBLIGATION FUND	TPRXX	(678.400000)	(678.40)	678.40	
6/9/2014	PRIME OBLIGATION FUND	TPRXX	(476.380000)	(476.38)	476.38	
7/9/2014	PRIME OBLIGATION FUND	TPRXX	(217.540000)	(217.54)	217.54	
10/8/2014	PRIME OBLIGATION FUND	TPRXX	(688.600000)	(688.60)	688.60	
				(355,174.18)	350,572.35	(4,601.83)

THE HARSHAW FAMILY FOUNDATION INC.

EIN 27-4251521

ATTACHMENT TO NET GAIN OR LOSS-FROM SALE OF ASSETS - CURIAN CLEARING LLC

FYE 10/31/2014

Date	DESCRIPTION	Symbol	Number OF SHARES	Basis (cost)	Sale Proceeds	Realized (Gain) Loss 10/31/2014
2/10/2014	BROWN CAP MGMT SMALL CO FUND INV CL	BCSIX	(0 082000)	(6 13)	5 83	(0 30)
3/7/2014	BROWN CAP MGMT SMALL CO FUND INV CL	BCSIX	(0 187000)	(13 99)	14 11	0 12
4/7/2014	BROWN CAP MGMT SMALL CO FUND INV CL	BCSIX	(0 196000)	(14 66)	13 74	(0 92)
5/7/2014	BROWN CAP MGMT SMALL CO FUND INV CL	BCSIX	(0 194000)	(14 51)	12 93	(1 58)
5/19/2014	BROWN CAP MGMT SMALL CO FUND INV CL	BCSIX	(55 276000)	(4,134 09)	3,691 33	(442 76)
6/6/2014	BROWN CAP MGMT SMALL CO FUND INV CL	BCSIX	(0 119000)	(8 90)	8 32	(0 58)
7/7/2014	BROWN CAP MGMT SMALL CO FUND INV CL	BCSIX	(0 124000)	(9 27)	9 04	(0 23)
8/11/2014	BROWN CAP MGMT SMALL CO FUND INV CL	BCSIX	(0 125000)	(9 35)	8 92	(0 43)
10/9/2014	BROWN CAP MGMT SMALL CO FUND INV CL	BCSIX	(0 162000)	(12 12)	10 99	(1 13)
2/10/2014	BUFFALO EMERGING OPPORTUNITIES FD	BUFOX	(0 339000)	(6 83)	6 58	(0 25)
3/7/2014	BUFFALO EMERGING OPPORTUNITIES FD	BUFOX	(0 771000)	(15 53)	15 93	0 40
4/7/2014	BUFFALO EMERGING OPPORTUNITIES FD	BUFOX	(0 818000)	(16 47)	14 80	(1 67)
5/7/2014	BUFFALO EMERGING OPPORTUNITIES FD	BUFOX	(0 813000)	(16 37)	13 37	(3 00)
5/19/2014	BUFFALO EMERGING OPPORTUNITIES FD	BUFOX	(245 705000)	(4,948 50)	4,039 39	(909 11)
6/6/2014	BUFFALO EMERGING OPPORTUNITIES FD	BUFOX	(0 482000)	(9 71)	8 35	(1 36)
7/7/2014	BUFFALO EMERGING OPPORTUNITIES FD	BUFOX	(0 504000)	(10 15)	9 27	(0 88)
8/11/2014	BUFFALO EMERGING OPPORTUNITIES FD	BUFOX	(0 504000)	(10 15)	8 87	(1 28)
10/9/2014	BUFFALO EMERGING OPPORTUNITIES FD	BUFOX	(0 657000)	(13 23)	10 60	(2 63)
2/10/2014	DELAWARE SMALL CAP VALUE FUND CL A	DEVLX	(0 103000)	(5 38)	5 19	(0 19)
3/7/2014	DELAWARE SMALL CAP VALUE FUND CL A	DEVLX	(0 233000)	(12 16)	12 61	0 45
4/7/2014	DELAWARE SMALL CAP VALUE FUND CL A	DEVLX	(0 246000)	(12 84)	13 04	0 20
5/7/2014	DELAWARE SMALL CAP VALUE FUND CL A	DEVLX	(0 240000)	(12 53)	12 70	0 17
5/19/2014	DELAWARE SMALL CAP VALUE FUND CL A	DEVLX	(71 042000)	(3,709 10)	3,773 75	64 65
6/6/2014	DELAWARE SMALL CAP VALUE FUND CL A	DEVLX	(0 149000)	(7 78)	8 23	0 45
7/7/2014	DELAWARE SMALL CAP VALUE FUND CL A	DEVLX	(0 152000)	(7 94)	8 51	0 57
8/11/2014	DELAWARE SMALL CAP VALUE FUND CL A	DEVLX	(0 156000)	(8 14)	8 47	0 33
10/9/2014	DELAWARE SMALL CAP VALUE FUND CL A	DEVLX	(0 203000)	(10 60)	10 38	(0 22)
2/10/2014	DELAWARE U S GROWTH FUND CL A	DUGAX	(0 471000)	(11 01)	10 86	(0 15)
3/7/2014	DELAWARE U S GROWTH FUND CL A	DUGAX	(1 076000)	(25 16)	26 09	0 93
4/7/2014	DELAWARE U S GROWTH FUND CL A	DUGAX	(1 132000)	(26 47)	25 82	(0 65)
5/7/2014	DELAWARE U S GROWTH FUND CL A	DUGAX	(1 114000)	(26 05)	25 95	(0 10)
5/19/2014	DELAWARE U S GROWTH FUND CL A	DUGAX	(203 062000)	(4,747 59)	4,773 99	26 40
6/6/2014	DELAWARE U S GROWTH FUND CL A	DUGAX	(0 845000)	(19 76)	20 55	0 79
7/7/2014	DELAWARE U S GROWTH FUND CL A	DUGAX	(0 855000)	(19 99)	21 34	1 35
8/11/2014	DELAWARE U S GROWTH FUND CL A	DUGAX	(0 883000)	(20 64)	21 56	0 92
10/9/2014	DELAWARE U S GROWTH FUND CL A	DUGAX	(1 136000)	(26 56)	27 56	1 00
2/10/2014	EATON VANCE ATLANTA CAPITAL SMID CAP A	EAASX	(0 487000)	(11 15)	10 67	(0 48)
3/7/2014	EATON VANCE ATLANTA CAPITAL SMID CAP A	EAASX	(1 104000)	(25 28)	25 26	(0 02)
4/7/2014	EATON VANCE ATLANTA CAPITAL SMID CAP A	EAASX	(1 168000)	(26 75)	25 78	(0 97)
5/7/2014	EATON VANCE ATLANTA CAPITAL SMID CAP A	EAASX	(1 141000)	(26 13)	25 55	(0 58)
5/19/2014	EATON VANCE ATLANTA CAPITAL SMID CAP A	EAASX	(190 835000)	(4,370 12)	4,263 25	(106 87)
6/6/2014	EATON VANCE ATLANTA CAPITAL SMID CAP A	EAASX	(0 888000)	(20 34)	20 39	0 05
7/7/2014	EATON VANCE ATLANTA CAPITAL SMID CAP A	EAASX	(0 901000)	(20 63)	20 89	0 26
8/11/2014	EATON VANCE ATLANTA CAPITAL SMID CAP A	EAASX	(0 930000)	(21 30)	20 99	(0 31)
10/9/2014	EATON VANCE ATLANTA CAPITAL SMID CAP A	EAASX	(1 198000)	(27 43)	26 20	(1 23)
02/10/14	FED AUTOMATED GOVT MNY TRST INST SVC SHR	AGMXX	(273 460000)	(273 46)	273 46	-
08/18/14	FED AUTOMATED GOVT MNY TRST INST SVC SHR	AGMXX	(9,979 600000)	(9,979 60)	9,979 60	-
1/10/2014	ISHARES BARCLAYS 1-3 YR TREASURY ETF	SHY	(834 044550)	(70,381 45)	70,398 67	17 22
11/13/2013	ISHARES JPMORGAN EMERGING MKT BOND ETF	EMB	(15 804210)	(1,796 75)	1,695 90	(100 85)
1/10/2014	ISHARES JPMORGAN EMERGING MKT BOND ETF	EMB	(114 284760)	(12,738 01)	12,427 62	(310 39)
11/13/2013	ISHARES MSCI ACWI ETF	ACWI	(70 703840)	(3,683 32)	3,927 64	244 32
1/10/2014	ISHARES MSCI ACWI ETF	ACWI	(513 747630)	(27,148 79)	29,284 16	2,135 37
11/13/2013	ISHARES TR	GVI	(30 989220)	(3,401 69)	3,403 24	1 55
1/10/2014	ISHARES TR	GVI	(228 416410)	(25,094 37)	25,071 22	(23 15)
2/10/2014	IVY ASSET STRATEGY FUND CL A	WASAX	(0 813000)	(26 21)	25 46	(0 75)
3/7/2014	IVY ASSET STRATEGY FUND CL A	WASAX	(1 854000)	(59 77)	60 76	0 99
4/7/2014	IVY ASSET STRATEGY FUND CL A	WASAX	(1 950000)	(62 87)	61 00	(1 87)
5/7/2014	IVY ASSET STRATEGY FUND CL A	WASAX	(1 926000)	(62 09)	59 26	(2 83)
6/3/2014	IVY ASSET STRATEGY FUND CL A	WASAX	(819 333000)	(26,415 30)	25,743 44	(671 86)
6/6/2014	IVY ASSET STRATEGY FUND CL A	WASAX	(0 960000)	(30 95)	30 32	(0 63)

THE HARSHAW FAMILY FOUNDATION INC.

EIN 27-4251521

ATTACHMENT TO NET GAIN OR LOSS FROM SALE OF ASSETS - CURIAN CLEARING LLC

FYE 10/31/2014

Date	DESCRIPTION	Symbol	Number OF SHARES	Basis (cost)	Sale Proceeds	Realized (Gain) Loss 10/31/2014
7/7/2014	IVY ASSET STRATEGY FUND CL A	WASAX	(0 968000)	(31 21)	31 14	(0 07)
8/11/2014	IVY ASSET STRATEGY FUND CL A	WASAX	(1 004000)	(32 37)	31 47	(0 90)
10/9/2014	IVY ASSET STRATEGY FUND CL A	WASAX	(1 285000)	(41 43)	38 28	(3 15)
2/10/2014	JP MORGAN MID CAP VALUE FUND CL A	JAMCX	(0 300000)	(10 31)	10 18	(0 13)
3/7/2014	JP MORGAN MID CAP VALUE FUND CL A	JAMCX	(0 682000)	(23 44)	24 31	0 87
4/7/2014	JP MORGAN MID CAP VALUE FUND CL A	JAMCX	(0 721000)	(24 78)	25 29	0 51
5/7/2014	JP MORGAN MID CAP VALUE FUND CL A	JAMCX	(0 703000)	(24 16)	25 10	0 94
5/19/2014	JP MORGAN MID CAP VALUE FUND CL A	JAMCX	(20 547000)	(706 20)	734 35	28 15
6/6/2014	JP MORGAN MID CAP VALUE FUND CL A	JAMCX	(0 666000)	(22 89)	24 53	1 64
7/7/2014	JP MORGAN MID CAP VALUE FUND CL A	JAMCX	(0 674000)	(23 17)	25 17	2 00
8/11/2014	JP MORGAN MID CAP VALUE FUND CL A	JAMCX	(0 697000)	(23 96)	25 31	1 35
10/9/2014	JP MORGAN MID CAP VALUE FUND CL A	JAMCX	(0 898000)	(30 86)	32 09	1 23
2/10/2014	LAZARD INTL STRATEGIC EQUITY OPEN SHARES	LISOX	(1 179000)	(17 07)	16 77	(0 30)
3/7/2014	LAZARD INTL STRATEGIC EQUITY OPEN SHARES	LISOX	(2 701000)	(39 11)	39 79	0 68
4/7/2014	LAZARD INTL STRATEGIC EQUITY OPEN SHARES	LISOX	(2 795000)	(40 47)	41 17	0 70
5/7/2014	LAZARD INTL STRATEGIC EQUITY OPEN SHARES	LISOX	(2 773000)	(40 15)	41 48	1 33
5/19/2014	LAZARD INTL STRATEGIC EQUITY OPEN SHARES	LISOX	(11 872000)	(171 91)	176 66	4 75
6/6/2014	LAZARD INTL STRATEGIC EQUITY OPEN SHARES	LISOX	(2 673000)	(38 71)	41 48	2 77
7/7/2014	LAZARD INTL STRATEGIC EQUITY OPEN SHARES	LISOX	(2 700000)	(39 10)	41 90	2 80
8/11/2014	LAZARD INTL STRATEGIC EQUITY OPEN SHARES	LISOX	(2 800000)	(40 54)	40 85	0 31
10/9/2014	LAZARD INTL STRATEGIC EQUITY OPEN SHARES	LISOX	(3 581000)	(51 85)	50 31	(1 54)
2/10/2014	MFS INTERNATIONAL VALUE FUND CL A	MGIAX	(0 461000)	(15 43)	15 07	(0 36)
3/7/2014	MFS INTERNATIONAL VALUE FUND CL A	MGIAX	(1 054000)	(35 28)	35 95	0 67
4/7/2014	MFS INTERNATIONAL VALUE FUND CL A	MGIAX	(1 090000)	(36 48)	36 77	0 29
5/7/2014	MFS INTERNATIONAL VALUE FUND CL A	MGIAX	(1 080000)	(36 15)	37 45	1 30
6/6/2014	MFS INTERNATIONAL VALUE FUND CL A	MGIAX	(1 132000)	(37 89)	40 17	2 28
7/7/2014	MFS INTERNATIONAL VALUE FUND CL A	MGIAX	(1 143000)	(38 26)	40 89	2 63
8/11/2014	MFS INTERNATIONAL VALUE FUND CL A	MGIAX	(1 173000)	(39 26)	40 45	1 19
10/9/2014	MFS INTERNATIONAL VALUE FUND CL A	MGIAX	(1 517000)	(50 77)	50 02	(0 75)
2/10/2014	OPPENHEIMER DEVELOPING MARKETS FUND CL A	ODMAX	(0 474000)	(17 61)	16 81	(0 80)
3/7/2014	OPPENHEIMER DEVELOPING MARKETS FUND CL A	ODMAX	(1 095000)	(40 69)	40 13	(0 56)
4/7/2014	OPPENHEIMER DEVELOPING MARKETS FUND CL A	ODMAX	(1 124000)	(41 77)	42 06	0 29
5/7/2014	OPPENHEIMER DEVELOPING MARKETS FUND CL A	ODMAX	(1 119000)	(41 58)	42 37	0 79
6/6/2014	OPPENHEIMER DEVELOPING MARKETS FUND CL A	ODMAX	(1 222000)	(45 41)	48 31	2 90
7/7/2014	OPPENHEIMER DEVELOPING MARKETS FUND CL A	ODMAX	(1 233000)	(45 82)	50 16	4 34
8/11/2014	OPPENHEIMER DEVELOPING MARKETS FUND CL A	ODMAX	(1 271000)	(47 23)	51 23	4 00
10/9/2014	OPPENHEIMER DEVELOPING MARKETS FUND CL A	ODMAX	(1 622000)	(60 27)	62 92	2 65
11/13/2013	PIMCO 0-5 YEAR HIGH YIELD CORP BONE ETF	HYS	(16 837770)	(1,731 76)	1,779 76	48 00
1/10/2014	PIMCO 0-5 YEAR HIGH YIELD CORP BONE ETF	HYS	(125 944180)	(13,105 67)	13,428 92	323 25
11/7/2013	PIMCO ENHANCED SHORT MATURITY ETF	MINT	(2 274580)	(230 73)	230 85	0 12
11/14/2013	PIMCO ENHANCED SHORT MATURITY ETF	MINT	(0 118150)	(11 99)	12 00	0 01
12/9/2013	PIMCO ENHANCED SHORT MATURITY ETF	MINT	(2 055040)	(208 46)	208 55	0 09
1/8/2014	PIMCO ENHANCED SHORT MATURITY ETF	MINT	(5 251310)	(532 69)	531 85	(0 84)
1/10/2014	PIMCO ENHANCED SHORT MATURITY ETF	MINT	(908 386720)	(92,202 07)	92,070 65	(131 42)
11/13/2013	POWERSHARES DB COMMODITY INDEX	DBC	(129 228520)	(3,390 31)	3,254 13	(136 18)
1/10/2014	POWERSHARES DB COMMODITY INDEX	DBC	(939 351900)	(24,094 61)	23,242 07	(852 54)
11/13/2013	POWERSHARES DB G10 CURRENCY HA	DBV	(133 803470)	(3,575 90)	3,417 74	(158 16)
1/10/2014	POWERSHARES DB G10 CURRENCY HA	DBV	(982 032610)	(26,329 49)	24,968 95	(1,360 54)
11/13/2013	SPDR BARCLAYS HIGH YIELD BOND ETF	JNK	(44 271310)	(1,781 28)	1,778 58	(2 70)
1/10/2014	SPDR BARCLAYS HIGH YIELD BOND ETF	JNK	(330 160720)	(13,293 97)	13,457 88	163 91
2/10/2014	T ROWE PRICE VAL ADV	PAVLX	(0 264000)	(8 86)	8 69	(0 17)
3/7/2014	T ROWE PRICE VAL ADV	PAVLX	(0 601000)	(20 16)	20 69	0 53
4/7/2014	T ROWE PRICE VAL ADV	PAVLX	(0 635000)	(21 30)	21 63	0 33
5/7/2014	T ROWE PRICE VAL ADV	PAVLX	(0 617000)	(20 70)	21 49	0 79
6/6/2014	T ROWE PRICE VAL ADV	PAVLX	(1 254000)	(42 07)	45 48	3 41

THE HARSHAW FAMILY FOUNDATION INC.

EIN 27-4251521

ATTACHMENT TO NET GAIN OR LOSS FROM SALE OF ASSETS - CURIAN CLEARING LLC

FYE 10/31/2014

Date	DESCRIPTION	Symbol	Number OF SHARES	Basis (cost)	Sale Proceeds	Realized (Gain) Loss 10/31/2014
7/7/2014	T ROWE PRICE VAL ADV	PAVLX	(1 272000)	(42 68)	46 38	3 70
8/11/2014	T ROWE PRICE VAL ADV	PAVLX	(1 313000)	(44 05)	46 60	2 55
10/9/2014	T ROWE PRICE VAL ADV	PAVLX	(1 696000)	(56 90)	59 00	2 10
2/10/2014	TOUCHTONE SANDS CAP SELECT GR FD CL Z	PTSGX	(0 657000)	(11 50)	11 62	0 12
3/7/2014	TOUCHTONE SANDS CAP SELECT GR FD CL Z	PTSGX	(1 513000)	(26 49)	28 17	1 68
4/7/2014	TOUCHTONE SANDS CAP SELECT GR FD CL Z	PTSGX	(1 583000)	(27 72)	26 64	(1 08)
5/7/2014	TOUCHTONE SANDS CAP SELECT GR FD CL Z	PTSGX	(1 572000)	(27 53)	25 51	(2 02)
5/19/2014	TOUCHTONE SANDS CAP SELECT GR FD CL Z	PTSGX	(246 092000)	(4,309 07)	4,043 29	(265 78)
6/6/2014	TOUCHTONE SANDS CAP SELECT GR FD CL Z	PTSGX	(1 213000)	(21 24)	20 95	(0 29)
7/7/2014	TOUCHTONE SANDS CAP SELECT GR FD CL Z	PTSGX	(1 234000)	(21 61)	22 03	0 42
8/11/2014	TOUCHTONE SANDS CAP SELECT GR FD CL Z	PTSGX	(1 264000)	(22 13)	22 75	0 62
10/9/2014	TOUCHTONE SANDS CAP SELECT GR FD CL Z	PTSGX	(1 634000)	(28 61)	28 84	0 23
11/13/2013	VANGUARD REIT ETF	VNQ	(51 514220)	(3,655 50)	3,401 00	(254 50)
1/10/2014	VANGUARD REIT ETF	VNQ	(385 296180)	(26,919 49)	25,399 10	(1,520 39)
2/10/2014	WASATCH INTERNATIONAL GROWTH FD INV	WAIGX	(0 345000)	(10 05)	9 69	(0 36)
3/7/2014	WASATCH INTERNATIONAL GROWTH FD INV	WAIGX	(0 792000)	(23 06)	23 09	0 03
4/7/2014	WASATCH INTERNATIONAL GROWTH FD INV	WAIGX	(0 829000)	(24 14)	23 31	(0 83)
5/7/2014	WASATCH INTERNATIONAL GROWTH FD INV	WAIGX	(0 823000)	(23 97)	23 18	(0 79)
5/19/2014	WASATCH INTERNATIONAL GROWTH FD INV	WAIGX	(76 761000)	(2,235 28)	2,127 81	(107 47)
6/6/2014	WASATCH INTERNATIONAL GROWTH FD INV	WAIGX	(0 700000)	(20 38)	20 22	(0 16)
7/7/2014	WASATCH INTERNATIONAL GROWTH FD INV	WAIGX	(0 708000)	(20 62)	20 53	(0 09)
8/11/2014	WASATCH INTERNATIONAL GROWTH FD INV	WAIGX	(0 728000)	(21 20)	20 62	(0 58)
10/9/2014	WASATCH INTERNATIONAL GROWTH FD INV	WAIGX	(0 938000)	(27 31)	24 47	(2 84)
6/6/2014	WELLS FARGO ADVT ABSOLUTE RETURN ADMIN	WARDX	(2 604000)	(30 05)	30 28	0 23
7/7/2014	WELLS FARGO ADVT ABSOLUTE RETURN ADMIN	WARDX	(2 627000)	(30 32)	30 60	0 28
8/11/2014	WELLS FARGO ADVT ABSOLUTE RETURN ADMIN	WARDX	(2 725000)	(31 45)	31 12	(0 33)
10/9/2014	WELLS FARGO ADVT ABSOLUTE RETURN ADMIN	WARDX	(3 454000)	(39 86)	38 68	(1 18)
11/13/2013	WISDOMTREE EM LOCAL DEBT ETF	ELD	(33 800550)	(1,690 32)	1,568 37	(121 95)
1/10/2014	WISDOMTREE EM LOCAL DEBT ETF	ELD	(264 142540)	(12,917 67)	12,062 35	(855 32)
2/10/2014	YACKTMAN FOCUSED FUND	YAFFX	(0 465000)	(11 58)	11 38	(0 20)
3/7/2014	YACKTMAN FOCUSED FUND	YAFFX	(1 064000)	(26 49)	26 61	0 12
4/7/2014	YACKTMAN FOCUSED FUND	YAFFX	(1 107000)	(27 56)	27 90	0 34
5/7/2014	YACKTMAN FOCUSED FUND	YAFFX	(1 095000)	(27 27)	28 01	0 74
6/6/2014	YACKTMAN FOCUSED FUND	YAFFX	(1 070000)	(26 64)	28 23	1 59
7/7/2014	YACKTMAN FOCUSED FUND	YAFFX	(1 077000)	(26 82)	28 61	1 79
8/11/2014	YACKTMAN FOCUSED FUND	YAFFX	(1 114000)	(27 74)	29 25	1 51
10/9/2014	YACKTMAN FOCUSED FUND	YAFFX	(1 427000)	(35 53)	37 37	1 84
				(438,958.86)	433,711.56	(5,247.30)

Federal Statements**Statement 1 - Form 990-PF, Part I, Line 6a - Sale of Assets**

Description	Whom Sold	Date Acquired	Date Sold	How Received		Cost	Expense	Depreciation	Net Gain / Loss
				Sale Price					
FORM 6252, SHORT-TERM GAIN/LOSS				\$ 182		\$		\$	182
SHORT-TERM GAIN/LOSS FROM PASS-THROUGH ENTITY				-5					-5
FORM 6252, LONG-TERM GAIN/LOSS				273					273
LONG-TERM GAIN/LOSS FROM PASS-THROUGH ENTITY				-39					-39
TOTAL				\$ 411		\$ 0	\$ 0	\$ 0	\$ 411

Statement 2 - Form 990-PF, Part I, Line 16b - Accounting Fees

Description	Total	Net Investment	Adjusted Net	Charitable Purpose
ACCOUNTANT	\$ 3,720	112		\$ 3,608
TOTAL	\$ 3,720	112	0	\$ 3,608

Statement 3 - Form 990-PF, Part I, Line 16c - Other Professional Fees

Description	Total	Net Investment	Adjusted Net	Charitable Purpose
INVESTMENT FEES	\$ 8,107	8,107		\$
TOTAL	\$ 8,107	8,107	0	\$ 0

Federal Statements**Statement 4 - Form 990-PF, Part I, Line 18 - Taxes**

Description	Total	Net Investment	Adjusted Net	Charitable Purpose
TAXES & LICENSE	\$ 15		\$	15
EXCISE TAX BASED ON INVESTMENT I	1,002	1,002		
TOTAL	\$ 1,017	\$ 1,002	\$ 0	\$ 15

Statement 5 - Form 990-PF, Part I, Line 23 - Other Expenses

Description	Total	Net Investment	Adjusted Net	Charitable Purpose
EXPENSES			\$	
ADVERTISING AND PROMOTION	209			209
POSTAGE AND DELIVERY	8			8
TOTAL	\$ 217	\$ 0	\$ 0	\$ 217

Statement 6 - Form 990-PF, Part II, Line 10b - Corporate Stock Investments

Description	Beginning of Year	End of Year	Basis of Valuation	Fair Market Value
CNL CORPORATE CAPITAL TRUST	\$ 102,874	\$ 110,836		\$ 110,836
CNL HEALTHCARE TRUST	201,780	205,162		205,162
CURIAN CLEARING	289,103	346,648		346,648
POWERSHARES DB G10	28,750			
POWERSHARES DB COMMODITY INDEX	27,500	372,357		372,357
SEI PRIVATE TRUST	350,623	837,946		837,946
HILLIARD LYONS				
TOTAL	\$ 1,000,630	\$ 1,872,949		\$ 1,872,949

Statement 7 - Form 990-PF, Part II, Line 22 - Other Liabilities

<u>Description</u>	<u>Beginning of Year</u>	<u>End of Year</u>
UNREALIZED GAIN/LOSS	\$ <u>747</u>	\$ <u>68,296</u>
TOTAL	\$ <u><u>747</u></u>	\$ <u><u>68,296</u></u>

Federal Statements

Statement 8 - Form 990-PF, Part VII-A, Line 10 - Substantial Contributors

<u>Name</u>	<u>Address</u>	<u>City, State, Zip</u>
WILLIAM F, HARSHAW	6104 REGAL SPRINGS DRIVE	LOUISVILLE KY 40205

1060015 THE HARSHAW FAMILY FOUNDATION

27-4251521

Federal Statements

FYE: 10/31/2014

Form 990-PF, Part XV, Line 1a - Managers Who Contributed Over 2% or \$5,000

<u>Name of Manager</u>	<u>Amount</u>
W. FRANK HARSHAW	\$ 1,529,404
TOTAL	<u>\$ 1,529,404</u>

**SCHEDULE D
(Form 1120)**Department of the Treasury
Internal Revenue Service**Capital Gains and Losses**▶ Attach to Form 1120, 1120-C, 1120-F, 1120-FSC, 1120-H, 1120-IC-DISC, 1120-L, 1120-ND, 1120-PC,
1120-POL, 1120-REIT, 1120-RIC, 1120-SF, or certain Forms 990-T.▶ Information about Schedule D (Form 1120) and its separate instructions is at www.irs.gov/form1120.

OMB No 1545-0123

2013

Name

Employer identification number

THE HARSHAW FAMILY FOUNDATION**27-4251521****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)
1a 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				
1b Totals for all transactions reported on Form(s) 8949 with Box A checked				
2 Totals for all transactions reported on Form(s) 8949 with Box B checked				
3 Totals for all transactions reported on Form(s) 8949 with Box C checked				
4 Short-term capital gain from installment sales from Form 6252, line 26 or 37			4	182
5 Short-term capital gain or (loss) from like-kind exchanges from Form 8824			5	
6 Unused capital loss carryover (attach computation)			6	
7 Net short-term capital gain or (loss) Combine lines 1a through 6 in column h			7	182

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)
8a 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				
8b Totals for all transactions reported on Form(s) 8949 with Box D checked				
9 Totals for all transactions reported on Form(s) 8949 with Box E checked				
10 Totals for all transactions reported on Form(s) 8949 with Box F checked				
11 Enter gain from Form 4797, line 7 or 9			11	
12 Long-term capital gain from installment sales from Form 6252, line 26 or 37			12	273
13 Long-term capital gain or (loss) from like-kind exchanges from Form 8824			13	
14 Capital gain distributions (see instructions)			14	
15 Net long-term capital gain or (loss) Combine lines 8a through 14 in column h			15	273

Part III Summary of Parts I and II

16 Enter excess of net short-term capital gain (line 7) over net long-term capital loss (line 15)	16	182
17 Net capital gain Enter excess of net long-term capital gain (line 15) over net short-term capital loss (line 7)	17	273
18 Add lines 16 and 17 Enter here and on Form 1120, page 1, line 8, or the proper line on other returns	18	455

Note. If losses exceed gains, see Capital losses in the instructions.

For Paperwork Reduction Act Notice, see the Instructions for Form 1120.
DAA

Schedule D (Form 1120) (2013)

Form **8868**

(Rev. January 2014)

Department of the Treasury
Internal Revenue Service**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.**

- If you are filing for an **Automatic 3-Month Extension**, complete only **Part I** and check this box ☒
- 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 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	Name of exempt organization or other filer, see instructions.	Employer identification number (EIN) or
	THE HARSHAW FAMILY FOUNDATION	27-4251521
File by the due date for filing your return. See instructions	Number, street, and room or suite no. If a P.O. box, see instructions.	Social security number (SSN)
	6104 REGAL SPRINGS DR	
	City, town or post office, state, and ZIP code. For a foreign address, see instructions.	
	LOUISVILLE	KY 40205

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

04

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

- The books are in the care of ►

Telephone No. ►

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 _____, to file the exempt organization return for the organization named above. The extension is for the organization's return for:

► ☐ calendar year _____ or► ☐ tax year beginning _____, and ending _____

- 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 Forms 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions.	3a	\$	250
b If this application is for Forms 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	\$	793
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	\$	

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)

DAA