EXTENSION ATTACHED

SCANNED AUG 24 2015

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.*

OMB No 1545-0052

2014

Open to Public Inspection

For calendar year 2014 or tax year beginning , 2014, and ending , 20

Name of foundation THE FROG ROCK FOUNDATION	**A** Employer identification number 13-4127228
Number and street (or P O box number if mail is not delivered to street address) PO BOX 865	Room/suite
	B Telephone number (see instructions) (914) 273-1375
City or town, state or province, country, and ZIP or foreign postal code CHAPPAQUA, NY 10514	**C** If exemption application is pending, check here ▶ ☐

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

D 1 Foreign organizations, check here ▶ ☐
2 Foreign organizations meeting the 85% test, check here and attach computation ▶ ☐

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

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

I Fair market value of all assets at end of year *(from Part II, col. (c), line 16)* ▶ $ 14,847,869.

J Accounting method ☒ Cash ☐ Accrual
☐ Other (specify) ______
(Part I, column (d) must be on cash basis)

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

Part I Analysis of Revenue and Expenses

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

			(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1	Contributions, gifts, grants, etc , received (attach schedule)				
	2	Check ▶ ☐ if the foundation is not required to attach Sch B				
	3	Interest on savings and temporary cash investments	120.	120.		ATCH 1
	4	Dividends and interest from securities	337,111.	337,111.		ATCH 2
	5a	Gross rents				
	b	Net rental income or (loss)				
	6a	Net gain or (loss) from sale of assets not on line 10	3,987,780.			
	b	Gross sales price for all assets on line 6a 13,829,992.				
	7	Capital gain net income (from Part IV, line 2)		3,987,780.		
	8	Net short-term capital gain				
	9	Income modifications				
	10a	Gross sales less returns and allowances				
	b	Less Cost of goods sold				
	c	Gross profit or (loss) (attach schedule)				
	11	Other income (attach schedule)				
	12	**Total.** Add lines 1 through 11	4,325,011.	4,325,011.	0	
Operating and Administrative Expenses	13	Compensation of officers, directors, trustees, etc	18,000.			18,000.
	14	Other employee salaries and wages				
	15	Pension plans, employee benefits				
	16a	Legal fees (attach schedule)				
	b	Accounting fees (attach schedule) ATCH 3	37,200.	27,900.		9,300.
	c	Other professional fees (attach schedule)				
	17	Interest				
	18	Taxes (attach schedule) (see instructions) [4]	48,695.	695.		
	19	Depreciation (attach schedule) and depletion				
	20	Occupancy				
	21	Travel, conferences, and meetings				
	22	Printing and publications				
	23	Other expenses (attach schedule) ATCH 5	73,236.	71,577.		1,659.
	24	**Total operating and administrative expenses.** Add lines 13 through 23	177,131.	100,172.		28,959.
	25	Contributions, gifts, grants paid	5,388,244.			5,388,244.
	26	**Total expenses and disbursements** Add lines 24 and 25	5,565,375.	100,172.	0	5,417,203.
	27	Subtract line 26 from line 12				
	a	**Excess of revenue over expenses and disbursements**	-1,240,364.			
	b	**Net investment income** (if negative, enter -0-)		4,224,839.		
	c	**Adjusted net income** (if negative, enter -0-)			0	

RECEIVED
AUG 19 2015
OGDEN, UT
IRS-OSC

JSA **For Paperwork Reduction Act Notice, see instructions.**
4E1410 1 000

Form **990-PF** (2014)

FTX2KQ L161 7/31/2015 12:28:31 PM V 14-6F

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	1,760,409.	1,647,673.	1,647,673.
	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)[6]	239,442.	367,294.	336,600.
	b	Investments - corporate stock (attach schedule) ATCH 7	8,977,444.	6,288,530.	8,412,125.
	c	Investments - corporate bonds (attach schedule) ATCH 8	3,126,147.	4,559,582.	4,451,471.
	11	Investments - land, buildings, and equipment basis ▶ Less accumulated depreciation (attach schedule) ▶			
	12	Investments - mortgage loans			
	13	Investments - other (attach schedule)			
	14	Land, buildings, and equipment basis ▶ Less accumulated depreciation (attach schedule) ▶			
	15	Other assets (describe ▶)			
	16	**Total assets** (to be completed by all filers - see the instructions Also, see page 1, item I)	14,103,442.	12,863,079.	14,847,869.
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 ▶)			
	23	**Total liabilities** (add lines 17 through 22)	0	0	
Net Assets or Fund Balances		**Foundations that follow SFAS 117, check here** ▶ ☐ **and complete lines 24 through 26 and lines 30 and 31.**			
	24	Unrestricted			
	25	Temporarily restricted			
	26	Permanently restricted			
		Foundations that do not follow SFAS 117, ▶ ☒ **check here and complete lines 27 through 31.**			
	27	Capital stock, trust principal, or current funds			
	28	Paid-in or capital surplus, or land, bldg , and equipment fund			
	29	Retained earnings, accumulated income, endowment, or other funds	14,103,442.	12,863,079.	
	30	**Total net assets or fund balances** (see instructions)	14,103,442.	12,863,079.	
	31	**Total liabilities and net assets/fund balances** (see instructions)	14,103,442.	12,863,079.	

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	14,103,442.
2	Enter amount from Part I, line 27a	2	-1,240,364.
3	Other increases not included in line 2 (itemize) ▶	3	
4	Add lines 1, 2, and 3	4	12,863,078.
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	12,863,078.

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

2	Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 }	2	3,987,780.
3	Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) (see instructions) If (loss), enter -0- in Part I, line 8	3	0

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

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

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

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period? ☐ Yes ☒ No

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2013	825,912.	16,534,608.	0.049951
2012	806,523.	14,460,419.	0.055775
2011	708,174.	14,115,285.	0.050171
2010	810,103.	13,628,100.	0.059444
2009	756,770.	12,810,893.	0.059072

2	**Total** of line 1, column (d)	2	0.274413
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	0.054883
4	Enter the net value of noncharitable-use assets for 2014 from Part X, line 5	4	18,059,899.
5	Multiply line 4 by line 3	5	991,181.
6	Enter 1% of net investment income (1% of Part I, line 27b)	6	42,248.
7	Add lines 5 and 6	7	1,033,429.
8	Enter qualifying distributions from Part XII, line 4	8	5,417,203.

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 ▶ ☐ and enter "N/A" on line 1 . . . Date of ruling or determination letter ______________ (attach copy of letter if necessary - see instructions)				
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ ☒ and enter 1% of Part I, line 27b			1	42,248.
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	42,248.
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	42,248.
6	Credits/Payments				
a	2014 estimated tax payments and 2013 overpayment credited to 2014	6a	30,223.		
b	Exempt foreign organizations - tax withheld at source	6b			
c	Tax paid with application for extension of time to file (Form 8868)	6c	56,000.		
d	Backup withholding erroneously withheld	6d			
7	Total credits and payments Add lines 6a through 6d			7	86,223.
8	Enter any **penalty** for underpayment of estimated tax Check here ☐ if Form 2220 is attached			8	
9	**Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** . . . . ▶			9	
10	**Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** . . . . ▶			10	43,975.
11	Enter the amount of line 10 to be **Credited to 2015 estimated tax** ▶ 43,975. **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?	1a		X
b	Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see Instructions for the definition)?	1b		X
	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			
c	Did the foundation file **Form 1120-POL** for this year?	1c		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*	2		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*	3		X
4a	Did the foundation have unrelated business gross income of $1,000 or more during the year?	4a		X
b	If "Yes," has it filed a tax return on **Form 990-T** for this year?	4b		N/A
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year? . . . . *If "Yes," attach the statement required by General Instruction T*	5		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?	6	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*	7	X	
8a	Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ 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*	8b	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 2014 or the taxable year beginning in 2014 (see instructions for Part XIV)? *If "Yes," complete Part XIV*	9		X
10	Did any persons become substantial contributors during the tax year? *If "Yes," attach a schedule listing their names and addresses*	10		X

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

			Yes	No
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 ▶ WWW.FROGROCKFOUNDATION.ORG

14 The books are in care of ▶ JANET INSKEEP BENTON Telephone no ▶ 914-273-1375

Located at ▶ P.O.BOX 865 CHAPPAQUA, NY CHAPPAQUA, NY ZIP+4 ▶ 10514

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

			Yes	No
16	At any time during calendar year 2014, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country?	16		X
	See the instructions for exceptions and filing requirements for FinCEN Form 114, (formerly TD F 90-22 1) If "Yes," enter the name of the foreign country ▶			

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

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

			Yes	No
1a	During the year did the foundation (either directly or indirectly)			
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person? ☐ Yes ☒ No			
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☒ No			
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☐ Yes ☒ No			
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☒ Yes ☐ No			
	(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? ☐ Yes ☒ No			
	(6) Agree to pay money or property to a government official? (**Exception.** Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days) ☐ Yes ☒ No			
b	If any answer is "Yes" to 1a(1)-(6), did **any** of the acts fail to qualify under the exceptions described in Regulations section 53 4941(d)-3 or in a current notice regarding disaster assistance (see instructions)?	1b		X
	Organizations relying on a current notice regarding disaster assistance check here ▶ ☐			
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 2014?	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 2014, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2014? ☐ Yes ☒ No			
	If "Yes," list the years ▶ ____, ____, ____, ____			
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		N/A
c	If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here ▶ ____, ____, ____, ____			
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☐ Yes ☒ No			
b	If "Yes," did it have excess business holdings in 2014 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 2014)*	3b		N/A
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 2014?	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 4945(d)(4)(A)? (see instructions). . . . . ☐ Yes ☒ No

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

b If any answer is "Yes" to 5a(1)-(5), did **any** of the transactions fail to qualify under the exceptions described in Regulations section 53 4945 or in a current notice regarding disaster assistance (see instructions)? . . . . **5b** N/A

Organizations relying on a current notice regarding disaster assistance check here . . . . N/A . . . . . . ▶ ☐

c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? . . . . 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** X

If "Yes" to 6b, file Form 8870

7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?. . ☐ Yes ☒ No

b If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction? . . . . **7b** N/A

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 9		18,000.	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. . . . . ▶

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		0
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 NONE	
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 ▶	

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	15,953,710.
b	Average of monthly cash balances	1b	2,381,213.
c	Fair market value of all other assets (see instructions)	1c	
d	**Total** (add lines 1a, b, and c)	1d	18,334,923.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) 1e		
2	Acquisition indebtedness applicable to line 1 assets	2	
3	Subtract line 2 from line 1d	3	18,334,923.
4	Cash deemed held for charitable activities Enter 1 1/2 % of line 3 (for greater amount, see instructions)	4	275,024.
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3 Enter here and on Part V, line 4	5	18,059,899.
6	**Minimum investment return.** Enter 5% of line 5	6	902,995.

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	902,995.
2a	Tax on investment income for 2014 from Part VI, line 5	2a	42,248.		
b	Income tax for 2014 (This does not include the tax from Part VI)	2b			
c	Add lines 2a and 2b			2c	42,248.
3	Distributable amount before adjustments Subtract line 2c from line 1			3	860,747.
4	Recoveries of amounts treated as qualifying distributions			4	
5	Add lines 3 and 4			5	860,747.
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	860,747.

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	5,417,203.
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	5,417,203.
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	42,248.
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	5,374,955.

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 2013	(c) 2013	(d) 2014
1 Distributable amount for 2014 from Part XI, line 7					860,747.
2 Undistributed income, if any, as of the end of 2014					
a Enter amount for 2013 only					
b Total for prior years 20 12 ,20 11 ,20 10					
3 Excess distributions carryover, if any, to 2014					
a From 2009					
b From 2010	457,692.				
c From 2011	710,940.				
d From 2012	102,972.				
e From 2013	27,010.				
f **Total** of lines 3a through e		1,298,614.			
4 Qualifying distributions for 2014 from Part XII, line 4 ▶ $ 5,417,203.					
a Applied to 2013, 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 2014 distributable amount					860,747.
e Remaining amount distributed out of corpus		4,556,456.			
5 Excess distributions carryover applied to 2014 *(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		5,855,070.			
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 2013 Subtract line 4a from line 2a Taxable amount - see instructions					
f Undistributed income for 2014 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2015					
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions)					
8 Excess distributions carryover from 2009 not applied on line 5 or line 7 (see instructions)					
9 **Excess distributions carryover to 2015.** Subtract lines 7 and 8 from line 6a		5,855,070.			
10 Analysis of line 9					
a Excess from 2010	457,692.				
b Excess from 2011	710,940.				
c Excess from 2012	102,972.				
d Excess from 2013	27,010.				
e Excess from 2014	4,556,456.				

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 2014, 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			
	(a) 2014	(b) 2013	(c) 2012	(d) 2011	(e) Total
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))

JANET BENTON

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

NONE

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

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

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

ATCH 10

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

SEE ATTACHED STATEMENT 10(A).

c Any submission deadlines

SEE ATTACHED STATEMENT 10(A).

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

SEE ATTACHED STATEMENT 10(A).

Part XV Supplementary Information (continued)

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

Recipient Name and address (home or business)	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
a *Paid during the year*				
ATCH 11				
Total . . . . ▶ **3a**				5,388,244.
b *Approved for future payment*				
Total . . . . ▶ **3b**				

Part XVI-A Analysis of Income-Producing Activities

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	120.	
4 Dividends and interest from securities			14	337,111.	
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	3,987,780.	
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)				4,325,011.	

13 **Total.** Add line 12, columns (b), (d), and (e) . . . . . . 13 4,325,011.

(See worksheet in line 13 instructions to verify calculations)

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

Line No. ▼	Explain below how each activity for which income is reported in column (e) of Part XVI-A contributed importantly to the accomplishment of the foundation's exempt purposes (other than by providing funds for such purposes) (See instructions)

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

			Yes	No
1	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?			
a	Transfers from the reporting foundation to a noncharitable exempt organization of			
	(1) Cash	1a(1)		X
	(2) Other assets	1a(2)		X
b	Other transactions			
	(1) Sales of assets to a noncharitable exempt organization	1b(1)		X
	(2) Purchases of assets from a noncharitable exempt organization	1b(2)		X
	(3) Rental of facilities, equipment, or other assets	1b(3)		X
	(4) Reimbursement arrangements	1b(4)		X
	(5) Loans or loan guarantees	1b(5)		X
	(6) Performance of services or membership or fundraising solicitations	1b(6)		X
c	Sharing of facilities, equipment, mailing lists, other assets, or paid employees	1c		X

d 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

(a) Line no	(b) Amount involved	(c) Name of noncharitable exempt organization	(d) Description of transfers, transactions, and sharing arrangements
	N/A		N/A

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

Sign Here

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

Signature of officer or trustee

Date 8-13-2015

Title President trustee

May the IRS discuss this return with the preparer shown below (see instructions)? ☒ Yes ☐ No

Paid Preparer Use Only

Print/Type preparer's name Peter Michaelson

Preparer's signature

Date 8/11/15

Check ☐ if self-employed

PTIN P00081039

Firm's name ▶ EISNERAMPER LLP

Firm's EIN ▶ 13-1639826

Firm's address ▶ 750 THIRD AVENUE
NEW YORK, NY 10017-2703

Phone no

THE FROG ROCK FOUNDATION 13-4127228

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 CAPITAL GAIN DISTRIBUTIONS					20,309.	
		ATTACHMENT 1 PROPERTY TYPE: SECURITIES				P	07/17/2012	VARIOUS
1,982.		2,012.					-30.	
		ATTACHMENT 1 PROPERTY TYPE: SECURITIES				P	09/29/2011	VARIOUS
6,806.		7,124.					-318.	
		ATTACHMENT 2 PROPERTY TYPE: SECURITIES				P	VARIOUS	VARIOUS
331,864.		316,896.					14,968.	
		ATTACHMENT 3 PROPERTY TYPE: SECURITIES				P	VARIOUS	VARIOUS
72,594.		76,390.					-3,796.	
		ATTACHMENT 4 PROPERTY TYPE: SECURITIES				P	VARIOUS	VARIOUS
1,652,659.		1,404,308.					248,351.	
		ATTACHMENT 5 PROPERTY TYPE: SECURITIES				P	VARIOUS	VARIOUS
6,913,565.		4,400,179.					2,513,386.	
		ATTACHMENT 6				P	VARIOUS	VARIOUS
3,326,843.		2,135,191.					1,191,652.	
		ATTACHMENT 7 PROPERTY TYPE: SECURITIES				P	VARIOUS	VARIOUS
1,503,370.		1,500,112.					3,258.	
TOTAL GAIN(LOSS)							3,987,780.	

Frog Rock Foundation
EIN: 13-4127228
UBS Financial Services
Account Number: JG 18245
Year 2014
Gain / Loss Supplement

Security Description	Date Acquired	Date of Sale	Sale Amount	Cost Basis	Gain/(Loss)
FHR 4024 H 03.0000 due 03/15/2027	7/17/2012	7/15/2014	935.30	949.32	(14.02)
FHR 4024 H 03.0000 due 03/15/2027	7/17/2012	8/15/2014	645.67	655.36	(9.69)
FHR 4024 H 03.0000 due 03/15/2027	7/17/2012	9/15/2014	18.21	18.48	(0.27)
FHR 4024 H 03.0000 due 03/15/2027	7/17/2012	11/15/2014	382.68	388.42	(5.74)
		Subtotal:	**1,981.86**	**2,011.58**	**(29.72)**
GNMA PL 004932M 3.5000 due 01/20/41	9/29/2011	2/20/2014	164.50	172.19	(7.69)
GNMA PL 004932M 3.5000 due 01/20/41	9/29/2011	3/20/2014	163.90	171.56	(7.66)
GNMA PL 004932M 3.5000 due 01/20/41	9/29/2011	4/21/2014	163.30	170.94	(7.64)
GNMA PL 004932M 3.5000 due 01/20/41	9/29/2011	5/20/2014	168.43	176.30	(7.87)
GNMA PL 004932M 3.5000 due 01/20/41	9/29/2011	6/20/2014	164.67	172.37	(7.70)
GNMA PL 004932M 3.5000 due 01/20/41	9/29/2011	7/21/2014	5,019.78	5,254.46	(234.68)
GNMA PL 004932M 3.5000 due 01/20/41	9/29/2011	8/20/2014	157.46	164.82	(7.36)
GNMA PL 004932M 3.5000 due 01/20/41	9/29/2011	9/20/2014	157.66	165 03	(7.37)
GNMA PL 004932M 3.5000 due 01/20/41	9/29/2011	10/20/2014	158.40	165.81	(7.41)
GNMA PL 004932M 3.5000 due 01/20/41	9/29/2011	11/20/2014	167.69	175.53	(7.84)
GNMA PL 004932M 3.5000 due 01/20/41	9/29/2011	12/20/2014	159.25	166.69	(7.44)
GNMA PL 004932M 3.5000 due 01/20/41	9/29/2011	12/31/2015	160.56	168.06	(7.50)
		Subtotal:	**6,805.60**	**7,123.76**	**(318.16)**
Total Long Term (Box B):			**8,787.46**	**9,135.34**	**(347.88)**

ATTACHMENT 1

THE FROG ROCK FOUNDATION
EIN: 13-4127228
TAX YEAR: 2014

SHORT-TERM TRANSACTIONS ▹ *5- NONCOVERED tax lots 3- Basis NOT reported to the IRS***

Report on Form 8949, Part I, with Box B checked

1a- Description of property/CUSIP/Symbol 1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
ANGLOGOLD HOLDINGS PLC NOTE RATE 8 50 % MATURES 07/30/2020 CALLABLE / CUSIP 03512TAD3 / Symbol							
07/18/14	100,000 000	112,181 75	07/29/13	102,340 25	0 00	9,841 50	Sale Original basis. $102,340 25
HEWLETT-PACKARD CO NOTE RATE 4 65 % MATURES 12/09/2021 / CUSIP 428236BV4 / Symbol							
11/13/14	50,000 000	52,754 75	11/18/13	51,249 45	0 00	1,505 30	Sale Original basis $51,396 25
PLAINS EXPLORATION & PROD CO NOTE RATE 6 875 % MATURES 02/15/2023 CALLABLE / CUSIP 726505AP5 / Symbol							
07/23/14	35,000.000	37,406 25	08/08/13	37,872 26	0 00	-466 01	Sale Original basis. $38,116 84
WESTERN UNION CO MW+25BP RATE 6 20 % MATURES 11/17/2036 CALLABLE / CUSIP. 959802AH2 / Symbol							
08/18/14	50,000 000	51,361 75	11/25/13	48,515 25	0 00	2,846 50	Sale Original basis $48,515 25
ZIONS BANCORPORATION ADJUSTABLE RATE 5 65 % MATURES 11/15/2023 CALLABLE / CUSIP 989701BH9 / Symbol							
10/06/14	75,000 000	78,159 75	11/04/13	76,919 21	0 00	1,240 54	Sale Note 25 Original basis $77,067 75
	Totals:	**331,864.25**		**316,896.42**	**0.00**	**14,967.83**	

ATTACHMENT 2

THE FROG ROCK FOUNDATION
EIN: 13-4127228
TAX YEAR: 2014

2- LONG-TERM TRANSACTIONS

*5- COVERED tax lots 3- Basis is reported to the IRS***

Report on Form 8949, Part II, with Box D checked

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	1b- Date acquired	1e- Cost or other basis	1g- Adjustments & 1f- Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
POWERSHARES ETF TRUST II / CUSIP 73936Q769 / Symbol BKLN							
	2 tax lots for 09/18/14	*Total proceeds (and cost when required) reported to the IRS*					
	2,000 000	*48,395 93*	*01/24/13*	*50,935 98*	*0 00*	*-2,540 05*	*Sale*
	1,000 000	*24,197 96*	*05/20/13*	*25,453 97*	*0 00*	*-1,256 01*	*Sale*
09/18/14	3,000 000	72,593 89	VARIOUS	76,389 95	0 00	-3,796 06	Total of 2 lots
	Totals:	**72,593.89**		**76,389.95**	**0.00**	**-3,796.06**	

*** This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Remember, taxpayers are ultimately responsible for the accuracy of their tax return(s).**

**For NONCOVERED tax lots, values for "Date acquired," "Cost or other basis" and "Adjustments & Code(s), if any" are provided for your reference and are NOT reported to the IRS For all tax lots, values for "Gain or loss(-)" and "Additional information" are provided for your reference and are NOT reported to the IRS

ATTACHMENT 3

THE FROG ROCK FOUNDATION
EIN: 13-4127228
TAX YEAR: 2014

2- SHORT-TERM TRANSACTIONS *5- COVERED tax lots 3- Basis is reported to the IRS***

Report on Form 8949, Part I, with Box A checked

1a- Description of property/CUSIP/Symbol 1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	1b- Date acquired	1e- Cost or other basis	1g- Adjustments & 1f- Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
AMERICAN INDEPENDENCE STOCK FUND - CLASS A / CUSIP 026762807 / Symbol MFQLAE							
	4 tax lots for 01/15/14	*Total proceeds (and cost when required) reported to the IRS*					
	14,461.316	*203,904.55*	*02/14/13*	*200,000 00*	*0 00*	*3,904 55*	*Sale*
	975 873	*13,759 81*	*12/13/13*	*13,174 29*	*0 00*	*585 52*	*Sale*
	3,088 214	*43,543 82*	*12/13/13*	*41,690 89*	*0 00*	*1,852 93*	*Sale*
	137 642	*1,940.75*	*12/30/13*	*1,924 24*	*0 00*	*16 51*	*Sale*
01/15/14	18,663 045	263,148 93	VARIOUS	256,789 42	0 00	6,359 51	Total of 4 lots
ISHARES TRUST CORE S&P 500 ETF / CUSIP 464287200 / Symbol IVV							
12/05/14	2,000.000	418,670.95	02/04/14	351,980 00	0.00	66,690.95	Sale
KINDER MORGAN MANAGEMENT LLC *MERGER EFF 12/2014* / CUSIP 49455U100 / Symbol							
02/14/14	0 796	60 07	12/16/13	57 51	0 00	2.56	Sale
05/15/14	0 850	60.96	12/16/13	60 31	0 00	0 65	Sale
07/15/14	1,000 000	77,493.29	12/16/13	70,934.31	0 00	6,558.98	Sale
	2 tax lots for 08/13/14	*Total proceeds (and cost when required) reported to the IRS*					
	35 826	*3,375 30*	*12/16/13*	*2,497 87*	*0 00*	*877 43*	*Sale*
	1,964 174	*185,049 94*	*01/16/14*	*140,995 37*	*0 00*	*44,054 57*	*Sale*
08/13/14	2,000 000	188,425 24	VARIOUS	143,493 24	0 00	44,932 00	Total of 2 lots
08/14/14	0 785	75.70	01/16/14	56 37	0 00	19 33	Sale
	2 tax lots for 09/30/14	*Total proceeds (and cost when required) reported to the IRS*					
	988 799	*93,033 81*	*01/16/14*	*70,979 48*	*0 00*	*22,054 33*	*Sale*
	11 201	*1,053 91*	*02/12/14*	*829 78*	*0 00*	*224 13*	*Sale*
09/30/14	1,000 000	94,087 72	VARIOUS	71,809 26	0 00	22,278 46	Total of 2 lots
	2 tax lots for 10/17/14	*Total proceeds (and cost when required) reported to the IRS*					
	1,543 432	*142,270 61*	*02/12/14*	*114,334 34*	*0.00*	*27,936 27*	*Sale*
	456 568	*42,085 52*	*02/21/14*	*32,594 23*	*0 00*	*9,491 29*	*Sale*
10/17/14	2,000 000	184,356.13	VARIOUS	146,928 57	0 00	37,427 56	Total of 2 lots
11/14/14	0 189	18 13	02/21/14	13 29	0 00	4 84	Sale
	Security total.	544,577.24		433,352 86	0 00	111,224.38	
KINDER MORGAN INC / CUSIP 49456B101 / Symbol KMI							
12/01/14	0 452	18 15	02/21/14	12 80	0 00	5 35	Sale
12/05/14	2,000 000	83,084 96	02/21/14	56,607 83	0 00	26,477 13	Sale

---

*** This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Remember, taxpayers are ultimately responsible for the accuracy of their tax return(s).**

**For NONCOVERED tax lots, values for "Date acquired," "Cost or other basis" and "Adjustments & Code(s), if any" are provided for your reference and are NOT reported to the IRS For all tax lots, values for "Gain or loss(-)" and "Additional information" are provided for your reference and are NOT reported to the IRS

ATTACHMENT 4

THE FROG ROCK FOUNDATION
EIN: 13-4127228
TAX YEAR: 2014

2- SHORT-TERM TRANSACTIONS *5- COVERED tax lots 3- Basis is reported to the IRS***

Report on Form 8949, Part I, with Box A checked

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	1b- Date acquired	1e- Cost or other basis	1g- Adjustments & 1f- Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
KINDER MORGAN INC / CUSIP 49456B101 / Symbol KMI (cont'd)							
	2 tax lots for 12/22/14 Total proceeds (and cost when required) reported to the IRS.						
	507 270	*20,853.39*	*02/21/14*	*14,357 71*	*0 00*	*6,495 68*	*Sale*
	1,492 731	*61,364 79*	*02/24/14*	*40,919 63*	*0 00*	*20,445 16*	*Sale*
12/22/14	2,000 000	82,218 18	VARIOUS	55,277 34	0 00	26,940 84	Total of 2 lots
	Security total.	165,321 29		111,897.97	0 00	53,423.32	
ORACLE CORP / CUSIP. 68389X105 / Symbol ORCL							
	3 tax lots for 11/14/14 Total proceeds (and cost when required) reported to the IRS						
	1,000 000	*40,771 92*	*07/31/14*	*40,796 90*	*0 00*	*-24 98*	*Sale* *Note 26*
	2,400 000	*97,852 61*	*09/24/14*	*93,541 20*	*0 00*	*4,311 41*	*Sale* *Note 26*
	3,000 000	*122,315 76*	*10/10/14*	*115,950 00*	*0 00*	*6,365 76*	*Sale* *Note 26*
11/14/14	6,400.000	260,940 29	VARIOUS	250,288.10	0.00	10,652 19	Total of 3 lots
	Totals:	**1,652,658.70**		**1,404,308.35**	**0.00**	**248,350.35**	

ATTACHMENT 4

THE FROG ROCK FOUNDATION
EIN: 13-4127228
TAX YEAR: 2014

2- LONG-TERM TRANSACTIONS

*5- COVERED tax lots 3- Basis is reported to the IRS***

Report on Form 8949, Part II, with Box D checked

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	1b- Date acquired	1e- Cost or other basis	1g- Adjustments & 1f- Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
AMERICAN INDEPENDENCE STOCK FUND - CLASS A / CUSIP 026762807 / Symbol MFQLAE							
	4 tax lots for 01/15/14	*Total proceeds (and cost when required) reported to the IRS*					
	5,179 558	*73,031 77*	*03/12/12*	*75,000 00*	*0 00*	*-1,968 23*	*Sale*
	343 536	*4,843 86*	*12/14/12*	*4,393 82*	*0 00*	*450 04*	*Sale*
	496 816	*7,005 10*	*12/14/12*	*6,354 28*	*0 00*	*650 82*	*Sale*
	29 887	*421 41*	*12/27/12*	*382 25*	*0 00*	*39 16*	*Sale*
01/15/14	6,049.797	85,302 14	VARIOUS	86,130.35	0 00	-828 21	Total of 4 lots

---

*** This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Remember, taxpayers are ultimately responsible for the accuracy of their tax return(s).**

**For NONCOVERED tax lots, values for "Date acquired," "Cost or other basis" and "Adjustments & Code(s), if any" are provided for your reference and are NOT reported to the IRS For all tax lots, values for "Gain or loss(-)" and "Additional information" are provided for your reference and are NOT reported to the IRS

ATTACHMENT 5

THE FROG ROCK FOUNDATION
EIN: 13-4127228
TAX YEAR: 2014

2- LONG-TERM TRANSACTIONS *5- COVERED tax lots 3- Basis is reported to the IRS***

Report on Form 8949, Part II, with Box D checked

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	1b- Date acquired	1e- Cost or other basis	1g- Adjustments & 1f- Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
1a- Description of property/CUSIP/Symbol							
APPLE INC / CUSIP 037833100 / Symbol. AAPL							
01/17/14	187.000	102,567 14	12/12/12	101,429 40	0 00	1,137.74	Sale
COCA COLA CO COM COMMON STOCK / CUSIP. 191216100 / Symbol: KO							
03/14/14	1,524 000	58,218 26	02/24/11	48,888 85	0 00	9,329 41	Sale
COMCAST CORP NEW SPECIAL CL A / CUSIP 20030N200 / Symbol CMCSK							
01/07/14	2,441.000	121,852 60	08/01/11	56,432 72	0 00	65,419 88	Sale
	2 tax lots for 03/13/14	*Total proceeds (and cost when required) reported to the IRS*					
	3,548 000	*174,807 04*	*08/01/11*	*82,025 10*	*0 00*	*92,781 94*	*Sale*
	4,000.000	*197,076 70*	*08/03/11*	*89,240.00*	*0.00*	*107,836 70*	*Sale*
03/13/14	7,548 000	371,883.74	VARIOUS	171,265 10	0 00	200,618.64	Total of 2 lots
	Security total	493,736 34		227,697 82	0 00	266,038 52	
EXPRESS SCRIPTS HLDG CO / CUSIP 30219G108 / Symbol. ESRX							
04/16/14	1,008.000	73,632 87	11/26/12	52,325.28	0 00	21,307 59	Sale
	4 tax lots for 12/05/14	*Total proceeds (and cost when required) reported to the IRS*					
	424 000	*35,880 17*	*11/26/12*	*22,009 84*	*0 00*	*13,870 33*	*Sale*
	1,068.000	*90,377 39*	*11/26/12*	*54,829 08*	*0 00*	*35,548.31*	*Sale*
	1,600 000	*135,401.01*	*11/26/12*	*83,056 00*	*0 00*	*52,345 01*	*Sale*
	108 000	*9,139 29*	*12/07/12*	*5,830 16*	*0 00*	*3,309 13*	*Sale*
12/05/14	3,200 000	270,797 86	VARIOUS	165,725 08	0 00	105,072 78	Total of 4 lots
	Security total	344,430 73		218,050 36	0 00	126,380 37	
FIRST EAGLE GLOBAL FUNDS CLASS I / CUSIP 32008F606 / Symbol MFHSSH							
	5 tax lots for 12/18/14	*Total proceeds (and cost when required) reported to the IRS*					
	21 962	*1,159.59*	*12/13/12*	*1,058 68*	*0.00*	*100 91*	*Sale*
	29 062	*1,534 46*	*12/13/12*	*1,400 89*	*0 00*	*133 57*	*Sale*
	56 791	*2,998 57*	*12/13/12*	*2,737 60*	*0 00*	*260.97*	*Sale*
	127 669	*6,740 93*	*12/13/12*	*6,154 27*	*0 00*	*586 66*	*Sale*
	35 760	*1,888 13*	*02/14/13*	*1,794 25*	*0 00*	*93 88*	*Sale*
12/18/14	271.244	14,321 68	VARIOUS	13,145 69	0 00	1,175 99	Total of 5 lots
FISERV INC COMMON STOCK / CUSIP 337738108 / Symbol FISV							
02/04/14	2,514 000	138,243 20	04/07/11	78,382 18	0 00	59,861 02	Sale

---

*** This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Remember, taxpayers are ultimately responsible for the accuracy of their tax return(s).**

**For NONCOVERED tax lots, values for "Date acquired," "Cost or other basis" and "Adjustments & Code(s), if any" are provided for your reference and are NOT reported to the IRS For all tax lots, values for "Gain or loss(-)" and "Additional information" are provided for your reference and are NOT reported to the IRS

THE FROG ROCK FOUNDATION
EIN: 13-4127228
TAX YEAR: 2014

2- LONG-TERM TRANSACTIONS *5- COVERED tax lots 3- Basis is reported to the IRS***

Report on Form 8949, Part II, with Box D checked

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	1b- Date acquired	1e- Cost or other basis	1g- Adjustments & 1f- Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
HALLIBURTON CO (HOLDING COMPANY) / CUSIP 406216101 / Symbol HAL							
04/16/14	1,000.000	60,301 57	03/25/13	39,798.48	0 00	20,503.09	Sale
05/14/14	600 000	38,689 06	03/25/13	23,879 09	0 00	14,809 97	Sale
	2 tax lots for 07/15/14 Total proceeds (and cost when required) reported to the IRS						
	4,564 000	*318,965 66*	*03/25/13*	*181,640 25*	*0 00*	*137,325 41*	*Sale*
	1,436 000	*100,358 17*	*04/05/13*	*55,257 00*	*0 00*	*45,101 17*	*Sale*
07/15/14	6,000 000	419,323.83	VARIOUS	236,897 25	0 00	182,426 53	Total of 2 lots
	3 tax lots for 07/31/14 Total proceeds (and cost when required) reported to the IRS						
	1,663 000	*114,727 83*	*04/05/13*	*63,991 91*	*0 00*	*50,735 92*	*Sale*
	3,094 000	*213,450 35*	*04/15/13*	*121,395.06*	*0 00*	*92,055.29*	*Sale*
	1,219.000	*84,096.95*	*06/21/13*	*51,167.65*	*0 00*	*32,929 30*	*Sale*
07/31/14	5,976 000	412,275 13	VARIOUS	236,554 62	0 00	175,720 51	Total of 3 lots
	Security total	930,589 59		537,129 44	0 00	393,460 15	
INTEL CORP COMMON STOCK / CUSIP 458140100 / Symbol INTC							
01/17/14	3,712 000	95,447 22	11/29/11	87,714 56	0 00	7,732 66	Sale
ISHARES TRUST CORE S&P 500 ETF / CUSIP 464287200 / Symbol IVV							
	2 tax lots for 04/23/14 Total proceeds (and cost when required) reported to the IRS						
	854 000	*161,189 02*	*02/10/12*	*115,076 50*	*0 00*	*46,112 52*	*Sale*
	646 000	*121,929 87*	*03/06/12*	*87,364 98*	*0 00*	*34,564 89*	*Sale*
04/23/14	1,500 000	283,118 89	VARIOUS	202,441 48	0 00	80,677 41	Total of 2 lots
	2 tax lots for 08/05/14 Total proceeds (and cost when required) reported to the IRS						
	1,354 000	*263,516 70*	*03/06/12*	*183,114 82*	*0 00*	*80,401 88*	*Sale*
	1,216 000	*236,659 01*	*05/14/12*	*163,881 43*	*0 00*	*72,777 58*	*Sale*
08/05/14	2,570 000	500,175.71	VARIOUS	346,996 25	0 00	153,179 46	Total of 2 lots
	2 tax lots for 12/05/14 Total proceeds (and cost when required) reported to the IRS						
	784 000	*164,119 01*	*05/14/12*	*105,660 39*	*0 00*	*58,458 62*	*Sale*
	4,000 000	*837,341 89*	*06/26/13*	*643,000 00*	*0 00*	*194,341 89*	*Sale*
12/05/14	4,784 000	1,001,460 90	VARIOUS	748,660 39	0 00	252,800 51	Total of 2 lots
	Security total	1,784,755 50		1,298,098 12	0 00	486,657.38	

*** This is important tax information and is being furnished to the Internal Revenue Service If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Remember, taxpayers are ultimately responsible for the accuracy of their tax return(s).**

**For NONCOVERED tax lots, values for "Date acquired," "Cost or other basis" and "Adjustments & Code(s), if any" are provided for your reference and are NOT reported to the IRS For all tax lots, values for "Gain or loss(-)" and "Additional information" are provided for your reference and are NOT reported to the IRS

ATTACHMENT 5

THE FROG ROCK FOUNDATION
EIN: 13-4127228
TAX YEAR: 2014

2- LONG-TERM TRANSACTIONS *5- COVERED tax lots 3- Basis is reported to the IRS***

Report on Form 8949, Part II, with Box D checked

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	1b- Date acquired	1e- Cost or other basis	1g- Adjustments & 1f- Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
ISHARES RUSSELL MID-CAP VALUE ETF / CUSIP 464287473 / Symbol IWS							
12/05/14	4,375 000	322,999 99	04/19/12	205,012 79	0 00	117,987 20	Sale
MEDTRONIC INC / CUSIP 585055106 / Symbol. MDT							
03/05/14	1,755 000	104,771 86	04/15/11	71,844 26	0 00	32,927 60	Sale
ORACLE CORP / CUSIP 68389X105 / Symbol. ORCL							
	7 tax lots for 11/14/14 Total proceeds (and cost when required) reported to the IRS						
	4,028 000	*164,229 29*	*01/03/12*	*106,339 20*	*0 00*	*57,890 09*	*Sale* *Note 26*
	4,701.000	*191,668 80*	*03/09/12*	*142,064 22*	*0 00*	*49,604 58*	*Sale* *Note 26*
	4,345 000	*177,153 99*	*05/07/12*	*122,767 98*	*0 00*	*54,386 01*	*Sale* *Note 26*
	3,894 000	*158,765 85*	*03/21/13*	*127,684 26*	*0 00*	*31,081 59*	*Sale* *Note 26*
	1,700 000	*69,312 27*	*06/21/13*	*51,501.67*	*0 00*	*17,810 60*	*Sale* *Note 26*
	2,000 000	*81,543 84*	*08/15/13*	*65,673 00*	*0 00*	*15,870 84*	*Sale* *Note. 26*
	3,300.000	*134,547.33*	*09/11/13*	*108,587 82*	*0 00*	*25,959 51*	*Sale* *Note 26*
11/14/14	23,968 000	977,221 37	VARIOUS	724,618 15	0 00	252,603 22	Total of 7 lots
PNC FINANCIAL SERVICES GROUP / CUSIP. 693475105 / Symbol PNC							
03/05/14	1,005.000	82,661.67	04/14/11	62,216 43	0 00	20,445.24	Sale
PRIMERICA INC / CUSIP 74164M108 / Symbol PRI							
	2 tax lots for 11/13/14 Total proceeds (and cost when required) reported to the IRS						
	1,000 000	*52,780.17*	*11/14/11*	*22,986.50*	*0 00*	*29,793 67*	*Sale*
	500 000	*26,390 08*	*10/25/12*	*14,026 92*	*0 00*	*12,363 16*	*Sale*
11/13/14	1,500 000	79,170 25	VARIOUS	37,013 42	0 00	42,156 83	Total of 2 lots
SCHWAB CHARLES CORP NEW COMMON STOCK / CUSIP 808513105 / Symbol SCHW							
01/30/14	4,000 000	100,878 24	09/17/12	56,681 07	0 00	44,197 17	Sale

---

*** This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Remember, taxpayers are ultimately responsible for the accuracy of their tax return(s).**

**For NONCOVERED tax lots, values for "Date acquired," "Cost or other basis" and "Adjustments & Code(s), if any" are provided for your reference and are NOT reported to the IRS For all tax lots, values for "Gain or loss(-)" and "Additional information" are provided for your reference and are NOT reported to the IRS

ATTACHMENT 5

THE FROG ROCK FOUNDATION
EIN: 13-4127228
TAX YEAR: 2014

2- LONG-TERM TRANSACTIONS *5- COVERED tax lots 3- Basis is reported to the IRS***

Report on Form 8949, Part II, with Box D checked

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	1b- Date acquired	1e- Cost or other basis	1g- Adjustments & 1f- Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
SCHWAB CHARLES CORP NEW COMMON STOCK / CUSIP 808513105 / Symbol SCHW (cont'd)							
	2 tax lots for 02/12/14	*Total proceeds (and cost when required) reported to the IRS*					
	243 000	*6,233.15*	*09/17/12*	*3,448 17*	*0 00*	*2,784 98*	*Sale*
	1,757 000	*45,068 49*	*09/17/12*	*24,897 16*	*0 00*	*20,171 33*	*Sale*
02/12/14	2,000 000	51,301 64	VARIOUS	28,345 33	0 00	22,956 31	Total of 2 lots
11/13/14	1,200.000	34,466 84	09/17/12	17,028 00	0 00	17,438.84	Sale
	Security total	186,646.72		102,054 40	0 00	84,592 32	
TJX COS INC NEW COMMON STOCK / CUSIP 872540109 / Symbol TJX							
07/01/14	3,008 000	160,786.32	11/29/11	90,910 93	0 00	69,875 39	Sale
VALEANT PHARMACEUTICALS INTL I FOREIGN STOCK / CUSIP 91911K102 / Symbol VRX							
01/07/14	1,250 000	153,183 32	06/07/11	66,737 50	0 00	86,445 82	Sale
	2 tax lots for 02/21/14	*Total proceeds (and cost when required) reported to the IRS*					
	377.000	*55,476.94*	*06/07/11*	*20,128 03*	*0 00*	*35,348 91*	*Sale*
	123 000	*18,099 90*	*06/08/11*	*6,486 41*	*0 00*	*11,613.49*	*Sale*
02/21/14	500 000	73,576 84	VARIOUS	26,614 44	0 00	46,962 40	Total of 2 lots
	2 tax lots for 12/05/14	*Total proceeds (and cost when required) reported to the IRS*					
	1,877 000	*270,560 94*	*06/08/11*	*98,983.59*	*0 00*	*171,577 35*	*Sale*
	123 000	*17,729 89*	*06/21/11*	*6,326 84*	*0 00*	*11,403 05*	*Sale*
12/05/14	2,000 000	288,290 83	VARIOUS	105,310 43	0 00	182,980 40	Total of 2 lots
12/18/14	1,300 000	186,281 74	06/21/11	66,869 08	0 00	119,412 66	Sale
	Security total.	701,332.73		265,531 45	0.00	435,801 28	
CIMPRESS N V FOREIGN STOCK EUR / CUSIP N20146101 / Symbol CMPR							
12/18/14	500 000	37,706 72	10/26/12	15,654 53	0 00	22,052 19	Sale
VISTAPRINT N V ***NAME CHANGE EFF 11/2014*** EUR / CUSIP N93540107 / Symbol							
	2 tax lots for 05/01/14	*Total proceeds (and cost when required) reported to the IRS*					
	816 000	*32,166 01*	*10/04/12*	*28,968 00*	*0 00*	*3,198 01*	*Sale*
	184 000	*7,253 12*	*10/26/12*	*5,760 87*	*0.00*	*1,492 25*	*Sale*
05/01/14	1,000 000	39,419 13	VARIOUS	34,728 87	0 00	4,690 26	Total of 2 lots
10/15/14	2,000 000	109,967.57	10/26/12	62,618 14	0 00	47,349 43	Sale
10/30/14	1,000 000	63,268 60	10/26/12	31,309 07	0 00	31,959 53	Sale

---

*** This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Remember, taxpayers are ultimately responsible for the accuracy of their tax return(s).**

**For NONCOVERED tax lots, values for "Date acquired," "Cost or other basis" and "Adjustments & Code(s), if any" are provided for your reference and are NOT reported to the IRS For all tax lots, values for "Gain or loss(-)" and "Additional information" are provided for your reference and are NOT reported to the IRS

ATTACHMENT 5

THE FROG ROCK FOUNDATION
EIN: 13-4127228
TAX YEAR: 2014

2- LONG-TERM TRANSACTIONS *5- COVERED tax lots 3- Basis is reported to the IRS***

Report on Form 8949, Part II, with Box D checked

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	1b- Date acquired	1e- Cost or other basis	1g- Adjustments & 1f- Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
	Security total	212,655 30		128,656 08	0 00	83,999 22	
	Totals:	**6,913,564.73**		**4,400,179.21**	**0.00**	**2,513,385.52**	

ATTACHMENT 5

THE FROG ROCK FOUNDATION
EIN: 13-4127228
TAX YEAR: 2014

LONG-TERM TRANSACTIONS

Report on Form 8949, Part II, with Box E checked

*5- NONCOVERED tax lots 3- Basis NOT reported to the IRS***

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
AT&T INC / CUSIP. 00206R102 / Symbol T							
	4 tax lots for 01/15/14	*Total proceeds (and cost when required) reported to the IRS*					
	2,000 000	*67,890 82*	*10/21/09*	*52,035 00*	*0 00*	*15,855 82*	*Sale*
	543 000	*18,432 36*	*12/29/09*	*15,388 01*	*0 00*	*3,044 35*	*Sale*
	491 000	*16,667 19*	*01/21/10*	*12,694 04*	*0 00*	*3,973.15*	*Sale*
	526 000	*17,855 29*	*07/13/10*	*13,144 88*	*0 00*	*4,710 41*	*Sale*
01/15/14	3,560 000	120,845 66	VARIOUS	93,261 93	0 00	27,583 73	Total of 4 lots
ANADARKO PETROLEUM CORP COMMON STOCK / CUSIP 032511107 / Symbol: APC							
04/23/14	763 000	75,328.08	07/13/10	36,819 95	0 00	38,508.13	Sale
ANALOG DEVICES INC COMMON STOCK / CUSIP 032654105 / Symbol ADI							
01/15/14	1,800 000	89,914 92	05/10/10	52,140 24	0 00	37,774 68	Sale
APPLE INC / CUSIP 037833100 / Symbol. AAPL							
01/17/14	113 000	61,979 07	07/13/10	28,075 35	0 00	33,903 72	Sale
CSX CORPORATION COMMON STOCK / CUSIP 126408103 / Symbol CSX							
	2 tax lots for 10/10/14	*Total proceeds (and cost when required) reported to the IRS*					
	420 000	*12,868 52*	*01/21/10*	*6,505 56*	*0 00*	*6,362 96*	*Sale*
	2,403 000	*73,626 29*	*07/13/10*	*42,107 37*	*0 00*	*31,518 92*	*Sale*
10/10/14	2,823 000	86,494 81	VARIOUS	48,612 93	0 00	37,881 88	Total of 2 lots
CELGENE CORP COMMON STOCK / CUSIP 151020104 / Symbol CELG							
02/04/14	1,507 000	227,649 19	12/21/10	88,824 03	0 00	138,825 16	Sale

---

*** This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Remember, taxpayers are ultimately responsible for the accuracy of their tax return(s).**

**For NONCOVERED tax lots, values for "Date acquired," "Cost or other basis" and "Adjustments & Code(s), if any" are provided for your reference and are NOT reported to the IRS For all tax lots, values for "Gain or loss(-)" and "Additional information" are provided for your reference and are NOT reported to the IRS

ATTACHMENT 6

THE FROG ROCK FOUNDATION
EIN: 13-4127228
TAX YEAR: 2014

LONG-TERM TRANSACTIONS *5- NONCOVERED tax lots 3- Basis NOT reported to the IRS***

Report on Form 8949, Part II, with Box E checked

1a- Description of property/CUSIP/Symbol 1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
CHEVRON CORP / CUSIP 166764100 / Symbol CVX							
	4 tax lots for 03/14/14 Total proceeds (and cost when required) reported to the IRS						
	505 000	*57,624 33*	*10/21/09*	*39,348 84*	*0 00*	*18,275.49*	*Sale*
	150 000	*17,116 14*	*12/29/09*	*11,611 28*	*0 00*	*5,504 86*	*Sale*
	125 000	*14,263 45*	*01/21/10*	*9,748 00*	*0 00*	*4,515 45*	*Sale*
	110 000	*12,551 83*	*07/13/10*	*8,013 59*	*0.00*	*4,538.24*	*Sale*
03/14/14	890 000	101,555 75	VARIOUS	68,721 71	0 00	32,834 04	Total of 4 lots
COCA COLA CO COM COMMON STOCK / CUSIP 191216100 / Symbol KO							
	4 tax lots for 03/14/14. Total proceeds (and cost when required) reported to the IRS.						
	400 000	*15,280 38*	*09/05/07*	*10,734.00*	*0 00*	*4,546 38*	*Sale*
	2,000 000	*76,401 91*	*09/20/07*	*56,266 10*	*0 00*	*20,135 81*	*Sale*
	450 000	*17,190.43*	*01/21/10*	*12,483 51*	*0 00*	*4,706 92*	*Sale*
	360 000	*13,752 34*	*07/13/10*	*9,510 91*	*0 00*	*4,241 43*	*Sale*
03/14/14	3,210 000	122,625 06	VARIOUS	88,994 52	0.00	33,630.54	Total of 4 lots
COMCAST CORP NEW SPECIAL CL A / CUSIP 20030N200 / Symbol CMCSK							
01/07/14	559 000	27,904 79	06/27/08	10,332 05	0 00	17,572 74	Sale
WALT DISNEY CO (HOLDING CO) DISNEY COM / CUSIP 254687106 / Symbol DIS							
	4 tax lots for 03/14/14 Total proceeds (and cost when required) reported to the IRS						
	1,465 000	*117,370 86*	*10/21/09*	*43,609 39*	*0 00*	*73,761 47*	*Sale*
	397 000	*31,806 30*	*12/29/09*	*12,853 67*	*0 00*	*18,952 63*	*Sale*
	351 000	*28,120 94*	*01/21/10*	*10,983 67*	*0 00*	*17,137 27*	*Sale*
	373 000	*29,883.50*	*07/13/10*	*12,783 54*	*0 00*	*17,099 96*	*Sale*
03/14/14	2,586 000	207,181 60	VARIOUS	80,230 27	0 00	126,951 33	Total of 4 lots
EMC CORP MASS / CUSIP 268648102 / Symbol EMC							
02/12/14	2,356 000	59,044 34	07/13/10	46,744 48	0 00	12,299 86	Sale
EXXON MOBIL CORP / CUSIP 30231G102 / Symbol XOM							
	3 tax lots for 01/30/14 Total proceeds (and cost when required) reported to the IRS						
	762 000	*71,482 76*	*10/01/07*	*70,485 00*	*0 00*	*997 76*	*Sale*
	181 000	*16,979 50*	*01/21/10*	*12,267 82*	*0 00*	*4,711 68*	*Sale*

*** This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Remember, taxpayers are ultimately responsible for the accuracy of their tax return(s).**

**For NONCOVERED tax lots, values for "Date acquired," "Cost or other basis" and "Adjustments & Code(s), if any" are provided for your reference and are NOT reported to the IRS For all tax lots, values for "Gain or loss(-)" and "Additional information" are provided for your reference and are NOT reported to the IRS

ATTACHMENT 6

THE FROG ROCK FOUNDATION
EIN: 13-4127228
TAX YEAR: 2014

LONG-TERM TRANSACTIONS *5- NONCOVERED tax lots 3- Basis NOT reported to the IRS***

Report on Form 8949, Part II, with Box E checked

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
EXXON MOBIL CORP / CUSIP 30231G102 / Symbol XOM (cont'd)							
	344 000	*32,270 43*	*07/13/10*	*20,402 38*	*0 00*	*11,868 05*	*Sale*
01/30/14	1,287 000	120,732 69	VARIOUS	103,155 20	0 00	17,577 49	Total of 3 lots
FIRST EAGLE GLOBAL FUNDS CLASS I / CUSIP 32008F606 / Symbol MFHSSH							
09/30/14	1,803.101	100,000.00	03/30/11	86,900 05	0.00	13,099.95	Sale
	4 tax lots for 12/18/14. Total proceeds (and cost when required) reported to the IRS						
	3,384 183	*178,684 87*	*03/30/11*	*163,099 95*	*0 00*	*15,584 92*	*Sale*
	0 163	*8 61*	*12/14/11*	*7 30*	*0 00*	*1 31*	*Sale*
	61 166	*3,229 55*	*12/14/11*	*2,735 15*	*0 00*	*494.40*	*Sale*
	71 123	*3,755 29*	*12/14/11*	*3,180 40*	*0.00*	*574.89*	*Sale*
12/18/14	3,516 635	185,678.32	VARIOUS	169,022 80	0 00	16,655 52	Total of 4 lots
	Security total	285,678 32		255,922 85	0 00	29,755 47	
INTERCONTINENTALEXCHANGE GROUP / CUSIP 45866F104 / Symbol ICE							
04/23/14	444 000	89,561.70	07/13/10	47,791 69	0 00	41,770 01	Sale
INTL BUSINESS MACH / CUSIP. 459200101 / Symbol IBM							
	4 tax lots for 02/04/14. Total proceeds (and cost when required) reported to the IRS						
	340 000	*58,817 41*	*10/21/09*	*41,810 65*	*0 00*	*17,006 76*	*Sale*
	94 000	*16,261 29*	*12/29/09*	*12,418 06*	*0 00*	*3,843 23*	*Sale*
	85 000	*14,704 35*	*01/21/10*	*11,048 29*	*0 00*	*3,656 06*	*Sale*
	84 000	*14,531 36*	*07/13/10*	*10,872 51*	*0 00*	*3,658 85*	*Sale*
02/04/14	603 000	104,314 41	VARIOUS	76,149.51	0 00	28,164.90	Total of 4 lots
JPMORGAN CHASE & CO / CUSIP 46625H100 / Symbol JPM							
	4 tax lots for 03/05/14 Total proceeds (and cost when required) reported to the IRS.						
	840 000	*48,781.56*	*10/21/09*	*38,731.73*	*0 00*	*10,049.83*	*Sale*
	274 000	*15,912 08*	*12/29/09*	*11,422 24*	*0 00*	*4,489 84*	*Sale*
	211 000	*12,253 47*	*01/21/10*	*8,881 78*	*0 00*	*3,371 69*	*Sale*
	111.000	*6,446 13*	*07/13/10*	*4,447.26*	*0 00*	*1,998 87*	*Sale*
03/05/14	1,436 000	83,393 24	VARIOUS	63,483 01	0.00	19,910.23	Total of 4 lots

---

*** This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Remember, taxpayers are ultimately responsible for the accuracy of their tax return(s).**

**For NONCOVERED tax lots, values for "Date acquired," "Cost or other basis" and "Adjustments & Code(s), if any" are provided for your reference and are NOT reported to the IRS For all tax lots, values for "Gain or loss(-)" and "Additional information" are provided for your reference and are NOT reported to the IRS

ATTACHMENT 6

THE FROG ROCK FOUNDATION
EIN: 13-4127228
TAX YEAR: 2014

LONG-TERM TRANSACTIONS *5- NONCOVERED tax lots 3- Basis NOT reported to the IRS***

Report on Form 8949, Part II, with Box E checked

1a- Description of property/CUSIP/Symbol 1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
JOHNSON & JOHNSON COM COMMON STOCK / CUSIP 478160104 / Symbol JNJ							
	4 tax lots for 12/05/14 Total proceeds (and cost when required) reported to the IRS.						
	590 000	*63,356 28*	*10/21/09*	*35,848 15*	*0.00*	*27,508 13*	*Sale*
	163 000	*17,503 52*	*12/29/09*	*10,604 37*	*0 00*	*6,899 15*	*Sale*
	143 000	*15,355.84*	*01/21/10*	*9,277 66*	*0 00*	*6,078 18*	*Sale*
	146 000	*15,678.00*	*07/13/10*	*8,875.32*	*0 00*	*6,802 68*	*Sale*
12/05/14	1,042 000	111,893 64	VARIOUS	64,605.50	0 00	47,288.14	Total of 4 lots
MCDONALDS CORP / CUSIP 580135101 / Symbol MCD							
	4 tax lots for 03/14/14. Total proceeds (and cost when required) reported to the IRS						
	585 000	*57,118 55*	*10/21/09*	*34,367 29*	*0 00*	*22,751.26*	*Sale*
	159 000	*15,524.52*	*12/29/09*	*10,137 60*	*0 00*	*5,386 92*	*Sale*
	139 000	*13,571 76*	*01/21/10*	*8,801 09*	*0 00*	*4,770 67*	*Sale*
	124 000	*12,107 18*	*07/13/10*	*8,761 75*	*0 00*	*3,345 43*	*Sale*
03/14/14	1,007 000	98,322 01	VARIOUS	62,067 73	0 00	36,254 28	Total of 4 lots
METLIFE INC / CUSIP 59156R108 / Symbol MET							
02/24/14	1,695 000	86,549 80	12/10/10	74,257 95	0 00	12,291 85	Sale
NEXTERA ENERGY INC COM / CUSIP. 65339F101 / Symbol NEE							
03/05/14	1,317 000	119,606 02	07/13/10	68,793 72	0 00	50,812 30	Sale
NOVARTIS AG SPON ADR / CUSIP 66987V109 / Symbol NVS							
	3 tax lots for 03/14/14 Total proceeds (and cost when required) reported to the IRS						
	435 000	*35,543 06*	*10/21/09*	*22,675 94*	*0 00*	*12,867.12*	*Sale*
	249 000	*20,345 34*	*12/29/09*	*13,661 88*	*0 00*	*6,683 46*	*Sale*
	107.000	*8,742.78*	*01/21/10*	*5,795 36*	*0 00*	*2,947 42*	*Sale*
03/14/14	791 000	64,631 18	VARIOUS	42,133 18	0 00	22,498.00	Total of 3 lots
OCCIDENTAL PETROLEUM CRP COMMON STOCK / CUSIP 674599105 / Symbol OXY							
	4 tax lots for 02/04/14 Total proceeds (and cost when required) reported to the IRS						
	330 000	*28,940.03*	*10/21/09*	*27,559 42*	*0.00*	*1,380.61*	*Sale*
	98 000	*8,594 32*	*12/29/09*	*8,063 44*	*0 00*	*530 88*	*Sale*
	82 000	*7,191 16*	*01/21/10*	*6,394 36*	*0 00*	*796 80*	*Sale*

*** This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Remember, taxpayers are ultimately responsible for the accuracy of their tax return(s).**

**For NONCOVERED tax lots, values for "Date acquired," "Cost or other basis" and "Adjustments & Code(s), if any" are provided for your reference and are NOT reported to the IRS For all tax lots, values for "Gain or loss(-)" and "Additional information" are provided for your reference and are NOT reported to the IRS

ATTACHMENT 6

THE FROG ROCK FOUNDATION
EIN: 13-4127228
TAX YEAR: 2014

LONG-TERM TRANSACTIONS *5- NONCOVERED tax lots 3- Basis NOT reported to the IRS***

Report on Form 8949, Part II, with Box E checked

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
OCCIDENTAL PETROLEUM CRP COMMON STOCK / CUSIP 674599105 / Symbol OXY (cont'd)							
	74 000	*6,489 58*	*07/13/10*	*6,061 25*	*0 00*	*428.33*	*Sale*
02/04/14	584.000	51,215 09	VARIOUS	48,078 47	0 00	3,136 62	Total of 4 lots
PEPSICO INC COMMON STOCK / CUSIP 713448108 / Symbol PEP							
	5 tax lots for 03/05/14	*Total proceeds (and cost when required) reported to the IRS*					
	281 000	*22,731 66*	*06/13/07*	*18,488.85*	*0.00*	*4,242 81*	*Sale*
	149 000	*12,053 45*	*06/20/07*	*9,832 21*	*0 00*	*2,221 24*	*Sale*
	400 000	*32,358 23*	*10/01/07*	*29,416 00*	*0 00*	*2,942 23*	*Sale*
	201.000	*16,260.02*	*01/21/10*	*12,478 77*	*0 00*	*3,781 25*	*Sale*
	426 000	*34,461 52*	*07/13/10*	*27,263.57*	*0.00*	*7,197 95*	*Sale*
03/05/14	1,457.000	117,864 88	VARIOUS	97,479 40	0 00	20,385 48	Total of 5 lots
SCHLUMBERGER LTD NETHERLANDS ANTILLES FOREIGN STOCK / CUSIP 806857108 / Symbol SLB							
	2 tax lots for 02/04/14	*Total proceeds (and cost when required) reported to the IRS*					
	802 000	*70,055 08*	*03/11/10*	*50,965 66*	*0 00*	*19,089 42*	*Sale*
	80 000	*6,988 04*	*07/13/10*	*4,716 00*	*0 00*	*2,272 04*	*Sale*
02/04/14	882 000	77,043 12	VARIOUS	55,681 66	0 00	21,361 46	Total of 2 lots
TEVA PHARMACEUTICALS IND LTD ISRAEL ADR / CUSIP 881624209 / Symbol TEVA							
	4 tax lots for 01/30/14	*Total proceeds (and cost when required) reported to the IRS*					
	75 000	*3,421 76*	*10/21/09*	*3,869 63*	*0 00*	*-447 87*	*Sale*
	321 000	*14,645 15*	*12/29/09*	*17,869 59*	*0 00*	*-3,224.44*	*Sale*
	292.000	*13,322.06*	*01/21/10*	*17,050 10*	*0 00*	*-3,728 04*	*Sale*
	341 000	*15,557 61*	*07/13/10*	*18,508 92*	*0 00*	*-2,951 31*	*Sale*
01/30/14	1,029 000	46,946 58	VARIOUS	57,298 24	0 00	-10,351 66	Total of 4 lots
THERMO FISHER SCIENTIFIC INC / CUSIP. 883556102 / Symbol TMO							
	4 tax lots for 05/14/14	*Total proceeds (and cost when required) reported to the IRS*					
	745 000	*87,572 07*	*10/21/09*	*35,547 38*	*0 00*	*52,024 69*	*Sale*
	217 000	*25,507 57*	*12/29/09*	*10,532.64*	*0 00*	*14,974.93*	*Sale*
	177 000	*20,805 71*	*01/21/10*	*8,660 74*	*0 00*	*12,144.97*	*Sale*

*** This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Remember, taxpayers are ultimately responsible for the accuracy of their tax return(s).**

**For NONCOVERED tax lots, values for "Date acquired," "Cost or other basis" and "Adjustments & Code(s), if any" are provided for your reference and are NOT reported to the IRS For all tax lots, values for "Gain or loss(-)" and "Additional information" are provided for your reference and are NOT reported to the IRS

ATTACHMENT 6

THE FROG ROCK FOUNDATION
EIN: 13-4127228
TAX YEAR: 2014

LONG-TERM TRANSACTIONS *5- NONCOVERED tax lots 3- Basis NOT reported to the IRS***

Report on Form 8949, Part II, with Box E checked

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
THERMO FISHER SCIENTIFIC INC / CUSIP 883556102 / Symbol TMO (cont'd)							
	197.000	*23,156.64*	*07/13/10*	*9,674 93*	*0 00*	*13,481 71*	*Sale*
05/14/14	1,336 000	157,041 99	VARIOUS	64,415 69	0 00	92,626 30	Total of 4 lots
3M CO / CUSIP 88579Y101 / Symbol MMM							
03/05/14	959.000	127,420 86	07/13/10	80,533 85	0 00	46,887 01	Sale
TRAVELERS COS INC/THE / CUSIP 89417E109 / Symbol TRV							
	4 tax lots for 12/05/14 Total proceeds (and cost when required) reported to the IRS						
	725 000	*76,402 44*	*10/21/09*	*35,310 84*	*0 00*	*41,091 60*	*Sale*
	209 000	*22,024 98*	*12/29/09*	*10,439.03*	*0 00*	*11,585 95*	*Sale*
	175 000	*18,441.96*	*01/21/10*	*8,558 90*	*0.00*	*9,883 06*	*Sale*
	167 000	*17,598 91*	*07/13/10*	*8,595 92*	*0 00*	*9,002 99*	*Sale*
12/05/14	1,276 000	134,468 29	VARIOUS	62,904 69	0 00	71,563 60	Total of 4 lots
UNTD TECHNOLOGIES CORP COMMON STOCK / CUSIP 913017109 / Symbol UTX							
	3 tax lots for 10/10/14 Total proceeds (and cost when required) reported to the IRS						
	600 000	*59,956 67*	*10/01/07*	*48,444 00*	*0 00*	*11,512 67*	*Sale*
	222 000	*22,183 97*	*01/21/10*	*15,859 85*	*0 00*	*6,324 12*	*Sale*
	785 000	*78,443 32*	*07/13/10*	*53,202 59*	*0 00*	*25,240 73*	*Sale*
10/10/14	1,607 000	160,583 96	VARIOUS	117,506 44	0 00	43,077 52	Total of 3 lots
YUM! BRANDS INC / CUSIP 988498101 / Symbol YUM							
	4 tax lots for 12/05/14. Total proceeds (and cost when required) reported to the IRS						
	815 000	*63,438 28*	*10/21/09*	*28,612 61*	*0 00*	*34,825 67*	*Sale*
	240 000	*18,681 21*	*12/29/09*	*8,485 80*	*0 00*	*10,195 41*	*Sale*
	200 000	*15,567.68*	*01/21/10*	*7,042 25*	*0 00*	*8,525.43*	*Sale*
	146 000	*11,364 40*	*07/13/10*	*6,034 25*	*0 00*	*5,330 15*	*Sale*
12/05/14	1,401 000	109,051 57	VARIOUS	50,174 91	0 00	58,876 66	Total of 4 lots
	Totals:	**3,326,842.62**		**2,135,191.15**	**0.00**	**1,191,651.47**	

*** This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Remember, taxpayers are ultimately responsible for the accuracy of their tax return(s).**

**For NONCOVERED tax lots, values for "Date acquired," "Cost or other basis" and "Adjustments & Code(s), if any" are provided for your reference and are NOT reported to the IRS For all tax lots, values for "Gain or loss(-)" and "Additional information" are provided for your reference and are NOT reported to the IRS

ATTACHMENT 6

THE FROG ROCK FOUNDATION
EIN: 13-4127228
TAX YEAR: 2014

LONG-TERM TRANSACTIONS

*5- NONCOVERED tax lots 3- Basis NOT reported to the IRS***

Report on Form 8949, Part II, with Box E checked

1a- Description of property/CUSIP/Symbol 1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
ADOBE SYSTEMS INC NOTE RATE 3 25 % MATURES 02/01/2015 / CUSIP 00724FAA9 / Symbol							
12/05/14	75,000.000	75,132.00	04/24/12	75,275 96	0 00	-143.96	Sale Original basis: $79,865 25
ALCOA INC RATE 5 40 % MATURES 04/15/2021 CALLABLE DATED DATE 04/21/2011 / CUSIP 013817AV3 / Symbol							
05/05/14	75,000 000	78,583 50	03/27/13	78,457 56	0 00	125 94	Sale Original basis $78,914 25
CENTURYLINK INC NOTE RATE 5 15 % MATURES 06/15/2017 / CUSIP. 156700AQ9 / Symbol.							
01/16/14	75,000 000	80,254 50	01/14/13	80,469 35	0 00	-214 85	Sale Original basis $81,982 50
CITIZENS COMMUNCTNS M-W+50BP NOTE RATE 9.00 % MATURES 08/15/2031 CALLABLE / CUSIP. 17453BAJ0 / Symbol							
05/05/14	25,000 000	25,685 25	01/10/07	27,656 43	0 00	-1,971 18	Sale Original basis $27,699 00
COMCAST CABLE NOTE RATE 8.50 % MATURES 05/01/2027 / CUSIP 20029PAH2 / Symbol.							
08/25/14	44,000 000	61,920 35	06/25/13	58,885 11	0 00	3,035 24	Sale Original basis $59,852 29
COMMERCIAL CREDIT GROUP INC RATE 7 875 % MATURES 02/01/2025 / CUSIP. 201615CY5 / Symbol							
09/29/14	75,000 000	96,536 25	02/12/13	97,797 72	0 00	-1,261 47	Sale Original basis $100,580.25
DELL INC NOTE SERIES WI RATE 6 50 % MATURES 04/15/2038 / CUSIP 24702RAF8 / Symbol							
09/29/14	75,000 000	68,490 75	01/25/13	72,005 25	0 00	-3,514 50	Sale Original basis $72,005 25
FNMA - CALLABLE RATE 4 625 % MATURES 10/15/2014 DATED DATE 09/17/2004 / CUSIP 31359MWJ8 / Symbol							
10/15/14	13,000 000	13,000 00	07/20/05	13,000 00	0 00	0 00	Sale
FISERV INC NOTE RATE 3 50 % MATURES 10/01/2022 CALLABLE DATED DATE 09/25/2012 / CUSIP. 337738AM0 / Symbol							
09/29/14	75,000 000	74,545 50	09/27/12	76,164 29	0 00	-1,618 79	Sale Original basis $76,411 50
GOLDMAN SACHS CAPITAL I CALL@M/W+20BP RATE 6 345 % MATURES 02/15/2034 CALLABLE / CUSIP 38143VAA7 / Symbol							
07/18/14	75,000 000	83,457.83	02/27/13	79,976 21	0 00	3,481 62	Sale Original basis: $80,161 50

*** This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Remember, taxpayers are ultimately responsible for the accuracy of their tax return(s).**

**For NONCOVERED tax lots, values for "Date acquired," "Cost or other basis" and "Adjustments & Code(s), if any" are provided for your reference and are NOT reported to the IRS For all tax lots, values for "Gain or loss(-)" and "Additional information" are provided for your reference and are NOT reported to the IRS

ATTACHMENT 7

THE FROG ROCK FOUNDATION
EIN: 13-4127228
TAX YEAR: 2014

LONG-TERM TRANSACTIONS *5- NONCOVERED tax lots 3- Basis NOT reported to the IRS***

Report on Form 8949, Part II, with Box E checked

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
HEWLETT PACKARD CO CALL@M/W+30BP NOTE RATE 5 50 % / CUSIP 428236AS2 / Symbol							
01/13/14	51,000.000	57,566 10	11/14/11	56,579.40	0 00	986 70	Sale Original basis $59,266 23
JP MORGAN CHASE B/E 05 150% 052949 DTD042313 FC110113 / CUSIP 48124BAC9 / Symbol							
10/16/14	75,000 000	72,162 19	04/18/13	77,174 32	0 00	-5,012 13	Sale Note 25 Original basis $77,208 75
MARRIOTT INTL INC CALL@M/WT+20 NOTE RATE 6 375 % MATURES 06/15/2017 CALLABLE / CUSIP 571903AG8 / Symbol							
07/18/14	50,000 000	56,345 25	11/02/11	54,700 82	0 00	1,644 43	Sale Original basis $58,736 25
PLAINS EXPLORATION & PROD CO NOTE RATE 6 875 % MATURES 02/15/2023 CALLABLE / CUSIP 726505AP5 / Symbol							
09/03/14	65,000 000	75,017.75	08/08/13	70,280 06	0 00	4,737.69	Sale Original basis $70,788 41
SAFEWAY INC NOTE RATE 4 75 % MATURES 12/01/2021 CALLABLE DATED DATE 12/05/2011 / CUSIP. 786514BU2 / Symbol.							
12/05/14	50,000 000	50,242 25	01/31/13	51,197 72	0 00	-955 47	Sale Original basis $51,458 75
SUNAMERICA INC RATE 8 125 % MATURES 04/28/2023 INTEREST FROM DATE 04/28/1993 / CUSIP 866930AB6 / Symbol							
02/24/14	75,000 000	93,836 25	02/21/13	96,646.22	0 00	-2,809 97	Sale Original basis $98,555 25
TELECOM ITALIA CPTL S A NOTE RATE 7.175 % MATURES 06/18/2019 / CUSIP 872456AA6 / Symbol							
09/12/14	100,000 000	112,927 75	08/20/13	107,824 38	0 00	5,103 37	Sale Original basis $109,321.25
UNITED STATES STEEL CORP NEW NOTE RATE 7 375 % MATURES 04/01/2020 / CUSIP 912909AF5 / Symbol							
06/09/14	100,000 000	109,059 75	06/06/13	101,324 46	0 00	7,735 29	Sale Original basis $101,505 25
VALERO ENERGY NOTE RATE 7 50 % MATURES 04/15/2032 / CUSIP. 91913YAE0 / Symbol							
08/18/14	59,000 000	76,822 19	06/25/13	72,375.48	0.00	4,446 71	Sale Original basis $72,880 28
WESTERN UNION CO MW+25BP RATE 6 20 % MATURES 11/17/2036 CALLABLE / CUSIP 959802AH2 / Symbol							
02/25/14	50,000 000	48,284 75	07/10/12	55,952 23	0 00	-7,667 48	Sale Original basis $56,165 25

*** This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Remember, taxpayers are ultimately responsible for the accuracy of their tax return(s).**

**For NONCOVERED tax lots, values for "Date acquired," "Cost or other basis" and "Adjustments & Code(s), if any" are provided for your reference and are NOT reported to the IRS For all tax lots, values for "Gain or loss(-)" and "Additional information" are provided for your reference and are NOT reported to the IRS

ATTACHMENT 7

THE FROG ROCK FOUNDATION
EIN: 13-4127228
TAX YEAR: 2014

LONG-TERM TRANSACTIONS *5- NONCOVERED tax lots 3- Basis NOT reported to the IRS***

Report on Form 8949, Part II, with Box E checked

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
WESTINGHOUSE ELEC CORP NTS NOTE RATE 7 875 % MATURES 09/01/2023 / CUSIP 960402AS4 / Symbol							
09/29/14	75,000.000	93,500.25	01/28/13	96,368 70	0 00	-2,868 45	Sale Original basis. $99,590 25
	Totals:	**1,503,370.41**		**1,500,111.67**	**0.00**	**3,258.74**	

ATTACHMENT 7

ATTACHMENT 1

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

DESCRIPTION		REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
UBS-INTEREST		120.	120.
	TOTAL	120.	120.

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

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME	ADJUSTED NET INCOME
UBS - INTEREST & DIVIDENDS	388,047.	388,047.	NONE
UBS - OID FROM BONDS	16,090.	16,090.	NONE
UBS - MARKET DISCOUNT ADJUSTMENT	107.	107.	NONE
LESS: AMORTIZATION OF BOND PREMIUM	-36,578.	-36,578.	NONE
LESS: ACCRUED INTEREST PAID	-30,555.	-30,555.	NONE
TOTAL	337,111.	337,111.	

THE FROG ROCK FOUNDATION 13-4127228

ATTACHMENT 3

FORM 990PF, PART I - ACCOUNTING FEES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME	ADJUSTED NET INCOME	CHARITABLE PURPOSES
ACCOUNTING FEES	37,200.	27,900.	NONE	9,300.
TOTALS	37,200.	27,900.		9,300.

ATTACHMENT 4

FORM 990PF, PART I - TAXES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
FOREIGN TAX PAID	695.	695.
FEDERAL TAX PAID	48,000.	NONE.
TOTALS	48,695.	695.

ATTACHMENT 5

FORM 990PF, PART I - OTHER EXPENSES

DESCRIPTION		REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME	CHARITABLE PURPOSES
INVESTMENT MANAGEMENT FEE		71,510.	71,510.	NONE
NYS FILING FEES		750.	NONE	750.
MEMBERSHIP FEES		725.	NONE	725.
MISC EXPENSE		251.	67.	184.
	TOTALS	73,236.	71,577.	1,659.

FORM 990PF, PART II - U.S. AND STATE OBLIGATIONS

ATTACHMENT 6

DESCRIPTION	BEGINNING BOOK VALUE	ENDING BOOK VALUE	ENDING FMV
GOVERNMENT SECURITIES (STMT 6A)	239,442.	367,294.	336,600.
US OBLIGATIONS TOTAL	239,442.	367,294.	336,600.

UBS Basis Reconciliation for 18245

Stocks	**Quantity**	**12/31/2014 Cost Basis**	**12/31/2014 Market Value**
Corp Bonds			
Equities Structured Products			
Corporate Bonds & Notes		$ 4,106,923 48	$ 4,023,496 04
Closed Ended Fund & Exchange Traded Funds		$ 117,364 79	$ 103,620 00
Preferred Securities		$ 53,725 25	$ 55,100 00
Other Structured Products		$ 281,569 54	$ 210,600 00
Total =		**$ 4,559,583.06**	**$ 4,392,816.04**
Government Securities			
Asset Backed Securities		$ 92,334 12	$ 91,520 98
Government Securities		$ 274,960 15	$ 275,078 75
Total =	**Total =**	**$ 367,294.27**	**$ 366,599.73**
Total Portfolio:		**$ 4,926,877.33**	**$ 4,759,415.77**

	Cost Basis	**Market Value**
Corporate Bonds & Fixed Income Securities	**$ 4,559,583.06**	**$ 4,392,816.04**
Government Securities	**$ 367,294.27**	**$ 366,599.73**
Total Accrued Interest		**58,654.95**
Cash and money balances	**$ 658,263.63**	**$ 658,263.63**
Total:	**$ 5,585,140.96**	**$ 5,476,334.35**

UBS Basis Reconciliation for 18245

	12/31/2013 Cost Basis	Sale Cost Basis	Purchase Price	Difference from Beginning	Amortization	Accretion/ (OID)	12/31/2014 Cost Basis
Mutual Funds							
	-			-	-	-	-
Total Mutual Fund	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Corp Bonds							
Adobe Systems Inc Nts 3 25% due 2/1/15	76,916 71	(75,275 96)		1,640 75	(1,640 75)	-	-
Petrobras Intl Fin Nts 3 5% due 02/06/17	77,914 34		76,572 00	154,486 34	(1,345 93)	-	153,140 41
Centurylink Inc Nts B/E 5 15% due 06/15/17	80,533 20	(80,469 35)		63 85	(63 85)	-	-
Marriott Intl Inc 6 375% due 06/15/17	55,541 61	(54,700 82)		840 79	(840 79)	-	-
Swiss Bank Corp NY 7 375% 061517			88,130 25	88,130 25	(3,614 07)	-	84,516 18
Biogen Idec Inc Nts 6 875% due 03/01/18	68,970 16			68,970 16	(2,051 97)	-	66,918 19
Hewlett Packard Co 5 5% due 03/01/18	56,621 83	(56,579 40)		42 43	(42 43)	-	-
CIT Group Inc B/E 5 25% due 03/15/18	53,441 53			53,441 53	(776 10)	-	52,665 43
Fifth Street Fin Corp Nts 4 875% due 3/1/19			104,323 25	104,323 25	(622 48)	-	103,700 77
Telecom Italia Capital SA 7 175% due 06/18/19	108,816 09	(107,824 38)		991 71	(991 71)	-	
Prospect Capital corp 5 0% due 7/15/19			104,080 25	104,080 25	(490 50)	-	103,589 75
United States Steel Corp 7 375% due 04/01/20	101,404 38	(101,324 46)		79 92	(79 92)	-	-
UBS AG Jersey Branch 4 0% 04/20/20	103,086 47			103,086 47	(446 03)	-	102,640 44
Anglogold Holdings 8 5% 07/30/20	102,233 16	(102,340 25)		(107 09)	-	107 09	-
Advanced Micro Devices 7 75% due 8/1/20			107,305 25	107,305 25	(673 25)	-	106,632 00
Navient Corp Nts 5 0% due 10/26/20			50,843 25	50,843 25	(19 29)	-	50,823 96
Ford Motor Credit Co 5 75% due 2/1/21			233,627 25	233,627 25	(3,205 95)	-	230,421 30
Alcoa Inc B/E 5 4% due 04/15/21	78,601 84	(78,457 56)		144 28	(144 28)	-	-
Kinross Gold Corp 5 125% due 9/1/21			101,188 25	101,188 25	(108 58)	-	101,079 67
GTE Corp 8 75% due 11/1/21			133,726 25	133,726 25	(2,623 44)	-	131,102 81
Safeway Inc Nts B/E 4 75% due 12/01/21	51,331 23	(51,197 72)		133 51	(133 51)	-	-
Hewlett Packard Co NTS 4 65% 12/09/21	51,378 65	(51,249 45)		129 20	(129 20)	-	-
PNC Funding Corp 3 3% due 3/8/22			106,252 69	106,252 69	(203 30)	-	106,049 39
Morgan Stanley 9 45% due 9/26/22	41,439 08			41,439 08	(3,221 36)	2,771 48	40,989 20
Fiserv Inc Nts 3 5% due 10/1/22	76,257 82	(76,164 29)		93 53	(93 53)	-	-
Aetna Inc Nts B/E 2 75% 11/15/22			70,706 25	70,706 25	-	-	70,706 25
Celanese US Holdings LLC 4 625% due 11/15/22			74,410 50	74,410 50	-	-	74,410 50
Frontier Communications 7 125% due 1/15/23			106,605 25	106,605 25	(477 57)	-	106,127 68
Kinder Morgan Energy B/E 3 45% due 2/15/23	95,221 25			95,221 25	-	-	95,221 25
Plains Exploration 6 875% due 02/15/23	108,619 32	(108,152 32)		467 00	(467 00)	-	-
Motorola Inc MtNS 3 5% due 03/01/23	49,995 25			49,995 25	-	-	49,995 25
Prospect Capital Corp 5 875% due 3/15/23			103,525 25	103,525 25	(236 85)	-	103,288 40
Concho Resources Inc 5 5% due 4/1/23			106,089 25	106,089 25	(428 91)	-	105,660 34
Sunamerica Inc 8 125% due 04/28/23	96,929 40	(96,646 22)		283 18	(283 18)	-	-
Barrick Gold Corp Nts 4 1% due 5/1/23			111,952 11	111,952 11	-	-	111,952 11
Halliburton Co 3 5% due 8/1/23			103,067 25	103,067 25	(201 58)	-	102,865 67
Westinghouse Elec Corp 7 875% due 09/01/23	97,829 80	(96,368 70)		1,461 10	(1,461 10)	-	-
Leucadia National Corp 5 5% due 10/18/23			104,762 25	104,762 25	(363 09)	-	104,399 16
Aspen Ins Holdings Ltd Nts 4 65% due 11/15/23			135,218 21	135,218 21	(278 40)	-	134,939 81
Mosaic Co B/E 4 25% due 11/15/23	75,958 89			75,958 89	(80 94)	-	75,877 95
Proassurance Corp Nts 5 3% due 11/15/23			108,603 25	108,603 25	(553 59)	-	108,049 66
Zions Bancorp 5 65% 11/15/23	77,043 88	(76,919 21)		124 67	(124 67)	-	-
Nasdaq OMX Group 4 25% due 6/1/24			101,358 25	101,358 25	(65 72)	-	101,292 53
Commercial Credit Group 7 875% due 02/01/25	99,091 23	(97,797 72)		1,293 51	(1,293 51)	-	-
Goldman Sachs Group Inc 4 0% due 3/3/24			101,777 25	101,777 25	(115 05)	-	101,662 20
Assured Gty US Holdings 5 0% due 7/1/24			104,166 25	104,166 25	(177 93)	-	103,988 32
Boeing Co 7 25% due 6/15/25	23,610 26			23,610 26	(239 00)	-	23,371 26
Williams Partners 3 9% due 01/15/25			99,749 25	99,749 25	-	-	99,749 25
Bank of America 4 25% due 10/22/26			100,667 25	100,667 25	(5 10)	-	100,662 15
Comcast Cable Nts 8 5% due 05/01/27	59,429 52	(58,885 11)		544 41	(544 41)	-	
Dell Computer 7 1% due 4/15/28	23,576 41			23,576 41	(173 30)	-	23,403 11
Goldman Sachs Group Inc 3 5% due 05/23/28	98,881 50			98,881 50	-	-	98,881 50
Deere & Co 6 55% due 10/1/28	23,575 22			23,575 22	(171 43)	-	23,403 79
Toyota Motor Credit Corp 3 0% due 6/20/29			50,005 25	50,005 25	(0 13)	-	50,005 12
Citizens Communications Notes 9% 8/15/31	27,681 52	(27,656 43)		25 09	(25 09)	-	-
Valero Energy Corp 7 5% due 04/15/32	72,656 00	(72,375 48)		280 52	(280 52)	-	-
Goldman Sachs Capital I 6 345% due 02/15/34	80,050 70	(79,976 21)		74 49	(74 49)	-	-
Western Union Co 6 2% Due 11/17/36	104,487 93	(104,467 48)		20 45	(20 45)	-	-
MS Nts 8 0% due 2/23/37	86,106 06			86,106 06	(4,580 45)	4,742 75	86,268 36
Dell Inc Nts Ser WI 6 5% 04/15/38	72,005 25	(72,005 25)		-	-	-	-
Petrobras Intl Fin 6 75% due 1/27/41			93,529 12	93,529 12	(41 00)	-	93,488 12
Kinross Gold Corp 6 875% due 9/1/41			98,009 25	98,009 25	-	-	98,009 25
Murphy Oil Corp 5 125% due 12/1/42			98,425 25	98,425 25	-	-	98,425 25
JPMorgan Chase B/E 5 15% due 05/29/49	148,448 42	(77,174 32)		71,274 10	(18 85)	-	71,255 25
PNC Financial Service Gr Inc 6 75% due 7/29/49			82,130 25	82,130 25	(49 86)	-	82,080 39
General Electric Cap 7 125% due 12/15/49	-		115,755 25	115,755 25	(108 61)	-	115,646 64
Citigroup Inc B/E 5 95% due 12/29/49	80,880 67			80,880 67	(54 79)	-	80,825 88
Lincoln National Corp 6 05% due 4/20/67	-		104,005 25	104,005 25	(6 11)	-	103,999 14
Total Corp Bonds:	**$ 2,786,566.58**	**$ (1,804,008.09)**	**$ 3,280,566.13**	**$ 4,263,124 62**	**$ (36,564 90)**	**$ 7,621 32**	**$ 4,234,181 04**

***Please refer to below for Transfer in Basis WP**

UBS Basis Reconciliation for 18245

	12/31/2013 Cost Basis	Sale Cost Basis	Purchase Price	Difference from Beginning	Amortization	Accretion/ (OID)	12/31/2014 Cost Basis
Fixed Income Securities							
Eaton Vance Floating Rate Income Trust	$ 66,701 97			66,701 97			$ 66,701 97
Morgan Stanley due 6/26/17	145,736 52			145,736 52	-	8,575 46	154,311 98
Morgan Stanley 7 125% Preferred			53,725 25	53,725 25			53,725 25
Powershares Senior Loan Portfolio	127,142 58	(76,389 95)		50,752 63	(89 81)	-	50,662 82
Total Fixed Income Securities:	**$ 339,581.07**	**$ (76,389.95)**	**$ 53,725.25**	**$ 316,916.37**	**$ (89.81)**	**$ 8,575.46**	**$ 325,402.02**
Total Corp Bonds & Fixed Income Securities	**$ 3,126,147.65**	**$ (1,880,398.04)**	**$ 3,334,291.38**	**$ 4,580,040.99**	**$ (36,654.71)**	**$ 16,196.78**	**$ 4,559,583 06**
					(89 81)	Rtn of Cap	
Government Securities:					(36,564 90)	Amortization	
FNMA 4 625% due 10/15/14	$ 13,012 65	$ (13,000 00)		$ 12 65	(12 65)	-	$ -
FHR 4024 3 0% due 3/15/27	$ 4,428 98	$ (2,011 58)		$ 2,417 40	-	-	$ 2,417 40
FNMA Step Up 2 0% due 7/30/32			$ 150,000 00	$ 150,000 00	-	-	$ 150,000 00
FNMA NTS 3 25% due 02/28/33	$ 124,960 34			$ 124,960 34	(0 19)	-	$ 124,960 15
GNMA PI 3 50% due 01/20/41	$ 97,040 48	$ (7,123 76)		$ 89,916 72	-	-	$ 89,916 72
Total Government Securities:	**$ 239,442.45**	**$ (22,135.34)**	**$ 150,000.00**	**$ 367,307.11**	**$ (12 84)**	**$ -**	**$ 367,294.27**
Bond Funds							
	-			$ -	-	-	-
Total Bond Funds:	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**
					(36,577 74)	Amortization	
					(89 81)	Return of Capital	
Total Portfolio:	**$ 3,365,590.10**	**$ (1,902,533.38)**	**$ 3,484,291.38**	**$ 4,947,348.10**	**$ (36,667.55)**	**$ 16,196.78**	**$ 4,926,877.33**

Your assets (continued)

Fixed income

Corporate bonds and notes

Prices are obtained from independent quotation bureaus that use computerized valuation formulas to calculate current values Actual market values may vary and thus gains/losses may not be accurately reflected Cost basis has been adjusted for accreted original issue discount (OID) Cost basis has been automatically adjusted for amortization of bond premium using the constant yield method If you have made a tax election to deduct the premium amortization on taxable debt securities, you may request UBS adjust cost basis for the bond premium amortization

Holding	Trade date	Total face value at maturity ($)	Purchase price ($)	Adjusted cost basis ($)	Price on Dec 31 ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
PETROBRAS INTL FIN NTS								
B/E								
RATE 03 500% MATURES 02/06/17								
ACCRUED INTEREST $2,114 58								
CUSIP 71645WAU5								
Moody Baa2 S&P BBB-								
EAI $5,250 Current yield 3 67%								
Original cost basis $78,755 25	Jan 25, 13	75,000 000	102 656	76,992 13	95 491	71,618 25	-5,373 88	LT
Original cost basis $76,572 00	Mar 13, 14	75,000 000	101 531	76,148 28	95 491	71,618 25	-4,530 03	ST
Security total		150,000 000		153,140 41		143,236 50	-9,903 91	
SWISS BANK CORP NY								
RATE 07 375% MATURES 06/15/17								
ACCRUED INTEREST $245 83								
CUSIP 87083KAM4								
Moody Baa3 S&P BBB								
EAI $5,531 Current yield 6 54%								
Original cost basis $88,130 25	Jan 15, 14	75,000 000	112 688	84,516 18	112 794	84,595 50	79 32	ST
BIOGEN IDEC INC NTS B/E								
CALL@MW+50BP								
RATE 06 875% MATURES 03/01/18								
ACCRUED INTEREST $1,375 00								
CUSIP 09062XAB9								
Moody Baa1 S&P A-								
EAI $4,125 Current yield 5 97%								
Original cost basis $73,239 45	Oct 21, 11	60,000 000	111 530	66,918 19	115 243	69,145 80	2,227 61	LT

continued next page

Your assets ▸ **Fixed income** ▸ **Corporate bonds and notes** (continued)

Holding	Trade date	Total face value at maturity ($)	Purchase price ($)	Adjusted cost basis ($)	Price on Dec 31 ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
CIT GROUP INC B/E RATE 05 250% MATURES 03/15/18 ACCRUED INTEREST $772 91 CUSIP 125581GL6 Moody Ba3 S&P BB- EAI $2,625 Current yield 5 04% Original cost basis $53,863 75	Jun 10, 13	50,000 000	105 330	52,665 43	104 250	52,125 00	-540 43	LT
FIFTH STREET FIN COR NTS CALL@MW+50BP RATE 04 875% MATURES 03/01/19 ACCRUED INTEREST $1,625 00 CUSIP 31679BAF7 S&P BBB- EAI $4,875 Current yield 4 77% Original cost basis $104,323 25	Mar 25, 14	100,000 000	103 700	103,700 77	102 100	102,100 00	-1,600 77	ST
PROSPECT CAPITAL CORP CALL@MW+50BP RATE 05 000% MATURES 07/15/19 ACCRUED INTEREST $2,305 56 CUSIP 74348TAN2 S&P BBB EAI $5,000 Current yield 4 91% Original cost basis $104,080 25	Apr 24, 14	100,000 000	103 589	103,589 75	101 755	101,755 00	-1,834 75	ST
UBS AG JERSEY BRNCH FOREIGN SECURITY RATE 04 000% MATURES 04/22/20 MED TERM NTS CALLABLE ACCRUED INTEREST $766 67 ISIN US90261JFP30 Moody A2 S&P A EAI $4,000 Current yield 3 99% Original cost basis $103,905 25	Jan 24, 12	100,000 000	102 640	102,640 44	100 255	100,255 00	-2,385 44	LT

continued next page

STATEMENT 6A

5 of 19

Your assets ▸ **Fixed income** ▸ **Corporate bonds and notes** (continued)

Holding	Trade date	Total face value at maturity ($)	Purchase price ($)	Adjusted cost basis ($)	Price on Dec 31 ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
ADVANCED MICRO DEVICES CALL@MW+50BP RATE 07 750% MATURES 08/01/20 CALLABLE ACCRUED INTEREST $3,229 17 CUSIP 007903AU1 Moody B2 S&P B EAI $7,750 Current yield 8 42% Original cost basis $107,305 25	Apr 24, 14	100,000 000	106 632	106,632 00	92 000	92,000 00	-14,632 00	ST
NAVIENT CORP NTS B/E 0BP RATE 05 000% MATURES 10/26/20 INTEREST EARNED FROM 11/06/14 1ST INTEREST PAYMENT 04/26/15 ACCRUED INTEREST $381 94 CUSIP 63938CAA6 Moody Ba3 S&P BB EAI $2,500 Current yield 5 10% Original cost basis $50,843 25	Nov 05, 14	50,000 000	101 647	50,823 96	98 125	49,062 50	-1,761 46	ST
FORD MOTOR CRDT CO NTS B/E RATE 05 750% MATURES 02/01/21 ACCRUED INTEREST $4,791 66 CUSIP 345397VR1 Moody Baa3 S&P BBB- EAI $11,500 Current yield 5 02% Original cost basis $233,627 25	Apr 17, 14	200,000 000	115 210	230,421 30	114 593	229,186 00	-1,235 30	ST
KINROSS GOLD CORP B/E 45BP B/E RATE 05 125% MATURES 09/01/21 CALLABLE ACCRUED INTEREST $1,708 33 CUSIP 496902AJ6 Moody Baa3 S&P BBB- EAI $5,125 Current yield 5 36% Original cost basis $101,188 25	Mar 12, 14	100,000 000	101 079	101,079 67	95 599	95,599 00	-5,480 67	ST

continued next page

STATEMENT 6A

Your assets ▸ **Fixed income** ▸ **Corporate bonds and notes** (continued)

Holding	Trade date	Total face value at maturity ($)	Purchase price ($)	Adjusted cost basis ($)	Price on Dec 31 ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
GTE CORP DEB RATE 08 750% MATURES 11/01/21 ACCRUED INTEREST $1,458 33 CUSIP 362320AT0 Moody Baa2 S&P BBB+ EAI $8,750 Current yield 6 69% Original cost basis $133,726 25	May 05, 14	100,000 000	131 102	131,102 81	130 742	130,742 00	-360 81	ST
PNC FUNDING CORP NTS B/E RATE 03 300% MATURES 03/08/22 ACCRUED INTEREST $1,077 26 CUSIP 693476BN2 Moody A3 S&P A- EAI $3,432 Current yield 3 21% Original cost basis $106,252 69	Mar 13, 14	104,000 000	101 970	106,049 39	102 842	106,955 68	906 29	ST
AETNA INC NTS B/E RATE 02 750% MATURES 11/15/22 CALLABLE ACCRUED INTEREST $263 54 CUSIP 008117AP8 Moody Baa2 S&P A EAI $2,063 Current yield 2 83%	Jan 16, 14	75,000 000	94 275	70,706 25	97 003	72,752 25	2,046 00	ST
CELANESE US HOLDINGS LLC CALL@MW+50BP RATE 04 625% MATURES 11/15/22 ACCRUED INTEREST $1,021 35 CUSIP 15089QAD6 Moody Ba2 S&P BB+ EAI $3,469 Current yield 4 67%	Jan 14, 14	75,000 000	99 214	74,410 50	99 000	74,250 00	-160 50	ST

continued next page

Your assets ▸ **Fixed income** ▸ **Corporate bonds and notes** (continued)

Holding	Trade date	Total face value at maturity ($)	Purchase price ($)	Adjusted cost basis ($)	Price on Dec 31 ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
FRONTIER COMMUNICATIONS CALL@MW+50BP RATE 07 125% MATURES 01/15/23 ACCRUED INTEREST $3,285 42 CUSIP 35906AAM0 Moody Ba3 S&P BB- EAI $7,125 Current yield 7 00% Original cost basis $106,605 25	Mar 05, 14	100,000 000	106 127	106,127 68	101 750	101,750 00	-4,377 68	ST
KINDER MORGAN ENERGY B/E 0BP RATE 03 450% MATURES 02/15/23 CALLABLE ACCRUED INTEREST $1,303 33 CUSIP 494550BM7 Moody Baa3 S&P BBB- EAI $3,450 Current yield 3 60%	Dec 26, 13	100,000 000	95 221	95,221 25	95 726	95,726 00	504 75	LT
MOTOROLA INC MTNS CALL@MW+30BP RATE 03 500% MATURES 03/01/23 ACCRUED INTEREST $583 33 CUSIP 620076BC2 Moody Baa2 S&P BBB EAI $1,750 Current yield 3 56%	Mar 07, 13	50,000 000	99 990	49,995 25	98 435	49,217 50	-777 75	LT
PROSPECT CAPITAL CORP B/E RATE 05 875% MATURES 03/15/23 ACCRUED INTEREST $1,729 86 CUSIP 74348TAJ1 S&P BBB EAI $5,875 Current yield 5 71% Original cost basis $103,525 25	Apr 01, 14	100,000 000	103 288	103,288 40	102 810	102,810 00	-478 40	ST

continued next page

Your assets › **Fixed income** › **Corporate bonds and notes** (continued)

Holding	Trade date	Total face value at maturity ($)	Purchase price ($)	Adjusted cost basis ($)	Price on Dec 31 ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
CONCHO RESOURCES INC B/E CALL@MW+50BP RATE 05 500% MATURES 04/01/23 CALLABLE ACCRUED INTEREST $1,375 00 CUSIP 20605PAE1 Moody Ba3 S&P BB+ EAI $5,500 Current yield 5 47% Original cost basis $106,089 25	Mar 24, 14	100,000 000	105 660	105,660 34	100 470	100,470 00	-5,190 34	ST
BARRICK GOLD CORP NTS CALL@MW+37 5BP RATE 04 100% MATURES 05/01/23 ACCRUED INTEREST $778 99 CUSIP 067901AQ1 Moody Baa2 S&P BBB EAI $4,674 Current yield 4 21%	Apr 14, 14	114,000 000	98 203	111,952 11	97 320	110,944 80	-1,007 31	ST
HALLIBURTON CO CALL@MW+15BP RATE 03 500% MATURES 08/01/23 CALLABLE ACCRUED INTEREST $1,458 33 CUSIP 406216BD2 Moody A2 S&P A EAI $3,500 Current yield 3 47% Original cost basis $103,067 25	Apr 21, 14	100,000 000	102 865	102,865 67	100 910	100,910 00	-1,955 67	ST
LEUCADIA NATL CORP B/E CALL@MW+45BP RATE 05 500% MATURES 10/18/23 CALLABLE ACCRUED INTEREST $1,115 28 CUSIP 527288BE3 Moody Ba2 S&P BBB- EAI $5,500 Current yield 5 37% Original cost basis $104,762 25	Feb 12, 14	100,000 000	104 399	104,399 16	102 412	102,412 00	-1,987 16	ST

continued next page

STATEMENT 6A

9 of 19

Your assets ‣ **Fixed income** ‣ **Corporate bonds and notes** (continued)

Holding	Trade date	Total face value at maturity ($)	Purchase price ($)	Adjusted cost basis ($)	Price on Dec 31 ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
ASPEN INS HLDGS LTD NTS CALL@MW+30BP RATE 04 650% MATURES 11/15/23 ACCRUED INTEREST $778 36 CUSIP 04530DAD4 Moody Baa2 S&P BBB+ EAI $6,092 Current yield 4 48% Original cost basis $135,218 21	Mar 25, 14	131,000 000	103 007	134,939 81	103 867	136,065 77	1,125 96	ST
PROASSURANCE CORP NTS CALL@MW+40BP RATE 05 300% MATURES 11/15/23 ACCRUED INTEREST $677 22 CUSIP 74267CAC0 Moody Baa2 S&P BBB+ EAI $5,300 Current yield 4 84% Original cost basis $108,603 25	Apr 03, 14	100,000 000	108 049	108,049 66	109 436	109,436 00	1,386 34	ST
MOSAIC CO B/E CALL@MW+25BP RATE 04 250% MATURES 11/15/23 CALLABLE ACCRUED INTEREST $407 29 CUSIP 61945CAC7 Moody Baa1 S&P BBB EAI $3,188 Current yield 4 03% Original cost basis $75,963 75	Dec 09, 13	75,000 000	101 170	75,877 95	105 520	79,140 00	3,262 05	LT
GOLDMAN SACHS GROUP INC B/E RATE 04 000% MATURES 03/03/24 ACCRUED INTEREST $1,311 11 CUSIP 38141GVM3 Moody Baa1 S&P A- EAI $4,000 Current yield 3 85% Original cost basis $101,777 25	Mar 26, 14	100,000 000	101 662	101,662 20	103 815	103,815 00	2,152 80	ST

continued next page

Your assets ▸ **Fixed income** ▸ **Corporate bonds and notes** (continued)

Holding	Trade date	Total face value at maturity ($)	Purchase price ($)	Adjusted cost basis ($)	Price on Dec 31 ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
NASDAQ OMX GROUP CALL@MW+30BP RATE 04 250% MATURES 06/01/24 CALLABLE ACCRUED INTEREST $354 17 CUSIP 631103AF5 Moody Baa3 S&P BBB- EAI $4,250 Current yield 4 15% Original cost basis $101,358 25	May 23, 14	100,000 000	101 292	101,292 53	102 488	102,488 00	1,195 47	ST
ASSURED GTY US HLDGS INC 0BP B/E RATE 05 000% MATURES 07/01/24 INTEREST EARNED FROM 06/20/14 1ST INTEREST PAYMENT 01/01/15 ACCRUED INTEREST $2,652 78 CUSIP 04621WAC4 Moody Baa2 S&P A EAI $5,000 Current yield 4 74% Original cost basis $104,166 25	Jun 19, 14	100,000 000	103 988	103,988 32	105 494	105,494 00	1,505 68	ST
WILLIAMS PARTNERS LP B/E CALL@MW+20BP RATE 03 900% MATURES 01/15/25 INTEREST EARNED FROM 06/27/14 1ST INTEREST PAYMENT 01/15/15 CALLABLE ACCRUED INTEREST $1,993 33 CUSIP 96950FAQ7 Moody Baa2 S&P BBB EAI $3,900 Current yield 4 06%	Nov 24, 14	100,000 000	99 749	99,749 25	96 108	96,108 00	-3,641 25	ST

continued next page

STATEMENT 6A

11 of 19

Your assets ▸ **Fixed income** ▸ **Corporate bonds and notes** (continued)

Holding	Trade date	Total face value at maturity ($)	Purchase price ($)	Adjusted cost basis ($)	Price on Dec 31 ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
BOEING CO DEBS RATE 07 250% MATURES 06/15/25 ACCRUED INTEREST $64 44 CUSIP 097023AM7 Moody A2 S&P A EAI $1,450 Current yield 5 45% Original cost basis $24,378 05	May 19, 10	20,000 000	116 856	23,371 26	132 934	26,586 80	3,215 54	LT
BANK OF AMER CORP MED TERM NTS RATE 04 250% MATURES 10/22/26 INTEREST EARNED FROM 10/22/14 1ST INTEREST PAYMENT 04/22/15 ACCRUED INTEREST $814 58 CUSIP 06051GFL8 Moody Baa3 S&P BBB+ EAI $4,250 Current yield 4 26% Original cost basis $100,667 25	Nov 20, 14	100,000 000	100 662	100,662 15	99 775	99,775 00	-887 15	ST
DELL COMPUTER CORP 15BP RATE 07 100% MATURES 04/15/28 ACCRUED INTEREST $299 77 CUSIP 247025AE9 Moody B1 S&P BB+ EAI $1,420 Current yield 6 70% Original cost basis $24,131 45	May 19, 10	20,000 000	117 015	23,403 11	106 000	21,200 00	-2,203 11	LT
GOLDMAN SACHS GROUP INC STEP UP CALL RATE 03 500% MATURES 05/23/28 ACCRUED INTEREST $365 74 CUSIP 38141GTX2 Moody Baa1 S&P A- EAI $3,465 Current yield 3 64%	May 28, 13	99,000 000	99 875	98,881 50	96 109	95,147 91	-3,733 59	LT

continued next page

Your assets ▸ **Fixed income** ▸ **Corporate bonds and notes** (continued)

Holding	Trade date	Total face value at maturity ($)	Purchase price ($)	Adjusted cost basis ($)	Price on Dec 31 ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
DEERE & CO B/E RATE 06 550% MATURES 10/01/28 ACCRUED INTEREST $327 50 CUSIP 244199AW5 Moody A2 S&P A EAI $1,310 Current yield 5 01% Original cost basis $24,129 85	May 19, 10	20,000 000	117 018	23,403 79	130 799	26,159 80	2,756 01	LT
TOYOTA MOTOR CREDIT CORP STEP-UP RATE 03 000% MATURES 06/20/29 CALLABLE ACCRUED INTEREST $45 83 CUSIP 89236TBK0 Moody Aa3 S&P AA- EAI $1,500 Current yield 3 01% Original cost basis $50,005 25	Jun 25, 14	50,000 000	100 010	50,005 12	99 588	49,794 00	-211 12	ST
PETROBRAS INTL FIN B/E KE-WHOLE +35BP RATE 06 750% MATURES 01/27/41 ACCRUED INTEREST $2,569 87 CUSIP 71645WAS0 Moody Baa2 S&P BBB- EAI $6,008 Current yield 7 42% Original cost basis $93,529 12	May 23, 14	89,000 000	105 042	93,488 12	90 957	80,951 73	-12,536 39	ST
KINROSS GOLD CORP B/E CALL@MW+50BP RATE 06 875% MATURES 09/01/41 ACCRUED INTEREST $2,291 67 CUSIP 496902AK3 Moody Baa3 S&P BBB- EAI $6,875 Current yield 7 23%	Mar 24, 14	100,000 000	98 009	98,009 25	95 076	95,076 00	-2,933 25	ST

continued next page

STATEMENT 6A

13 of 19

Your assets ▸ **Fixed income** ▸ **Corporate bonds and notes** (continued)

Holding	Trade date	Total face value at maturity ($)	Purchase price ($)	Adjusted cost basis ($)	Price on Dec 31 ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
MURPHY OIL CORP B/E 5 125% 120142 DTD113012 FC060113 CALL@MW+35BP ACCRUED INTEREST $427 08 CUSIP 626717AG7 Moody Baa3 S&P BBB EAI $5,125 Current yield 6 03%	Jun 05, 14	100,000 000	98 420	98,425 25	85 045	85,045 00	-13,380 25	ST
JP MORGAN CHASE B/E RATE 05 150% MATURES 05/29/49 CALLABLE ACCRUED INTEREST $643 74 CUSIP 48124BAC9 Moody Ba1 S&P BBB- EAI $3,863 Current yield 5 47%	Jul 25, 13	75,000 000	95 000	71,255 25	94 200	70,650 00	-605 25	LT
PNC FINANCIAL SERVICES WT EXP NTS RATE 06 750% MATURES 07/29/49 ACCRUED INTEREST $2,109 37 CUSIP 693475AK1 Moody Baa3 S&P BBB- EAI $5,063 Current yield 6 15% Original cost basis $82,130 25	Feb 25, 14	75,000 000	109 440	82,080 39	109 750	82,312 50	232 11	ST
GENL ELECT CAP CORP B/E RATE 07 125% MATURES 12/15/49 CALLABLE ACCRUED INTEREST $316 67 CUSIP 369622SN6 Moody Baa1 S&P A+ EAI $7,125 Current yield 6 12% Original cost basis $115,755 25	Feb 25, 14	100,000 000	115 646	115,646 64	116 375	116,375 00	728 36	ST

continued next page

Your assets ▸ **Fixed income** ▸ Corporate bonds and notes (continued)

Holding	Trade date	Total face value at maturity ($)	Purchase price ($)	Adjusted cost basis ($)	Price on Dec 31 ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
CITIGROUP INC B/E RATE 05 950% MATURES 12/29/49 CALLABLE ACCRUED INTEREST $1,859 37 CUSIP 172967GD7 Moody Ba3 S&P BB EAI $4,463 Current yield 6 04% Original cost basis $80,911 50	May 28, 13	75,000 000	107 767	80,825 88	98 500	73,875 00	-6,950 88	LT
LINCOLN NATL CORP IND CALL @ MW + 25 BP RATE 06 050% MATURES 04/20/67 ACCRUED INTEREST $1,193 19 CUSIP 534187AU3 Moody Baa3 S&P BBB EAI $6,050 Current yield 6 05% Original cost basis $104,005 25	Jun 24, 14	100,000 000	103 999	103,999 14	100 000	100,000 00	-3,999 14	ST
Total		**$3,932,000.000**		**$4,106,923.48**		**$4,023,496.04**	**-$83,427.44**	

Total accrued interest: $56,269.75

Total estimated annual income: $203,066

Asset backed securities

Prices are obtained from independent quotation bureaus that use computerized valuation formulas to calculate current values Actual market values may vary and thus gains/losses may not be accurately reflected The cost basis for asset backed securities has been adjusted automatically for return of principal payments, and if issued at a discount, accreted original issue discount (OID)

Holding	Trade date	Quantity	Purchase price($)	Adjusted cost basis ($)	Price on Dec 31 ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
FHR 4024 H RATE 03 0000% MATURES 03/15/27 CURRENT PAR VALUE 2,377 ACCRUED INTEREST $5 94 CUSIP 3137ANKR5 EAI $71 Current yield 3 04%	Jul 17, 12	75,000 000	101 500	2,417 40	98 673	2,345 45	-71 95	LT

continued next page

STATEMENT 6A

Your assets ‣ **Fixed income** ‣ **Asset backed securities** (continued)

Holding	Trade date	Quantity	Purchase price($)	Adjusted cost basis ($)	Price on Dec 31 ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
GNMA PL 004932M								
RATE 03 5000% MATURES 01/20/41								
CURRENT PAR VALUE 86,056								
ACCRUED INTEREST $250 98								
CUSIP 36202FPR1								
EAI $3,012 Current yield 3 38%	Sep 29, 11	200,000 000	104 675	89,916 72	103 625	89,175 53	-909 25	LT
Total		**275,000.000**		**$92,334.12**		**$91,520.98**	**-$981.20**	

Total accrued interest: $256.92

Total estimated annual income: $3,083

Closed end funds & Exchange traded products

Total reinvested is the total of all reinvested dividends It does not include any cash dividends It is not a tax lot for the purposes of determining holding periods or cost basis The shares you receive each time you reinvest dividends become a separate tax lot

Cost basis is the total purchase cost of the security, including reinvested dividends The cost basis may need to be adjusted for return of capital payments in order to determine the adjusted cost basis for tax reporting purposes

Unrealized (tax) gain or loss is the difference between the current value and the cost basis and would generally be your taxable gain or loss if the security was sold on this date The unrealized (tax) gain or loss may need to be adjusted for return of capital payments in order to determine the realized gain or loss for tax reporting purposes

Investment return is the current value minus the amount you invested It does not include shares that are not reflected on your statement, including shares that have been realized as either a gain or a loss It also does not include cash dividends that were not reinvested

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Dec 31 ($)	Value on Dec 31 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
EATON VANCE FLOATING RATE									
INCOME TRUST									
Symbol EFT									
Trade date Aug 24, 12	2,000 000	16 707	33,414 18	33,414 18	13 890	27,780 00	-5,634 18		LT
Trade date Sep 4, 12	2,000 000	16 643	33,287 79	33,287 79	13 890	27,780 00	-5,507 79		LT
EAI $3,532 Current yield 6 36%									
Security total	4,000 000	16 675	66,701 97	66,701 97		55,560 00	-11,141 97	-11,141 97	
POWERSHARES ETF TRUST II									
Symbol BKLN									
Trade date May 20, 13	1,000 000	25 458	25,458 33	25,453 45	24 030	24,030 00	-1,428 33		LT
Trade date Jun 11, 13	1,000 000	25 214	25,214 24	25,209 37	24 030	24,030 00	-1,184 24		LT
EAI $1,980 Current yield 4 12%									
Security total	2,000 000	25 336	50,672 57	50,662 82		48,060 00	-2,612 57	-2,612 57	
Total			**$117,374.54**	**$117,364.79**		**$103,620.00**	**-$13,754.54**	**-$13,754.54**	

Total estimated annual income: $5,512

Your assets ▸ **Fixed income** (continued)

Preferred securities

Holding	Trade date	Number of shares	Purchase price per share ($)	Cost basis ($)	Price per share on Dec 31 ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
MORGAN STANLEY PREFERRED CLBL PAR VALUE - 25 00 USD FIXED TO FLOAT Symbol MS PRE Exchange NYSE EAI $3,562 Current yield 6 46%	Jan 16, 14	2,000 000	26 862	53,725 25	27 550	55,100 00	1,374 75	ST

Government securities

Prices are obtained from independent quotation bureaus that use computerized valuation formulas to calculate current values Actual market values may vary and thus gains/losses may not be accurately reflected Cost basis has been adjusted for accreted original issue discount (OID) Cost basis has been automatically adjusted for amortization of bond premium using the constant yield method If you have made a tax election to deduct the premium amortization on taxable debt securities, you may request that UBS adjust cost basis for the bond premium amortization

Holding	Trade date	Quantity	Purchase price ($)	Adjusted cost basis ($)	Price on Dec 31 ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
FNMA NTS STEP-UP RATE 2 0000% MATURES 07/30/32 ACCRUED INTEREST $1,249 99 CUSIP 3136G0SM4 EAI $3,000 Current yield 2 00%	Jun 13, 14	150,000 000	100 000	150,000 00	100 140	150,210 00	210 00	ST
FNMA NTS RATE 3 2500% MATURES 02/28/33 ACCRUED INTEREST $33 85 CUSIP 3136G1EG0 EAI $4,063 Current yield 3 25% Original cost basis $75,005 25	Feb 11, 13	75,000 000	100 006	75,004 90	99 895	74,921 25	-83 65	LT
	Mar 25, 13	50,000 000	99 910	49,955 25	99 895	49,947 50	-7 75	LT
Security total		125,000 000		124,960 15		124,868 75	-91 40	
Total		**275,000.000**		**$274,960.15**		**$275,078.75**	**$118.60**	

Total accrued interest: $1,283.84

Total estimated annual income: $7,063

STATEMENT 6A

Your assets (continued)

Other

Structured products

There may be little or no secondary market for structured products Prices are estimated values obtained from third parties or issuers and do not reflect adjustments taken by such third parties or issuers for financial reporting purposes arising from changes in the market value of such transactions The value at which you would be able to purchase, sell, enter into, assign or terminate any instrument will be impacted by other factors, such as hedging and transaction costs, credit considerations, bid-ask spreads and market liquidity

Holding	Trade date	Quantity	Purchase price per share ($)	Cost basis ($)	Price per share on Dec 31 ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
MORGAN STANLEY NTS DEX RATE 08 000% MATURES 02/23/37 ACCRUED INTEREST $844 44 EAI $8,000 Current yield 8 89% Original cost basis $100,000 00	Feb 14, 07	100,000 000	86 268	86,268 36[1]	90 000	90,000 00	3,731 64	LT
MORGAN STANLEY Exchange OTC Original cost basis $100,000 00	May 23, 07	4,000 000	38 577	154,311 98[1]	21 750	87,000 00	-67,311 98	LT
MORGAN STANLEY 9 4500% DUE 09/26/22 Exchange OTC Original cost basis $50,000 00	Jul 24, 07	2,000 000	20 494	40,989 20[1]	16 800	33,600 00	-7,389 20	LT
Total				**$281,569.54**		**$210,600.00**	**-$70,969.54**	

Total estimated annual income: $8,000

Total accrued interest: $844.44

[1] Indicates cost basis information provided by you or another third party UBS FS has not verified this information and does not guarantee its accuracy

Your total assets

		Value on Dec 31 ($)	Percentage of your account	Cost basis ($)	Estimated annual income ($)	Unrealized gain or loss ($)
Cash	**Cash and money balances**	**658,263.63**	**12.08%**	**658,263.63**		
Fixed income	Corporate bonds and notes	**B** 4,023,496 04		**B** 4,106,923 48	203,066 00	-83,427 44
	Asset backed securities	**A** 91,520 98		**A** 92,334 12	3,083 00	-813 14
	Closed end funds & Exchange traded products	**B** 103,620 00		**B** 117,364 79	5,512 00	-13,744 79
	Preferred securities	**B** 55,100 00		**B** 53,725 25	3,562 00	1,374 75
	Government securities	**A** 275,078 75		**A** 274,960 15	7,063 00	118 60

continued next page

Your assets › **Your total assets** (continued)

		Value on Dec 31 ($)	Percentage of your account	Cost basis ($)	Estimated annual income ($)	Unrealized gain or loss ($)
	Total accrued interest	B 57,810 51				
	Total fixed income	**4,606,626.28**	**84.06%**	**4,645,307.79**	**222,286.00**	**-37,837.07**
Other	Structured products	210,600 00		B 281,569 54	8,000 00	-70,969 54
	Total accrued interest	844 44				
	Total other	**B 211,444.44**	**3.86%**	**281,569.54**	**8,000.00**	**-70,969.54**
Total		**$5,476,334.35**	**100.00%**	**$5,585,140.96**	**$230,286.00**	**-108,806.61**

TOTAL OF A	**336,600**	**367,294**
TOTAL OF B	**4,451,471**	**4,559,582**

ATTACHMENT 7

FORM 990PF, PART II - CORPORATE STOCK

DESCRIPTION	BEGINNING BOOK VALUE	ENDING BOOK VALUE	ENDING FMV
UBS # 19426 (STMT 7A)	8,977,444.	6,288,530.	8,412,125.
TOTALS	8,977,444.	6,288,530.	8,412,125.

Your assets

Some prices, income and current values shown may be approximate As a result, gains and losses may not be accurately reflected See *Important information about your statement* at the end of this document for more information

Equities

Common stock

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 31 ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
CIMPRESS N V EUR								
Symbol CMPR Exchange OTC								
EUR Exchange rate 0 82641	Oct 26, 12	590 000	31 309	18,472 35	74 840	44,155 60	25,683 25	LT
	Jul 15, 14	1,500 000	37 604	56,406 75	74 840	112,260 00	55,853 25	ST
Security total		2,090 000	35 827	74,879 10		156,415 60	81,536 50	
EQUINIX INC NEW								
Symbol EQIX Exchange OTC	Jul 15, 14	200 000	210 354	42,070 76	226 730	45,346 00	3,061 70	ST
	Jul 15, 14	200 000	210 375	42,074 96	226 730	45,346 00	3,057 50	ST
	Jul 31, 14	600 000	217 850	130,709 89	226 730	136,038 00	4,687 50	ST
	Jul 31, 14	500 000	217 677	108,838 96	226 730	113,365 00	3,992 20	ST
	Aug 13, 14	1,500 000	213 905	320,857 97	226 730	340,095 00	17,635 50	ST

continued next page

STATEMENT 7A

1 of 5

Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 31 ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
	Oct 8, 14	819 000	202 012	165,448 00	226 730	185,691 87	19,369 43	ST
	Earnings	128 000	224 453	28,730 03	226 730	29,021 44	291 41	
Security total		3,947 000	213 531	838,730 57		894,903 31	52,095 24	
EXPRESS SCRIPTS HLDG CO								
Symbol ESRX Exchange OTC	Dec 7, 12	1,242 000	53 983	67,046 89	84 670	105,160 14	38,113 25	LT
	Jan 23, 13	932 000	53 894	50,229 29	84 670	78,912 44	28,683 15	LT
	Feb 11, 13	2,097 000	55 043	115,426 78	84 670	177,552 99	62,126 21	LT
	Oct 25, 13	2,400 000	61 330	147,193 68	84 670	203,208 00	56,014 32	LT
	May 5, 14	1,000 000	67 282	67,282 60	84 670	84,670 00	17,387 40	ST
	May 14, 14	1,200 000	68 016	81,619 32	84 670	101,604 00	19,984 68	ST
	Jul 15, 14	2,000 000	68 187	136,374 80	84 670	169,340 00	32,965 20	ST
	Jul 15, 14	1,200 000	68 317	81,981 48	84 670	101,604 00	19,622 52	ST
	Oct 10, 14	1,000 000	70 270	70,270 00	84 670	84,670 00	14,400 00	ST
Security total		13,071 000	62 537	817,424 84		1,106,721 57	289,296 73	
HALLIBURTON CO								
(HOLDING COMPANY)								
Symbol HAL Exchange NYSE								
EAI $7,200 Current yield 1 83%	Nov 25, 14	10,000 000	48 758	487,587 48	39 330	393,300 00	-94,287 48	ST
JPMORGAN CHASE & CO								
Symbol JPM Exchange NYSE								
EAI $25,270 Current yield 2 56%	Nov 14, 14	10,794 000	60 410	652,065 54	62 580	675,488 52	23,422 98	ST
	Nov 24, 14	5,000 000	61 269	306,349 50	62 580	312,900 00	6,550 50	ST
Security total		15,794 000	60 682	958,415 04		988,388 52	29,973 48	
KINDER MORGAN INC								
Symbol KMI Exchange NYSE								
EAI $21,067 Current yield 4 16%	Feb 24, 14	859 980	27 412	23,574 28	42 310	36,385 73	12,811 45	ST
	Mar 13, 14	7,188 837	26 691	191,882 89	42 310	304,159 68	112,276 79	ST
	Apr 16, 14	3,921 184	28 338	111,119 00	42 310	165,905 29	54,786 29	ST
Security total		11,970 000	27 283	326,576 17		506,450 70	179,874 53	
MICROSOFT CORP								
Symbol MSFT Exchange OTC								
EAI $22,861 Current yield 2 67%	Oct 21, 09	780 000	26 568	20,723 04	46 450	36,231 00	15,507 96	LT
	Dec 29, 09	533 000	31 389	16,730 82	46 450	24,757 85	8,027 03	LT

continued next page

Your assets ▸ **Equities** ▸ **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 31 ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
	Jan 21, 10	523 000	30 667	16,039 23	46 450	24,293 35	8,254 12	LT
	Oct 21, 13	5,000 000	35 000	175,000 00	46 450	232,250 00	57,250 00	LT
	Nov 5, 13	5,600 000	36 459	204,175 03	46 450	260,120 00	55,944 97	LT
	Jan 17, 14	6,000 000	36 335	218,011 20	46 450	278,700 00	60,688 80	ST
Security total		18,436 000	35 294	650,679 32		856,352 20	205,672 88	
PRIMERICA INC Symbol PRI Exchange NYSE EAI $5,904 Current yield 0 88%	Oct 25, 12	2,500 000	28 053	70,134 60	54 260	135,650 00	65,515 40	LT
	Nov 5, 12	1,125 000	28 339	31,882 39	54 260	61,042 50	29,160 11	LT
	Nov 5, 12	900 000	28 395	25,555 80	54 260	48,834 00	23,278 20	LT
	Nov 5, 12	600 000	28 243	16,945 80	54 260	32,556 00	15,610 20	LT
	Nov 5, 12	530 000	28 156	14,923 14	54 260	28,757 80	13,834 66	LT
	Nov 5, 12	241 000	28 395	6,843 36	54 260	13,076 66	6,233 30	LT
	Nov 5, 12	59 000	28 287	1,668 96	54 260	3,201 34	1,532 38	LT
	Nov 5, 12	45 000	28 316	1,274 24	54 260	2,441 70	1,167 46	LT
	May 6, 14	1,200 000	45 189	54,227 88	54 260	65,112 00	10,884 12	ST
	May 14, 14	1,000 000	44 490	44,490 50	54 260	54,260 00	9,769 50	ST
	May 20, 14	1,600 000	42 970	68,752 00	54 260	86,816 00	18,064 00	ST
	Oct 10, 14	2,500 000	46 740	116,850 00	54 260	135,650 00	18,800 00	ST
Security total		12,300 000	36 874	453,548 67		667,398 00	213,849 33	
SCHWAB CHARLES CORP NEW Symbol SCHW Exchange NYSE EAI $5,221 Current yield 0 79%	Sep 17, 12	4,305 000	14 190	61,087 95	30 190	129,967 95	68,880 00	LT
	Sep 20, 12	1,200 000	13 496	16,196 28	30 190	36,228 00	20,031 72	LT
	Oct 4, 12	8,235 000	12 999	107,054 85	30 190	248,614 65	141,559 80	LT
	Oct 12, 12	8,015 000	12 966	103,925 28	30 190	241,972 85	138,047 57	LT
Security total		21,755 000	13 250	288,264 36		656,783 45	368,519 09	
VALEANT PHARMACEUTICALS INTL I Symbol VRX Exchange NYSE	Jun 21, 11	577 000	51 437	29,679 58	143 110	82,574 47	52,894 89	LT
	May 7, 12	771 000	52 429	40,423 45	143 110	110,337 81	69,914 36	LT
	May 24, 12	2,166 000	47 899	103,749 65	143 110	309,976 26	206,226 61	LT
	May 24, 12	390 000	47 698	18,602 56	143 110	55,812 90	37,210 34	LT

continued next page

STATEMENT 7A

3 of 3

Your assets ▸ **Equities** ▸ **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 31 ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
	Oct 4, 12	1,988 000	56 800	112,918 40	143 110	284,502 68	171,584 28	LT
	Nov 27, 12	1,500 000	55 236	82,854 00	143 110	214,665 00	131,811 00	LT
	Mar 27, 14	1,100 000	125 498	138,047 91	143 110	157,421 00	19,373 09	ST
	Apr 8, 14	1,000 000	119 249	119,249 40	143 110	143,110 00	23,860 60	ST
	Jul 31, 14	1,000 000	116 150	116,150 70	143 110	143,110 00	26,959 30	ST
	Oct 2, 14	1,300 000	126 996	165,095 84	143 110	186,043 00	20,947 16	ST
Security total		11,792 000	78 593	926,771 49		1,687,553 12	760,781 63	
Total				**A $5,822,877.04**		**A $7,914,266.47**	**$2,087,311.93**	

Total estimated annual income: $87,523

Mutual funds

Total reinvested is the total of all reinvested dividends It does not include any cash dividends It is not a tax lot for the purposes of determining holding periods or cost basis The shares you receive each time you reinvest dividends become a separate tax lot

Cost basis is the total purchase cost of the security, including reinvested dividends The cost basis may need to be adjusted for return of capital payments in order to determine the adjusted cost basis for tax reporting purposes

Unrealized (tax) gain or loss is the difference between the current value and the cost basis and would generally be your taxable gain or loss if the security was sold on this date The unrealized (tax) gain or loss may need to be adjusted for return of capital payments in order to determine the realized gain or loss for tax reporting purposes

Investment return is the current value minus the amount you invested It does not include shares that are not reflected on your statement, including shares that have been realized as either a gain or a loss It also does not include cash dividends that were not reinvested

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Dec 31 ($)	Value on Dec 31 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
MFS INTERNATIONAL									
DIVERSIFICATIONF FD CL I									
Symbol MDIJX									
Trade date Nov 30, 12	11,375 714	14 032	159,634 03	159,634 03	15 710	178,712 46	19,078 43		LT
Total reinvested	385 628	15 575		6,006 45	15 710	6,058 22	51 77		
EAI $2,729 Current yield 1 48%									
Security total	11,761 342	14 083	159,634 03	A 165,640 48		A 184,770 68	19,130 20	25,136 65	

Your assets (continued)

Other

Mutual funds

Total reinvested is the total of all reinvested dividends It does not include any cash dividends It is not a tax lot for the purposes of determining holding periods or cost basis The shares you receive each time you reinvest dividends become a separate tax lot

Cost basis is the total purchase cost of the security, including reinvested dividends The cost basis may need to be adjusted for return of capital payments in order to determine the adjusted cost basis for tax reporting purposes

Unrealized (tax) gain or loss is the difference between the current value and the cost basis and would generally be your taxable gain or loss if the security was sold on this date The unrealized (tax) gain or loss may need to be adjusted for return of capital payments in order to determine the realized gain or loss for tax reporting purposes

Investment return is the current value minus the amount you invested It does not include shares that are not reflected on your statement, including shares that have been realized as either a gain or a loss It also does not include cash dividends that were not reinvested

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Dec 31 ($)	Value on Dec 31 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
FIRST EAGLE GLOBAL FUNDS									
CLASS I									
Symbol SGIIX									
Trade date Feb 14, 13	4,946 818	50 174	248,205 75	248,205 75	52 640	260,400 51	12,194 76		LT
Total reinvested	1,000 896	51 760		51,806 98	52 640	52,687 15	880 17		
Security total	5,947 714	50 442	248,205 75	A 300,012 73		A 313,087 66	13,074 93	64,881 91	

Your total assets

		Value on Dec 31 ($)	Percentage of your account	Cost basis ($)	Estimated annual income ($)	Unrealized gain or loss ($)
Cash	**Cash and money balances**	**989,809.58**	10.52%	**989,409.58**		
Equities	Common stock	7,914,266 47		5,822,877 04	87,523 00	2,087,311 93
	Mutual funds	184,770 68		165,640 48	2,729 00	19,130 20
	Total equities	**8,099,037.15**	**86.15%**	**5,988,517.52**	**90,252.00**	**2,106,442.13**
Other	**Mutual funds**	**313,087.66**	**3.33%**	**300,012.73**		**13,074.93**
Total		**9,401,534.39**	**100.00%**	**7,277,939.83**	**$90,252.00**	**$2,119,517.06**

	COST BASIS	FMV
TOTAL OF A - COMMON STOCK	**6,288,530.25**	**8,412,124.81**

STATEMENT 7A

ATTACHMENT 8

FORM 990PF, PART II - CORPORATE BONDS

DESCRIPTION	BEGINNING BOOK VALUE	ENDING BOOK VALUE	ENDING FMV
CORPORATE BONDS - UBS#18245 (STMT 6A)	3,126,147.	4,559,582.	4,451,471.
TOTALS	3,126,147.	4,559,582.	4,451,471.

THE FROG ROCK FOUNDATION 13-4127228

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

ATTACHMENT 9

NAME AND ADDRESS	TITLE AND AVERAGE HOURS PER WEEK DEVOTED TO POSITION	COMPENSATION	CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS	EXPENSE ACCT AND OTHER ALLOWANCES
JANET INSKEEP BENTON 30 FROG ROCK ROAD ARMONK, NY 10504	PRESIDENT	0	0	0
ELISABETH C. NAMAN 87 DEVOE ROAD CHAPPAQUA, NY 10514	TRUSTEE	0	0	0
MARGERY ORELL 5 LUDLOW DRIVE CHAPPAQUA, NY 10514	TRUSTEE	18,000.	0	0
	GRAND TOTALS	18,000.	0	0

ATTACHMENT 10

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

THE FROG ROCK FOUNDATION

P.O. BOX 865

CHAPPAQUA, NY 10514

- ☐ Home
- ✉ Contact Us

THE
FROG ROCK
FOUNDATION
Improving outcomes for children

- Null
- What We Fund
- Recent Grants
- The Grant Process
- Apply For A Grant

What We Fund

History

Since its inception, Frog Rock has supported organizations in Westchester County serving low-income children Initially, our grantmaking was broad in focus, providing funding in areas ranging from medical and mental health services to educational remediation and recreation programs This open-ended grantmaking strategy enabled us to learn about the needs of the children we wish to help, and introduced us to many wonderful service providers in the county

Our philanthropy has been greatly influenced by the work of Dr Jack Shonkoff at the Center on the Developing Child at Harvard University Dr Shonkoff is a leader in the work identifying the impact of early childhood experiences on the development of a child's brain architecture Experiences of positive relationships with adults, rich learning opportunities, and safe environments all work to promote healthy brain development and build a foundation for all future learning, behavior and health

Dr Robert Anda, Co-Investigator of the Adverse Childhood Experiences (ACE) Study takes this work further Utilizing data collected from over 17,000 Kaiser Permanente members, the study shows that the incidence of trauma and stress experienced during childhood correlates strongly with the likelihood of serious mental and medical health issues in adulthood

We consider this new understanding of brain development and the critical importance of the early childhood years to be compelling reasons to focus much of our grant making on efforts to improve the quality of care given to young children in low-income communities, both at home and in away-from-home settings

Grant Focus

In an effort to increase the impact of our grant making, our focus has narrowed to these areas of support for low-income children in Westchester County

- **Early learning and development** – Programs and services for young children, prenatal through age 5, and their families, which address social, emotional and cognitive development
- **Intellectual and personal enrichment** – Programs which utilize innovative education strategies, usually in collaboration with schools, to expand opportunities for learning and growth beyond academic basics
- **Early childhood systems change** – On a selective basis, advocacy work and broader based initiatives focused on systemic change to improve outcomes for children in New York State

Applicant Eligibility

Organizations must be classified as tax-exempt under Section 501(c)(3) of the Internal Revenue Code and as public charities under Section 509(a) Individuals and for-profit organizations are not eligible for funding, and government agencies are not generally funded Churches and religious organizations may be eligible to receive funding for activities that are non-sectarian and benefit the larger community

Project eligibility

Grants must serve primarily low-income children in Westchester County, New York, and will not be considered for less than $10,000 One-year and multi-year requests will be considered Examples of the types of grants awarded include

- New programs or continuation/expansion of existing programs
- Organizational capacity building
- Collaborative efforts with and technical assistance to other nonprofits
- Operating support in some circumstances
- Capital projects in some circumstances

Examples of projects we will **not** fund include

- Work that does not fit our funding priorities
- Institutions that discriminate, in policy or in practice, on the basis of age, color, gender, sexual orientation, national origin, race, religion, marital status, disability, veteran or other legally protected status
- Scholarships or grants to individuals
- Endowments
- Programs or research to address specific physical conditions, or medical or psychological diagnoses
- Sectarian religious activities, political lobbying or legislative activities

Learn more about our grant process

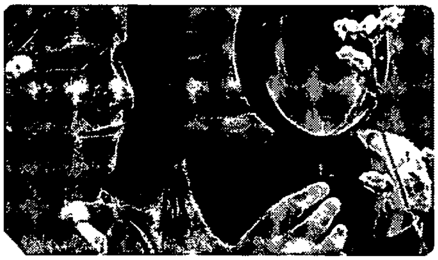
- Home |
- What We Fund |
- Recent Grants |
- The Grant Process |
- Apply For A Grant |
- Contact Us

STATEMENT 10A

- Home
- Contact Us

THE
FROG ROCK
FOUNDATION
Improving outcomes for children

- Null
- What We Fund
- Recent Grants
- The Grant Process
- Apply For A Grant



The Grant Process

1 **Review the parameters**

Grantseekers are urged to review our parameters for grantmaking See What We Fund

2 **The Initial Request form**

If your organization's project falls within our parameters, we welcome you to submit an Initial Request online This is the only submission format that will be accepted You may submit an Initial Request at any time

Please note that, while there are no word limits in the online submission form, we value conciseness and clarity of communication We expect a submission roughly equivalent to a 1-2 page letter You may find it helpful to prepare your Initial Request in a Microsoft Word or similar document format, and then paste it into the online form

3 **Full proposal – by invitation only**

We will review your Initial Request, and, generally within 30 days, we will let you know if you are invited to submit a formal proposal In some cases we may request more information or require a personal meeting before our decision

If you are asked to submit a full proposal, please refer to the Instructions for Full Proposal, which can be downloaded as a Word document here

4 **Grant decision**

Typically, we meet with applicants at least once during the application process Depending on whether modifications to the proposal are required, we usually are able to notify applicants of our final grant decision within 2 months of the Initial Request

Apply for a Grant here

- Home |
- What We Fund |
- Recent Grants |
- The Grant Process |
- Apply For A Grant |
- Contact Us

STATEMENT 10A

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

ATTACHMENT 11

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
WESTCHESTER JEWISH COMMUNITY SERVICES 6 GRAMATAN AVE MT VERNON, NY 10550	N/A PC	GENERAL SUPPORT	195,421
WESTCOP - WESTCHESTER COMM OPPORTUNITY PROGRAM 2 WESTCHESTER PLAZA ELMSFORD, NY 10523	N/A PC	GENERAL SUPPORT	25,000
WESTCHESTER CHILDREN'S ASSOCIATION 470 MAMARONECK AVENUE SUITE 304 WHITE PLAINS, NY 10605	N/A PC	GENERAL SUPPORT	150,000
HUDSON VALLEY SHAKESPEARE FESTIVAL, INC 155 MAIN STREET COLD SPRING, NY 10516	N/A PC	GENERAL SUPPORT	63,055
PRO BONO PARTNERSHIP 237 MAMARONECK AVENUE SUITE 300 WHITE PLAINS, NY 10605	N/A PC	GENERAL SUPPORT	10,000
JACOB BURNS FILM CENTER 364 MANVILLE ROAD PLEASANTVILLE, NY 10570	N/A PC	GENERAL SUPPORT	100,000

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

ATTACHMENT 11 (CONT'D)

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
ANDRUS CHILDREN'S CENTER 1156 NORTH BORADWAY YONKERS, NY 10701	N/A PC	GENERAL SUPPORT	50,000.
PERFORMING ARTS CENTER FOUNDATION PURCHASE COLLEGE THE PERFORMING ARTS CENTER, PO BOX 140 PURCHASE, NY 10577	N/A PC	GENERAL SUPPORT	40,000
TEATOWN LAKE RESERVATION 1600 SPRING VALLEY RD SUITE 1 OSSINING, NY 10562	N/A PC	GENERAL SUPPORT	61,722
CHILD CARE COUNCIL OF WESTCHESTER 313 CENTRAL PARK AVE HARTSDALE, NY 10530	N/A PC	GENERAL SUPPORT	61,800
OSSINING CHILDREN'S CENTER 90 S HIGHLAND AVE OSSINING, NY 10562	N/A PC	GENERAL SUPPORT	15,150
NEIGHBOR'S LINK 27 COLUMBUS AVE MT KISCO, NY 10549	N/A PC	GENERAL SUPPORT	170,300.

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

ATTACHMENT 11 (CONT'D)

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
OSSINING CENTRAL SCHOOL DISTRICT 400 EXECUTIVE BOULEVARD OSSINING, NY 10562	N/A	GENERAL SUPPORT	29,614
GUIDANCE CENTER OF WESTCHESTER 256 WASHINGTON STREET MOUNT VERNON, NY 10553	N/A	GENERAL SUPPORT	158,768
ARTSWESTCHESTER 31 MAMARONECK AVE WHITE PLAINS, NY 10601	N/A	GENERAL SUPPORT	50,000
POMONA COLLEGE 333 N COLLEGE WAY CLAREMONT, CA 91711	N/A	GENERAL SUPPORT	3,707,414
THE JACOB BURNS FILM CENTER 364 MANVILLE RD PLEASANTVILLE, NY 10570	N/A	GENERAL SUPPORT	500,000
		TOTAL CONTRIBUTIONS PAID	5,388,244

Form **8868**
(Rev January 2014)
Department of the Treasury
Internal Revenue Service

Application for Extension of Time To File an Exempt Organization Return

▶ File a separate application for each return.
▶ Information about Form 8868 and its instructions is at *www.irs.gov/form8868*.

OMB No 1545-1709

- 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 File by the due date for filing your return See instructions	Name of exempt organization or other filer, see instructions THE FROG ROCK FOUNDATION	Employer identification number (EIN) or 13-4127228
	Number, street, and room or suite no If a P O box, see instructions PO BOX 865	Social security number (SSN)
	City, town or post office, state, and ZIP code For a foreign address, see instructions CHAPPAQUA, NY 10514	

Enter the Return code for the return that this application is for (file a separate application for each return) 0 4

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 ▶JANET INSKEEP BENTON, P.O.BOX 865 CHAPPAQUA, NY CHAPPAQUA, NY 10514

Telephone No ▶ 914 273-1375 FAX No ▶

TAXPAYER'S COPY

- If the organization does not have an office or place of business in the Unit . . . ▶ ☐
- If this is for a Group Return, enter the organization's four digit Group Exem this is for the whole group, check this box . . . . . . ▶ ☐ If it is for part of the ttach 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 08/15, 20 15 , to file the exempt organization return for the organization named above The extension is for the organization's return for

▶ ☒ calendar year 20 14 or
▶ ☐ tax year beginning ________________, 20___, and ending________________, 20___

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	$ 86,223.
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	$ 30,223.
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	$ 56,000.

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)

JSA
4F8054 1 000