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

**2014**

Department of the Treasury  
Internal Revenue Service

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▶ Information about Form 990-PF and its separate instructions is at [www.irs.gov/form990pf](http://www.irs.gov/form990pf).

Open to Public Inspection

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

|  |  |  |
|--|--|--|
| Name of foundation<br><b>David H. Liu Foundation</b>   |  | A Employer identification number<br><b>860780229</b>   |
| Number and street (or P O box number if mail is not delivered to street address)<br><b>14649 N.14th Dr.</b>  | Room/suite   | B Telephone number (see instructions)<br><b>6029930572</b>   |
| City or town, state or province, country, and ZIP or foreign postal code<br><b>Phoenix, AZ 85023</b>   |  | C If exemption application is pending, check here <input type="checkbox"/>   |
| G Check all that apply:<br><input type="checkbox"/> Initial return <input type="checkbox"/> Initial return of a former public charity<br><input type="checkbox"/> Final return <input type="checkbox"/> Amended return<br><input type="checkbox"/> Address change <input type="checkbox"/> Name change |  | D 1. Foreign organizations, check here . . . ▶ <input type="checkbox"/><br>2. Foreign organizations meeting the 85% test, check here and attach computation . . . ▶ <input type="checkbox"/> |
| H Check type of organization: <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation<br><input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation  |  | E If private foundation status was terminated under section 507(b)(1)(A), check here . . . ▶ <input type="checkbox"/>  |
| I Fair market value of all assets at end of year (from Part II, col. (c), line 16) ▶ \$ <b>1,491,343</b>   | J Accounting method: <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual<br><input type="checkbox"/> Other (specify) _____ | F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here . . . ▶ <input type="checkbox"/>   |
| (Part I, column (d) must be on cash basis.)  |  |  |

| Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions)) |  | (a) Revenue and expenses per books | (b) Net investment income | (c) Adjusted net income | (d) Disbursements for charitable purposes (cash basis only) |
|--|--|------------------------------------|---------------------------|-------------------------|---|
| <b>Revenue</b>   | 1 Contributions, gifts, grants, etc., received (attach schedule)                         |                                    |                           |                         |   |
|  | 2 Check <input type="checkbox"/> if the foundation is not required to attach Sch. B      |                                    |                           |                         |   |
|  | 3 Interest on savings and temporary cash investments                                     |                                    |                           |                         |   |
|  | 4 Dividends and interest from securities . . . . .                                       | 62578                              | 62578                     | 62578                   |   |
|  | 5a Gross rents . . . . .   |                                    |                           |                         |   |
|  | b Net rental income or (loss)  |                                    |                           |                         |   |
|  | 6a Net gain or (loss) from sale of assets not on line 10                                 | 156276                             |                           |                         |   |
|  | b Gross sales price for all assets on line 6a  |                                    |                           |                         |   |
|  | 7 Capital gain net income (from Part IV, line 2) . . . . .                               |                                    | 156276                    |                         |   |
|  | 8 Net short-term capital gain . . . . .  |                                    |                           | 90858                   |   |
|  | 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 <b>Total.</b> Add lines 1 through 11 . . . . .  | 218855   | 218855                             | 153436                    |                         |   |
| <b>Operating and Administrative Expenses</b>   | 13 Compensation of officers, directors, trustees, etc.                                   |                                    |                           |                         |   |
|  | 14 Other employee salaries and wages   |                                    |                           |                         |   |
|  | 15 Pension plans, employee benefits  |                                    |                           |                         |   |
|  | 16a Legal fees (attach schedule)   |                                    |                           |                         |   |
|  | b Accounting fees (attach schedule)  |                                    |                           |                         |   |
|  | c Other professional fees (attach schedule)  |                                    |                           |                         |   |
|  | 17 Interest . . . . .  |                                    |                           |                         |   |
|  | 18 Taxes (attach schedule) (see instructions)  | 1763                               | 1763                      | 1763                    |   |
|  | 19 Depreciation (attach schedule) and depletion . . . . .                                |                                    |                           |                         |   |
|  | 20 Occupancy . . . . .   |                                    |                           |                         |   |
|  | 21 Travel, conferences, and meetings . . . . .   | 960                                |                           |                         |   |
|  | 22 Printing and publications . . . . .   |                                    |                           |                         |   |
|  | 23 Other expenses (attach schedule) . . . . .  | 5905                               | 5905                      | 5905                    |   |
|  | 24 <b>Total operating and administrative expenses.</b> Add lines 13 through 23 . . . . . | 8628                               | 8628                      | 8628                    | 8628  |
|  | 25 Contributions, gifts, grants paid . . . . .   | 60500                              |                           |                         | 60500   |
| 26 <b>Total expenses and disbursements.</b> Add lines 24 and 25 . . . . .  | 69128  | 69128                              | 69126                     | 69128                   |   |
| 27 Subtract line 26 from line 12:  |  |                                    |                           |                         |   |
| a <b>Excess of revenue over expenses and disbursements</b>   | 149727   |                                    |                           |                         |   |
| b <b>Net investment income</b> (if negative, enter -0-) . . . . .  |  | 149727                             |                           |                         |   |
| c <b>Adjusted net income</b> (if negative, enter -0-) . . . . .  |  |                                    |                           |                         |   |

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| Part II Balance Sheets      |   | Attached schedules and amounts in the description column should be for end-of-year amounts only. (See instructions.)              |   |           |           |
|-----------------------------|---|---|---|-----------|-----------|
|                             |   | Beginning of year<br>(a) Book Value   | End of year<br>(b) Book Value (c) Fair Market Value |           |           |
| Assets                      | 1   | Cash—non-interest-bearing . . . . .   |   |           |           |
|                             | 2   | Savings and temporary cash investments . . . . .  |   |           |           |
|                             | 3   | Accounts receivable ▶   |   |           |           |
|                             |   | Less: allowance for doubtful accounts ▶   |   |           |           |
|                             | 4   | Pledges receivable ▶  |   |           |           |
|                             |   | Less: allowance for doubtful accounts ▶   |   |           |           |
|                             | 5   | Grants receivable . . . . .   |   |           |           |
|                             | 6   | Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions) . . . . . |   |           |           |
|                             | 7   | Other notes and loans receivable (attach schedule) ▶  |   |           |           |
|                             |   | Less: allowance for doubtful accounts ▶   |   |           |           |
|                             | 8   | Inventories for sale or use . . . . .   |   |           |           |
|                             | 9   | Prepaid expenses and deferred charges . . . . .   |   |           |           |
|                             | 10a   | Investments—U.S. and state government obligations (attach schedule)   |   |           |           |
|                             | b   | Investments—corporate stock (attach schedule) . . . . .   | 1,404,737   | 1,491,355 | 1,491,355 |
|                             | c   | Investments—corporate bonds (attach schedule) . . . . .   |   |           |           |
|                             | Liabilities   | 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                          |   | <b>Total assets</b> (to be completed by all filers—see the instructions. Also, see page 1, item I) . . . . .                      | 1,404,737   | 1,491,355 | 1,491,355 |
| 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                          | <b>Total liabilities</b> (add lines 17 through 22) . . . . .  |   |   |           |           |
| Net Assets or Fund Balances | <b>Foundations that follow SFAS 117, check here</b> <input type="checkbox"/> <b>and complete lines 24 through 26 and lines 30 and 31.</b> |   |   |           |           |
|                             | 24  | Unrestricted . . . . .  | 1404737   | 1491355   |           |
|                             | 25  | Temporarily restricted . . . . .  |   |           |           |
|                             | 26  | Permanently restricted . . . . .  |   |           |           |
|                             | <b>Foundations that do not follow SFAS 117, check here</b> <input type="checkbox"/> <b>and complete lines 27 through 31.</b>              |   |   |           |           |
|                             | 27  | Capital stock, trust principal, or current funds . . . . .  |   |           |           |
|                             | 28  | Paid-in or capital surplus, or land, bldg., and equipment fund  |   |           |           |
| 29                          | Retained earnings, accumulated income, endowment, or other funds  |   |   |           |           |
| 30                          | <b>Total net assets or fund balances</b> (see instructions) . . . . .   | 1404737   | 1491355   |           |           |
| 31                          | <b>Total liabilities and net assets/fund balances</b> (see instructions) . . . . .  | 1404737   | 1491355   |           |           |

| 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 1404737 |
| 2   | Enter amount from Part I, line 27a . . . . .   | 2 149727  |
| 3   | Other increases not included in line 2 (itemize) ▶   | 3         |
| 4   | Add lines 1, 2, and 3 . . . . .  | 4 1554464 |
| 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 1554464 |

**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<br>P—Purchase<br>D—Donation    | (c) Date acquired<br>(mo., day, yr.)         | (d) Date sold<br>(mo., day, yr.)   |
|--|--|---|--|--|
| <b>1a</b>  | various mutual funds held at Schwab account 4537   | p   | 01/04/2014                                   | 12/27/2014   |
| <b>b</b>   | various mutual funds at Schwab account 4537  | p   | 01/05/2013                                   | 12/31/2014   |
| <b>c</b>   | various mutual funds at Schwab 8455  | p   | 01/03/2014                                   | 12/30/2014   |
| <b>d</b>   | various mutual funds at Schwab 8455  | p   | 01/5/2013                                    | 12/30/2014   |
| <b>e</b>   |  |   |  |  |
| (e) Gross sales price  | (f) Depreciation allowed<br>(or allowable)   | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |  |
| <b>a</b>   | 479528   | 459297  | 20231  |  |
| <b>b</b>   | 600326   | 542474  | 57852  |  |
| <b>c</b>   | 2,838,659  | 2768032   | 70627  |  |
| <b>d</b>   | 1,111,225  | 1103659   | 7566   |  |
| <b>e</b>   |  |   |  |  |
| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69  |  |   |  | (i) Gains (Col (h) gain minus<br>col (k), but not less than -0-) or<br>Losses (from col (h)) |
| (i) F.M.V. as of 12/31/69  | (j) Adjusted basis<br>as of 12/31/69   | (k) Excess of col (i)<br>over col (j), if any   |  |  |
| <b>a</b>   |  |   |  |  |
| <b>b</b>   |  |   |  |  |
| <b>c</b>   |  |   |  |  |
| <b>d</b>   |  |   |  |  |
| <b>e</b>   |  |   |  |  |
| <b>2</b>   | Capital gain net income or (net capital loss) $\left\{ \begin{array}{l} \text{If gain, also enter in Part I, line 7} \\ \text{If (loss), enter -0- in Part I, line 7} \end{array} \right\}$      | <b>2</b>  | 156276                                       |  |
| <b>3</b>   | Net short-term capital gain or (loss) as defined in sections 1222(5) and (6):<br>If gain, also enter in Part I, line 8, column (c) (see instructions). If (loss), enter -0- in<br>Part I, line 8 | <b>3</b>  | 90858  |  |

**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<br>Calendar year (or tax year beginning in) | (b) Adjusted qualifying distributions | (c) Net value of noncharitable-use assets | (d) Distribution ratio<br>(col (b) divided by col (c)) |
|---|---------------------------------------|---|--|
| 2013  | 61757                                 | 1251493                                   | 0.049346   |
| 2012  | 57029                                 | 1172384                                   | 0.048643   |
| 2011  | 42959                                 | 1168030                                   | 0.036780   |
| 2010  | 37839                                 | 1174057                                   | 0.032396   |
| 2009  | 59809                                 | 838622                                    | 0.064409   |

|          |  |          |          |
|----------|--|----------|----------|
| <b>2</b> | Total of line 1, column (d)  | <b>2</b> | 0.231574 |
| <b>3</b> | Average distribution ratio for the 5-year base period—divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years   | <b>3</b> | 0.046314 |
| <b>4</b> | Enter the net value of noncharitable-use assets for 2014 from Part X, line 5   | <b>4</b> | 1403420  |
| <b>5</b> | Multiply line 4 by line 3  | <b>5</b> | 64997    |
| <b>6</b> | Enter 1% of net investment income (1% of Part I, line 27b)   | <b>6</b> | 1497     |
| <b>7</b> | Add lines 5 and 6  | <b>7</b> | 66494    |
| <b>8</b> | Enter qualifying distributions from Part XII, line 4<br>If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate. See the Part VI instructions. | <b>8</b> | 69128    |

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

|    |  |    |      |  |
|----|--|----|------|--|
| 1a | Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1. Date of ruling or determination letter: _____ (attach copy of letter if necessary—see instructions) |    |      |  |
| b  | Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input checked="" type="checkbox"/> and enter 1% of Part I, line 27b   | 1  | 1497 |  |
| 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  | 1497 |  |
| 4  | Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)  | 4  |      |  |
| 5  | <b>Tax based on investment income.</b> Subtract line 4 from line 3. If zero or less, enter -0-   | 5  | 1497 |  |
| 6  | <b>Credits/Payments:</b>   |    |      |  |
| a  | 2014 estimated tax payments and 2013 overpayment credited to 2014  | 6a |      |  |
| b  | Exempt foreign organizations—tax withheld at source  | 6b |      |  |
| c  | Tax paid with application for extension of time to file (Form 8868)  | 6c |      |  |
| d  | Backup withholding erroneously withheld  | 6d |      |  |
| 7  | Total credits and payments. Add lines 6a through 6d  | 7  |      |  |
| 8  | Enter any <b>penalty</b> for underpayment of estimated tax. Check here <input type="checkbox"/> if Form 2220 is attached   | 8  |      |  |
| 9  | <b>Tax due.</b> If the total of lines 5 and 8 is more than line 7, enter <b>amount owed</b>  | 9  | 1497 |  |
| 10 | <b>Overpayment.</b> If line 7 is more than the total of lines 5 and 8, enter the <b>amount overpaid</b>  | 10 |      |  |
| 11 | Enter the amount of line 10 to be: <b>Credited to 2015 estimated tax</b> <input type="checkbox"/> <b>Refunded</b> <input type="checkbox"/>   | 11 |      |  |

**Part VII-A Statements Regarding Activities**

|  | Yes | No |
|--|-----|----|
| 1a   |     | ✓  |
| b  |     | ✓  |
| <i>If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.</i> |     |    |
| c  |     | ✓  |
| d  |     |    |
| e  |     |    |
| 2  |     | ✓  |
| 3  |     | ✓  |
| 4a   |     | ✓  |
| 4b   |     |    |
| 5  |     | ✓  |
| 6  |     | ✓  |
| 7  |     | ✓  |
| 8a   |     |    |
| b  |     | ✓  |
| 9  |     | ✓  |
| 10   |     | ✓  |

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

|    |  |    |     |    |
|----|--|----|-----|----|
| 11 | At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)  | 11 |     | ✓  |
| 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 |     | ✓  |
| 13 | Did the foundation comply with the public inspection requirements for its annual returns and exemption application?<br>Website address ▶ N/A   | 13 | ✓   |    |
| 14 | The books are in care of ▶ Ying Liu Telephone no. ▶ 6029930572<br>Located at ▶ 14649 N.14th Dr., Phoenix, AZ ZIP+4 ▶ 85023   |    |     |    |
| 15 | Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041—Check here. . . . .<br>and enter the amount of tax-exempt interest received or accrued during the year . . . . . ▶ 15   |    |     |    |
| 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? . . . . .<br>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 ▶ | 16 | Yes | No |
|    |  |    |     | ✓  |

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

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

|     |   | Yes | No |   |
|-----|---|-----|----|---|
| 1a  | During the year did the foundation (either directly or indirectly):   |     |    |   |
| (1) | Engage in the sale or exchange, or leasing of property with a disqualified person? . . . . . <input type="checkbox"/> Yes <input type="checkbox"/> No   |     |    |   |
| (2) | Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? . . . . . <input type="checkbox"/> Yes <input type="checkbox"/> No   |     |    |   |
| (3) | Furnish goods, services, or facilities to (or accept them from) a disqualified person? . . . . . <input type="checkbox"/> Yes <input type="checkbox"/> No   |     |    |   |
| (4) | Pay compensation to, or pay or reimburse the expenses of, a disqualified person? . . . . . <input type="checkbox"/> Yes <input type="checkbox"/> No   |     |    |   |
| (5) | Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? . . . . . <input type="checkbox"/> Yes <input type="checkbox"/> No  |     |    |   |
| (6) | Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.) . . . . . <input type="checkbox"/> Yes <input type="checkbox"/> No  |     |    |   |
| b   | If any answer is "Yes" to 1a(1)–(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? . . . . .<br>Organizations relying on a current notice regarding disaster assistance check here . . . . . ▶ <input type="checkbox"/>   | 1b  |    | ✓ |
| c   | Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2014? . . . . .   | 1c  |    | ✓ |
| 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? . . . . . <input type="checkbox"/> Yes <input type="checkbox"/> No<br>If "Yes," list the years ▶ 20____, 20____, 20____, 20____   |     |    |   |
| 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  |    | ✓ |
| c   | If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here.<br>▶ 20____, 20____, 20____, 20____  |     |    |   |
| 3a  | Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? . . . . . <input type="checkbox"/> Yes <input type="checkbox"/> 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  |    | ✓ |
| 4a  | Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?   | 4a  |    | ✓ |
| 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  | ✓  |   |

**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**

Organizations relying on a current notice regarding disaster assistance check here

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

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

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

**b** Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? **6b**

If "Yes" to 6b, file Form 8870.

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

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

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

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

| (a) Name and address  | (b) Title, and average hours per week devoted to position | (c) Compensation (if not paid, enter -0-) | (d) Contributions to employee benefit plans and deferred compensation | (e) Expense account, other allowances |
|---|---|---|---|---------------------------------------|
| Ting H. Liu<br>14649 N.14th Dr., Phoenix, AZ 85023          | president   | 0   | 0   | 0                                     |
| Josephine J. Liu<br>14649N.14th Dr., Phoenix, AZ 85023      | treasurer   | 0   | 0   | 0                                     |
| Jeff H. Liu<br>250 Eagle Court, Alamo, CA 94507             | secretary   | 0   | 0   | 0                                     |
| Connie H. Liao<br>13518 Silver Ivy Ln., San Diego, CA 92129 | Director  | 0   | 0   | 0                                     |

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

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

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

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

**3 Five highest-paid independent contractors for professional services (see instructions). If none, enter "NONE."**

| (a) Name and address of each person paid more than \$50,000                     | (b) Type of service | (c) Compensation |
|---|---------------------|------------------|
| NONE.   |                     |                  |
| -----   |                     |                  |
| -----   |                     |                  |
| -----   |                     |                  |
| -----   |                     |                  |
| -----   |                     |                  |
| <b>Total number of others receiving over \$50,000 for professional services</b> |                     | ▶                |

**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 |
|---|----------|
| <b>1 Stanford University</b><br>sponsor lecture series in product design for graduate students and professionals  | 10000    |
| <b>2 Cornell University</b><br>support Engineering students conducting research projects.   | 10000    |
| <b>3 Tech Museum of Innovation</b><br>Sponsor educational programs aimed at inspiring high school students learning science and engineering.  | 15000    |
| <b>4 Fidelity Charitable</b><br>It is a donor-advised giving account to allocate funds to areas where the needs are the greatest.   | 15000    |

**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 |
|--|--------|
| <b>1</b> -----<br>-----  |        |
| <b>2</b> -----<br>-----  |        |
| All other program-related investments See instructions<br><b>3</b> -----<br>-----                                |        |
| <b>Total.</b> Add lines 1 through 3 . . . . . ▶  |        |

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

|          |   |           |           |
|----------|---|-----------|-----------|
| <b>1</b> | Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:           |           |           |
| <b>a</b> | Average monthly fair market value of securities . . . . .   | <b>1a</b> | 1,424,791 |
| <b>b</b> | Average of monthly cash balances . . . . .  | <b>1b</b> |           |
| <b>c</b> | Fair market value of all other assets (see instructions) . . . . .  | <b>1c</b> |           |
| <b>d</b> | <b>Total</b> (add lines 1a, b, and c) . . . . .   | <b>1d</b> | 1424791   |
| <b>e</b> | Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) . . . . .   | <b>1e</b> |           |
| <b>2</b> | Acquisition indebtedness applicable to line 1 assets . . . . .  | <b>2</b>  |           |
| <b>3</b> | Subtract line 2 from line 1d . . . . .  | <b>3</b>  | 1424791   |
| <b>4</b> | Cash deemed held for charitable activities. Enter 1 1/2 % of line 3 (for greater amount, see instructions) . . . . .  | <b>4</b>  | 21371     |
| <b>5</b> | <b>Net value of noncharitable-use assets.</b> Subtract line 4 from line 3. Enter here and on Part V, line 4 . . . . . | <b>5</b>  | 1403420   |
| <b>6</b> | <b>Minimum investment return.</b> Enter 5% of line 5 . . . . .  | <b>6</b>  | 70171     |

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

|           |   |           |       |
|-----------|---|-----------|-------|
| <b>1</b>  | Minimum investment return from Part X, line 6 . . . . .   | <b>1</b>  | 70171 |
| <b>2a</b> | Tax on investment income for 2014 from Part VI, line 5 . . . . .  | <b>2a</b> | 1497  |
| <b>b</b>  | Income tax for 2014. (This does not include the tax from Part VI.) . . . . .  | <b>2b</b> |       |
| <b>c</b>  | Add lines 2a and 2b . . . . .   | <b>2c</b> | 1497  |
| <b>3</b>  | Distributable amount before adjustments. Subtract line 2c from line 1 . . . . .                                     | <b>3</b>  | 68674 |
| <b>4</b>  | Recoveries of amounts treated as qualifying distributions . . . . .   | <b>4</b>  |       |
| <b>5</b>  | Add lines 3 and 4 . . . . .   | <b>5</b>  | 68674 |
| <b>6</b>  | Deduction from distributable amount (see instructions) . . . . .  | <b>6</b>  |       |
| <b>7</b>  | <b>Distributable amount</b> as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1 . . . . . | <b>7</b>  | 68674 |

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

|          |  |           |       |
|----------|--|-----------|-------|
| <b>1</b> | Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes:   |           |       |
| <b>a</b> | Expenses, contributions, gifts, etc.—total from Part I, column (d), line 26 . . . . .  | <b>1a</b> | 69128 |
| <b>b</b> | Program-related investments—total from Part IX-B . . . . .   | <b>1b</b> |       |
| <b>2</b> | Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes . . . . .  | <b>2</b>  |       |
| <b>3</b> | Amounts set aside for specific charitable projects that satisfy the:   |           |       |
| <b>a</b> | Suitability test (prior IRS approval required) . . . . .   | <b>3a</b> |       |
| <b>b</b> | Cash distribution test (attach the required schedule) . . . . .  | <b>3b</b> |       |
| <b>4</b> | <b>Qualifying distributions.</b> Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4 . . . . .                                    | <b>4</b>  | 69128 |
| <b>5</b> | Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b (see instructions) . . . . . | <b>5</b>  |       |
| <b>6</b> | <b>Adjusted qualifying distributions.</b> Subtract line 5 from line 4 . . . . .  | <b>6</b>  | 69128 |

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

**Part XIII Undistributed Income** (see instructions)

|   | (a)<br>Corpus | (b)<br>Years prior to 2013 | (c)<br>2013 | (d)<br>2014  |
|---|---------------|----------------------------|-------------|--------------|
| <b>1</b> Distributable amount for 2014 from Part XI, line 7 . . . . .   |               |                            |             | <b>68674</b> |
| <b>2</b> Undistributed income, if any, as of the end of 2014:   |               |                            |             |              |
| <b>a</b> Enter amount for 2013 only . . . . .   |               |                            |             |              |
| <b>b</b> Total for prior years: 20 __, 20 __, 20 __   |               |                            |             |              |
| <b>3</b> Excess distributions carryover, if any, to 2014:   |               |                            |             |              |
| <b>a</b> From 2009 . . . . .  |               |                            |             |              |
| <b>b</b> From 2010 . . . . .  |               |                            |             |              |
| <b>c</b> From 2011 . . . . .  |               |                            |             |              |
| <b>d</b> From 2012 . . . . .  |               |                            |             |              |
| <b>e</b> From 2013 . . . . .  |               |                            |             |              |
| <b>f</b> Total of lines 3a through e . . . . .  |               |                            |             |              |
| <b>4</b> Qualifying distributions for 2014 from Part XII, line 4: ► \$ <u>69128</u>   |               |                            |             |              |
| <b>a</b> Applied to 2013, but not more than line 2a . . . . .   |               |                            |             |              |
| <b>b</b> Applied to undistributed income of prior years (Election required—see instructions) . . . . .  |               |                            |             |              |
| <b>c</b> Treated as distributions out of corpus (Election required—see instructions) . . . . .  |               |                            |             |              |
| <b>d</b> Applied to 2014 distributable amount . . . . .   |               |                            |             | <b>68674</b> |
| <b>e</b> Remaining amount distributed out of corpus . . . . .   |               |                            |             |              |
| <b>5</b> Excess distributions carryover applied to 2014 (If an amount appears in column (d), the same amount must be shown in column (a).)  |               |                            |             |              |
| <b>6</b> Enter the net total of each column as indicated below:   |               |                            |             |              |
| <b>a</b> Corpus. Add lines 3f, 4c, and 4e. Subtract line 5 . . . . .  |               |                            |             |              |
| <b>b</b> Prior years' undistributed income. Subtract line 4b from line 2b . . . . .   |               |                            |             |              |
| <b>c</b> Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed . . . . . |               |                            |             |              |
| <b>d</b> Subtract line 6c from line 6b. Taxable amount—see instructions . . . . .   |               |                            |             |              |
| <b>e</b> Undistributed income for 2013. Subtract line 4a from line 2a. Taxable amount—see instructions . . . . .  |               |                            |             |              |
| <b>f</b> Undistributed income for 2014. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2015 . . . . .  |               |                            |             | <b>0</b>     |
| <b>7</b> 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) . . . . .         |               |                            |             |              |
| <b>8</b> Excess distributions carryover from 2009 not applied on line 5 or line 7 (see instructions) . . . . .  |               |                            |             |              |
| <b>9</b> Excess distributions carryover to 2015. Subtract lines 7 and 8 from line 6a . . . . .  |               |                            |             |              |
| <b>10</b> Analysis of line 9:   |               |                            |             |              |
| <b>a</b> Excess from 2010 . . . . .   |               |                            |             |              |
| <b>b</b> Excess from 2011 . . . . .   |               |                            |             |              |
| <b>c</b> Excess from 2012 . . . . .   |               |                            |             |              |
| <b>d</b> Excess from 2013 . . . . .   |               |                            |             |              |
| <b>e</b> Excess from 2014 . . . . .   |               |                            |             |              |

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

**1a** If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 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 |          |          | (e) Total |
|--|----------|---------------|----------|----------|-----------|
|  | (a) 2014 | (b) 2013      | (c) 2012 | (d) 2011 |           |
| <b>2a</b> Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed . . . . .                      |          |               |          |          |           |
| <b>b</b> 85% of line 2a . . . . .  |          |               |          |          |           |
| <b>c</b> Qualifying distributions from Part XII, line 4 for each year listed . . . . .   |          |               |          |          |           |
| <b>d</b> Amounts included in line 2c not used directly for active conduct of exempt activities . . . . .   |          |               |          |          |           |
| <b>e</b> Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c . . . . .                                   |          |               |          |          |           |
| <b>3</b> Complete 3a, b, or c for the alternative test relied upon:  |          |               |          |          |           |
| <b>a</b> "Assets" alternative test—enter:  |          |               |          |          |           |
| <b>(1)</b> Value of all assets . . . . .   |          |               |          |          |           |
| <b>(2)</b> Value of assets qualifying under section 4942(j)(3)(B)(i) . . . . .   |          |               |          |          |           |
| <b>b</b> "Endowment" alternative test—enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed . . . . .                                |          |               |          |          |           |
| <b>c</b> "Support" alternative test—enter:   |          |               |          |          |           |
| <b>(1)</b> Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties) . . . . . |          |               |          |          |           |
| <b>(2)</b> Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii) . . . . .                                      |          |               |          |          |           |
| <b>(3)</b> Largest amount of support from an exempt organization . . . . .   |          |               |          |          |           |
| <b>(4)</b> 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).)

**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.

**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:

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

**c** Any submission deadlines:

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

**Part XV Supplementary Information (continued)**

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

| Recipient<br>Name and address (home or business)  | If recipient is an individual,<br>show any relationship to<br>any foundation manager<br>or substantial contributor | Foundation<br>status of<br>recipient | Purpose of grant or<br>contribution | Amount       |
|---|--|--------------------------------------|-------------------------------------|--------------|
| <b>a Paid during the year</b>                     |  |                                      |                                     |              |
| Stanford University, Stanford, Stanford, CA 94305 |  |                                      | education                           | 10000        |
| Cornell University, Ithca, New York               |  |                                      | education                           | 10000        |
| Tech Museum of Innovation, San Jose, CA           |  |                                      | educatioin                          | 15000        |
| Fidelity Charitable, Cincinntu, OH                |  |                                      | education                           | 15000        |
| Mayo Clinic, Scottsdale, AZ                       |  |                                      | medical research                    | 3000         |
| Andre House, Phoenix, AZ                          |  |                                      | charity                             | 2000         |
| Catholic social service, Phoenix, AZ              |  |                                      | charity                             | 2250         |
| Boys Town of Nebraska, Omaha, NE                  |  |                                      | charnty                             | 1500         |
| Parents of Murdered Children, Cincinnati, Ohio    |  |                                      | charity                             | 500          |
| St. Paul Catholic Church, Phoenix, AZ             |  |                                      | charity                             | 250          |
| <b>Total</b>                                      |  |                                      |                                     | <b>60500</b> |
| <b>b Approved for future payment</b>              |  |                                      |                                     |              |
| <b>Total</b>                                      |  |                                      |                                     |              |





**Schedule for Taxes paid in 2014 for tax year 2013**

**David H. Liu Foundatiom Tax ID 860780229**

**Federal income tax paid \$ 1732**

taxf990 2014 schedule other expenses

Tax ID 860780229 David H. Liu Foundation

Tax Return 2014

Schedule for other expenses: Part I, Line 23

|                  |         |         |
|------------------|---------|---------|
| Laptop computers | \$ 2247 |         |
| TV monitor       |         | \$ 1625 |
| office supply    | \$ 600  |         |
| Entertainment    | \$ 370  |         |
| travel           |         | \$ 960  |
| tax software     | \$ 163  |         |
| telecom          | \$ 900  |         |

# LELAND STANFORD JUNIOR UNIVERSITY

326 Galvez Street, Stanford, CA 94305-6105

## Gift Receipt

Mr. Ying Liu  
Ms. Josephine Liu  
David H. Liu Foundation  
14649 N 14th Dr  
Phoenix, AZ 85023-5194

Stanford University gratefully acknowledges your recent gift:

Date of Gift: 12/30/2014  
Type of Gift: Credit Card  
Gift Reference No.: 0003571129

Designation: The David H. Liu Lecture in Design Fund  
Gift Amount: \$10,000.00

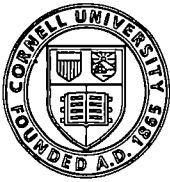
**Total Amount: \$10,000.00**

## Thank You!

*Gifts made for certain restricted purposes are assessed a small infrastructure support charge as they are expended  
No goods or services were exchanged for this gift. Please retain this receipt for income tax purposes.  
Stanford Tax ID is #94-1156365.*

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309345462



# Cornell University

January 16, 2015

David H. Liu Foundation  
For Mr. Ying H. Liu  
14649 N 14th Dr  
Phoenix, AZ 85023-5194

Dear Friend of Cornell:

On behalf of all of us at Cornell, thank you very much for your recent gift. The support of alumni, parents and friends is vital to the strength and success of the university. Your gift helps to ensure that Cornell continues to thrive. You can read more about the great impact of your gift for Cornell, its students, faculty and future, at [www.now.cornell.edu/yourimpact](http://www.now.cornell.edu/yourimpact).

I extend my sincere appreciation for your recent memorial gift.

For questions regarding this gift receipt, please contact Denise Frutchev, Manager, at (607) 254-7129 or [df22@cornell.edu](mailto:df22@cornell.edu).

Again, thank you for your gift and commitment to Cornell.

Best regards,

Richard W. Banks '72  
Associate Vice President  
Alumni Affairs and Development

### OFFICIAL GIFT RECEIPT - Please Retain for IRS Purposes

| Gift Date  | Designation             | Amount             |
|------------|-------------------------|--------------------|
| 12/31/2014 | David Liu Memorial Fund | \$10,000.00        |
|            | <b>Total:</b>           | <b>\$10,000.00</b> |

This receipt is the University's official acknowledgement of your gift whereby we certify that no goods or services were provided. The Internal Revenue Service requires proof of gifts of \$250 or more, other than a canceled check. Since gifts to Cornell University constitute a proper deduction under Income Tax laws, you should retain this letter as a proof of your gift.

Every effort has been made to ensure the accuracy of this receipt. If any errors were made, please accept our sincere apology and notify Advancement Services at 607-254-7134. Mailing address: Advancement Services 130 E Seneca Street, Suite 400, Ithaca, NY 14850. 379019-3616646-1747928

January 13, 2015

Mr. Ying Liu  
The David H. Liu Foundation  
14649 North 14th Drive  
Phoenix, AZ 85023

Dear Mr. Liu,

On behalf of The Tech Museum of Innovation, I am pleased to acknowledge The David H. Liu Foundation's generous donation of \$15,000.00. We received your contribution on December 30, 2014.

As in years past, we have allocated \$9,000.00 of this grant to support The Tech Challenge and \$6,000.00 toward scholarships.

Your support of The Tech Challenge 2014-15 "Seismic Engineering in Action!" is appreciated by us and the thousands of young people who will be participating in this year's program. It has been a tremendous success in teaching creativity, teamwork, patience, leadership, risk-taking, problem solving, perseverance, and presentation skills. As you know, this year's young people are challenged to design a structure that will withstand an earthquake – particularly important in our region of course. We certainly hope you will join us on April 25<sup>th</sup> and 26<sup>th</sup> to witness the culmination of months of work by these young innovators at our 28<sup>th</sup> Tech Challenge event days. These are always exciting days that celebrate their successes, failures, and lessons learned through the design-challenge process.

For the David H. Liu Memorial Scholarship Program, the application period has just opened, and we are again anticipating an extremely competitive pool of applicants. We will share the exciting results with you once the recipients are selected.

Thank you again for The David H. Liu Foundation's generosity. With your support, The Tech is ever-evolving, always with a goal of being a space that can be most utilized by our entire community to learn, explore, invent, share ideas, and have fun while doing so.

Sincerely,



Tim Ritchie  
President and CEO

*Thanks so much.  
Many times a year I look  
at David's picture on the  
plaque with the names  
of the Liu scholarship winners.  
I trust we are honoring his  
legacy. We are grateful for your support.*

*Tim*

**President & CEO**  
Tim Ritchie

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Jami Dover Nachtsheim  
Omikaram Nalamasu  
Stuart C. Pann  
Daniel Perez  
A. Peter Relan  
Matthew A. Sapp  
Archana Sathaye  
Judy C. Swanson  
James Vanides  
John Vitalie  
Steve Young



St. Mary's  
Food Bank  
ALLIANCE

Stardust Foundation Campus  
2831 N. 31<sup>st</sup> Ave.  
Phoenix, AZ 85009

Surprise  
13050 W. Elm St.  
Surprise, AZ 85378

Flagstaff  
201 E. Birch Ave. Suite 14  
Flagstaff, AZ 86001

January 6, 2015

Ms. Ying H. Liu  
David H. Liu Foundation  
14649 N 14th Dr  
Phoenix, AZ 85023-5194

Dear Ms. Liu,

Our busiest season is here and I wanted to tell you how grateful I am for your recent generosity. Your gift of \$250.00 on 12/31/2014 is important to us and we appreciate your friendship. You have been committed to St. Mary's since 1999 and that means a great deal to us. Thank you!

You make it possible for people to get the extra help they need this time of year. Food shouldn't be a luxury, but for so many people who are struggling, the winter season brings numerous challenges.

With the weather changing, children who have outgrown last year's pants, jackets and shoes need some new clothes, stretching already strapped budgets. The mornings are getting cooler and it breaks my heart to see the young ones waiting in line before our doors open with bare legs and sandals when they should be bundled up.

A typical food box from St. Mary's Food Bank may include staple items like chicken, beef, or peanut butter, fresh produce, cereal, pasta, rice and beans, bread and baked goods. There is a good variety and we work hard to make sure that our friends in need walk away with a nutritionally balanced supply of food.

You want your donation to make an impact. We are proud that more than 96% of all donations go directly to mission-critical programs and every \$1 donated to St. Mary's will provide 7 meals to our hungry neighbors. You help us provide food to more than 300 nonprofit partner agencies in Arizona and we're able to distribute enough food for 250,000 meals every single day. This is not possible without dedicated supporters like you. Again, I thank you!

We work hard to be efficient with your donation. You are invited to come down to the food bank for a tour to see firsthand how your gifts are feeding people today. If you ever have questions or would like to see the food bank in action, please call our Development department at 602-242-3663. We would welcome the opportunity to talk to you.

Your friendship is so important and your donation is already working hard to put food on the tables of hungry people in Arizona.

Thank you for caring,

Beverly B. Damore  
President and CEO

P.S. Please stay in touch with us through Facebook and our website [www.StMarysFoodBank.org](http://www.StMarysFoodBank.org)

*St. Mary's Food Bank Alliance is a 501(c)(3) nonprofit organization. No goods or services were provided in exchange for your financial donation. St. Mary's Food Bank Alliance is a qualifying charity of the Arizona Working Poor Tax Credit program.*

phone: (602) 242-FOOD (3663) fax: (480) 393-4511  
[www.StMarysFoodBank.org](http://www.StMarysFoodBank.org)

A Member of  
**FEEDING  
AMERICA**



# National Organization of Parents Of Murdered Children, Inc.

*For the families and friends of those who have died by violence*

---

**National Office:**

4960 Ridge Avenue, Suite 2 • Cincinnati, OH 45209 • (513) 721-5683  
Fax: (513) 345-4489 • [www.pomc.org](http://www.pomc.org) • Email: [natlpomc@pomc.org](mailto:natlpomc@pomc.org)

**Satellite Office:**

Dan Levey, Executive Director • P.O. Box 625 • Phoenix, AZ 85001  
Phone: (602) 492-9205 • Email: [dlevey@pomc.org](mailto:dlevey@pomc.org)

January 7, 2014

David H. Liu Foundation  
14649 N 14<sup>th</sup> Drive  
Phoenix, AZ 85023-5194

Dear Ying:

On behalf of the National Board of Trustees and the National Organization of Parents Of Murdered Children, Inc., we extend our sincere appreciation for your generous donation of \$250.00 in memory of David.

Your donation to the National Organization of Parents Of Murdered Children, Inc., qualifies under Section 501 (c)(3) of the Internal Revenue Code as a tax deduction and our EIN# is 31-1023437. Please keep this letter for tax purposes, as it will serve as acknowledgement that Parents Of Murdered Children, Inc. has not provided any goods or services to you in consideration for this contribution.

Again, thank you for your generosity, kindness and compassion in this difficult economy so that we can continue working for the families and friends of those who have died by violence.

Sincerely,

Dan Levey  
Executive Director

*Every day, patients from all over the world come to Mayo Clinic seeking trusted answers from our physicians and scientists. We are grateful for your gift that advances our mission, putting the needs of the patient at the center of everything we do.*

*Your generosity helps accelerate scientific discovery to give patients hope. Today, your support of Mayo Clinic is more important than ever. As a not-for-profit institution, Mayo Clinic transforms medicine when visionary people partner with us.*

*Thank you for your gift to Mayo Clinic.*

*Michael Camilleri, M.D.  
Executive Dean for Development  
Atherton and Winifred W. Bean Professor  
Professor of Medicine, Physiology and Pharmacology  
Distinguished Investigator, Mayo Clinic*

---

4500 San Pablo Road  
Jacksonville, Florida 32224  
904-953-7200

200 First Street SW  
Rochester, Minnesota 55905  
507-284-8540

13400 East Shea Boulevard  
Scottsdale, Arizona 85259  
480-301-8326



This receipt acknowledges that Mayo Clinic received the following gift.

**Official Gift Receipt**

DATE: 1/14/2015  
AMOUNT: \$1,000.00  
DESIGNATION: cardiovascular surgery research

Receipt #: 2263011

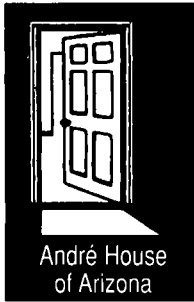
Mr. David H. Liu  
14649 N 14th Dr  
Phoenix, AZ 85023-5194

A handwritten signature in black ink that reads "Michael Camilleri".

Michael Camilleri, M.D.  
EIN: 41-6011702 / PH: 800-297-1185

MC5654rev1213

*We certify that Mayo provided no goods or services in exchange for this gift. Please retain this receipt for tax purposes.*



January 21, 2015

Post Office Box 2014  
Phoenix, AZ 85001-2014  
(602) 255-0580  
www.andrehouse.org

David H. Lui  
14649 N. 14<sup>th</sup> Drive  
Phoenix, AZ 85023-5194

Dear David,

Thank you for your most extraordinary gift! A gift such as yours is a remarkable contribution to the guests we serve and a reminder of the sacred trust that you place in Andre House and me. Thank you.

Four months ago I arrived in Phoenix at Andre House. The two of you have been amazing friends and volunteers over the past months. During that time, as I have been adjusting and learning the ropes, Andre House Staff and volunteers have served 58,880 meals, given out more than 1,200 blankets and 400 sleeping bags, provided clothing to more than 2,500 people, provided showers for more than 2,500 people, done laundry for more than 600 people, given out 300 backpacks, and sheltered a dozen men in transitional housing for an average of two months each.

Br. Richard, the dedicated team of 5 Core Team Members, and more than 3,000 volunteers have made it possible to provide more than 60,000 services to individual people one-at-a-time. The volume of services is dizzying but each individual is served as if they are the only one that matters. I have learned so much from the example of our Core Team and Volunteers.

The Arizona Republic asked me to respond to several questions for their Christmas Eve newspaper. The last question asked was "*What's the best thing about being the director of Andre House?*" My response was: "*There are two best things: I work with the most generous staff and humble volunteers in the world, and I enjoy the privilege of serving as a broker for this great community's incredible generosity.*"

I am deeply grateful for your gift, which provides Andre House with the privilege of providing dignity and service to the men and women who need a few things and a community to love them back on their feet.

Sincerely,

Rev. Thomas P. Doyle, CSC  
Director, Andre House

**For your records, please note that André House of Arizona is a Section 501 (c)(3) organization (to whom contributions are eligible for a charitable deduction under section 170 of the Internal Revenue Code of 1986, as amended). Our non-profit tax identification number is 86-0717841. The IRS asks that we explicitly state: you received no tangible products or services in exchange for your \$2,000.00 contribution (check #480 dated 12/30/2014). Your gift to Andre House may be eligible for the Arizona Working Poor Tax Credit. Please consult your tax advisor. Thank you again.**

Feb. 6, 2015

**THANK YOU!** – Tax Receipt enclosed

Mr. Ying H Liu  
14649 N 14th Dr  
Phoenix, AZ 85023-5194

Dear Mr. Liu,

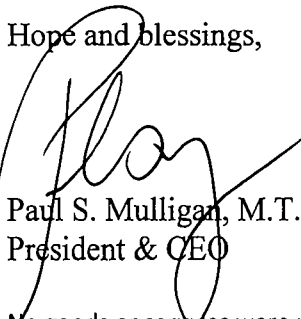
I am so grateful for your compassionate gift in 12/30/2014 of \$2250 to support those whose daily lives are a struggle in our community.

Your gift helps provide programs to move the clients we serve from crisis to stable and on to thriving. Your contribution is making it possible for our work to touch the lives of over 107,000 children and adults across central and northern Arizona - those most in need.

On behalf of our Board of Directors, staff and clients I want to thank you for your generosity.

Thank you again for your most appreciated and life-changing support!

Hope and blessings,



Paul S. Mulligan, M.T.S.  
President & CEO

*Mr. Liu,  
THANK YOU for your wonderful support  
of our work! We appreciate your  
contribution to our efforts  
to serve the most  
vulnerable.*

No goods or services were promised or provided by Catholic Charities Community Services, Inc. in return for this gift. Your gift is tax-deductible as allowed by the law. Tax ID 86-0223999.

Your contributions to Catholic charities may qualify you for up to a **\$400 charitable tax credit** on your Arizona tax return. That is a dollar-for-dollar credit. Please consult with your tax advisor.

*among us  
God bless you for  
your generosity.*



4747 N 7th Ave.  
Phoenix, AZ 85013  
602.285.1999  
info@cc-az.org





**THE SOCIETY OF  
ST. VINCENT DE PAUL**

Stephen J. Zabilski  
Executive Director

January 14, 2015

Mr. Ying Liu  
David H. Liu Foundation  
14649 N 14th Dr  
Phoenix, AZ 85023-5194

Dear Mr. Liu:

Thank you so much for your gift of \$500.00, received on December 31, 2014.

Keeping families united is so important, and it is because of people like you that, even through tough times, families are able to stay together.

One of those families is Mary, a single mom with two teenage daughters, Susan and Christine. Mary was working and able to support her family until Susan suffered a breakdown. Medications were not working, and it broke Mary's heart to see Susan suffering. She knew that the only way to help her daughter was to be there for her, both emotionally and physically, which meant she would have to leave her job of five years. She used her savings and the help of family members to provide for her daughters, but as time went on, her savings were depleted and her family was no longer able to help.

She contacted St. Vincent de Paul, and we were able to provide one-time mortgage assistance which kept a roof over their heads. Once Susan started responding to her medication and was able to return to school, St. Vincent de Paul's Job Opportunity Program helped Mary update her resume, research job leads and develop a plan to get back on her feet.

Mary and her daughters still visit our family dining room, and it is such a joy to see Susan, a talented artist helping the children with projects in our Dream Center.

It is because of your support that this family was able to get through a very rough time in their lives with dignity. And it is because of you that they now share their love by helping others.

Sincerely,

Stephen J. Zabilski  
Executive Director

God Bless you for your love & support, we are truly grateful for ALL that you have possible.

**For tax purposes:**

- Your contribution up to \$400.00 may qualify for Arizona's "Helping the Working Poor" Tax Credit
- The Society of St. Vincent de Paul is a 501(c)(3) non-profit organization, tax ID #86-0096789
- You received no goods or services in exchange for your gift. Please keep this acknowledgment for your tax records



P.O. Box 770001  
Cincinnati, OH 45277-0053

ENV 601000646  
THE DAVID H. LIU FOUNDATION  
THE DAVID H. LIU FOUNDATION  
14649 N 14TH DRIVE  
PHOENIX, AZ 85023-5194

January 2, 2015

Dear The David H. Liu Foundation:

Thank you for your generous contribution to Fidelity Charitable. This letter serves as a record of your contribution for tax deduction purposes. Please note that Fidelity Charitable has exclusive legal control over the contributed asset, and this contribution is irrevocable and cannot be refunded. Your cash contribution, or the proceeds from the sale of the contributed asset, has been allocated to the David H. Liu Foundation.

| Receive Date               | Transaction Date | Description | Shares | Price | Proceeds            | Fair Market Value   |
|----------------------------|------------------|-------------|--------|-------|---------------------|---------------------|
| 12/31/14                   | 01/02/15         | CASH        | --     | --    | \$ 15,000.00        | \$ 15,000.00        |
| <b>Total Contribution:</b> |                  |             |        |       | <b>\$ 15,000.00</b> | <b>\$ 15,000.00</b> |

The tax-deductible value of a charitable contribution is generally the Fair Market Value on the date of the contribution. This confirmation reports the Fair Market Value for cash contributions as the amount of cash received. For publicly-traded securities, the Fair Market Value is reported as the average of the high and low prices on the date Fidelity Charitable received the contribution (i.e., the "Receive Date"). For all other assets, the Fair Market Value is reported as "N/A". Generally, unless an exception is available, you need an appraisal for contributions of non-publicly traded assets for which you claim a deduction of more than \$5,000.

Unless you are a named Account Holder or Authorized Interested Party on the Giving Account, you do not receive any privileges over this Giving Account by making this contribution and no goods or services were provided to you in exchange for or in consideration of this contribution.

Sincerely,

## Fidelity Charitable

Information provided is general and educational in nature. It is not intended to be, and should not be construed as, legal or tax advice. Fidelity Charitable does not provide legal or tax advice. Content provided relates to taxation at the federal level only. Availability of certain federal income tax deductions may depend on whether you itemize deductions. Rules and regulations regarding tax deductions for charitable giving vary at the state level, and laws of a specific state or laws relevant to a particular situation may affect applicability, accuracy, or completeness of information provided. Charitable contributions of capital gain property held for more than one year are usually deductible at fair market value. Deductions for capital gain property held for one year or less are usually limited to cost basis. Consult an attorney or tax advisor regarding your specific situation.

Fidelity Charitable is the brand name for the Fidelity(R) Charitable Gift Fund, an independent public charity with a donor-advised fund program. Various Fidelity companies provide services to Fidelity Charitable. The Fidelity Charitable logo is a service mark, and Fidelity Charitable and Fidelity are registered service marks, of FMR LLC, used by Fidelity Charitable under license. Giving Account is a registered service mark of the Trustees of the Fidelity Charitable.

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Transactions Statements & Reports **Realized Gain / Loss**

View Unrealized Gain/Loss

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Cost Basis Calculator Rules & Assumptions

Select Date Range.

From  To  Search

Previous Calendar Year ▾

Reporting Period: 01/01/2014 to 12/31/2014

Proceeds **\$3,949,884.03** Cost Basis **\$3,871,689.86** Total Gain/Loss **+\$78,194.17 (2.02%)** Long Term Gain/Loss **+\$7,566.73 (21.06%)** Short Term Gain/Loss **+\$70,627.44 (1.84%)**

1 2 Next>

| Symbol | Name (Full   Short)      | Closed Date | Quantity | Proceeds    | Cost Basis  | Gain/Loss (\$   %) |           |             |
|--------|--------------------------|-------------|----------|-------------|-------------|--------------------|-----------|-------------|
|        |                          |             |          |             |             | Total              | Long Term | Short Term  |
| DGHCX  | ALLIANZ GI HEALTH SCIENC | 12/23/2014  | 1,000    | \$32,230.05 | \$33,256.45 | -\$1,026.40        |           | -\$1,026.40 |
| DGHCX  | ALLIANZ GI WELLNESS D    | 11/10/2014  | 300      | \$11,047.05 | \$11,042.61 | +\$4.44            |           | +\$4.44     |
| DGHCX  | ALLIANZ GI WELLNESS D    | 11/24/2014  | 500      | \$18,615.05 | \$18,404.36 | +\$210.69          |           | +\$210.69   |
| DGHCX  | ALLIANZ GI WELLNESS D    | 11/25/2014  | 500      | \$18,600.05 | \$18,404.35 | +\$195.70          |           | +\$195.70   |
| MMCFX  | AMG MANAGERS EMRG OPPTY  | 05/06/2014  | 300      | \$13,308.00 | \$14,562.27 | -\$1,254.27        |           | -\$1,254.27 |
| MMCFX  | AMG MANAGERS EMRG OPPTY  | 05/07/2014  | 918.507  | \$40,428.65 | \$44,585.14 | -\$4,156.49        |           | -\$4,156.49 |
| SKSEX  | AMG MANAGERS SKYLINE SPE | 05/14/2014  | 300      | \$11,469.00 | \$11,180.89 | +\$288.11          |           | +\$288.11   |
| SKSEX  | AMG MANAGERS SKYLINE SPE | 05/15/2014  | 500      | \$18,840.05 | \$18,634.82 | +\$205.23          |           | +\$205.23   |
| SKSEX  | AMG MANAGERS SKYLINE SPE | 05/16/2014  | 556.007  | \$20,920.65 | \$20,722.19 | +\$198.46          |           | +\$198.46   |
| BPTRX  | BARON PARTNERS FUND      | 01/09/2014  | 500      | \$16,255.05 | \$16,068.66 | +\$186.39          |           | +\$186.39   |
| BPTRX  | BARON PARTNERS FUND      | 01/13/2014  | 433.494  | \$13,865.21 | \$13,931.34 | -\$66.13           |           | -\$66.13    |
| BPTRX  | BARON PARTNERS FUND      | 04/25/2014  | 500      | \$17,095.05 | \$17,674.03 | -\$578.98          |           | -\$578.98   |
| BPTRX  | BARON PARTNERS FUND      | 05/14/2014  | 450      | \$15,434.55 | \$15,893.74 | -\$459.19          |           | -\$459.19   |
| BPTRX  | BARON PARTNERS FUND      | 05/16/2014  | 300      | \$10,186.05 | \$10,595.83 | -\$409.78          |           | -\$409.78   |
| BPTRX  | BARON PARTNERS FUND      | 05/20/2014  | 200      | \$6,716.05  | \$7,045.02  | -\$328.97          |           | -\$328.97   |
| BPTRX  | BARON PARTNERS FUND      | 05/27/2014  | 1,500    | \$52,180.05 | \$52,837.64 | -\$657.59          |           | -\$657.59   |
| BPTRX  | BARON PARTNERS FUND      | 05/29/2014  | 350.024  | \$12,165.89 | \$12,329.63 | -\$163.74          |           | -\$163.74   |
| BPTRX  | BARON PARTNERS FUND      | 06/11/2014  | 600      | \$21,310.05 | \$21,377.44 | -\$67.39           |           | -\$67.39    |

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Transactions Statements & Reports **Realized Gain / Loss**

View Unrealized Gain/Loss

Trades made today will not appear until tomorrow  
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Select Date Range

From:  To:  Search

Previous Calendar Year

Reporting Period: 01/01/2014 to 12/31/2014

Proceeds **\$1,023,104.51** Cost Basis **\$945,020.90** Total Gain/Loss **+\$78,083.61 (8.26%)** Long Term Gain/Loss **+\$57,851.85 (32.72%)** Short Term Gain/Loss **+\$20,231.76 (2.63%)**

| Symbol | ▲ Name (Full   Short)      | Closed Date | Quantity | Proceeds    | Cost Basis  | Gain/Loss (\$   %) |             |             |
|--------|----------------------------|-------------|----------|-------------|-------------|--------------------|-------------|-------------|
|        |                            |             |          |             |             | Total              | Long Term   | Short Term  |
| DGHGX  | ALLIANZ GI HEALTH SCIENC.  | 12/22/2014  | 300      | \$9,877.05  | \$10,207.44 | -\$330.39          |             | -\$330.39   |
| AAL    | AMERICAN AIRLS GROUP INC   | 10/22/2014  | 500      | \$18,915.63 | \$18,502.90 | +\$412.73          |             | +\$412.73   |
| AAL    | AMERICAN AIRLS GROUP INC   | 12/26/2014  | 500      | \$26,100.47 | \$20,676.90 | +\$5,423.57        |             | +\$5,423.57 |
| MMCFX  | AMG MANAGERS EMRG OPPTY    | 05/06/2014  | 100      | \$4,436.00  | \$4,823.44  | -\$387.44          |             | -\$387.44   |
| MMCFX  | AMG MANAGERS EMRG OPPTY .. | 05/07/2014  | 404.082  | \$17,807.89 | \$19,490.66 | -\$1,682.77        |             | -\$1,682.77 |
| SKSEX  | AMG MANAGERS SKYLINE SPE   | 05/14/2014  | 200      | \$7,646.00  | \$6,360.47  | +\$1,285.53        | +\$1,285.53 |             |
| SKSEX  | AMG MANAGERS SKYLINE SPE   | 05/15/2014  | 452.616  | \$16,951.24 | \$14,394.25 | +\$2,556.99        | +\$1,282.99 | +\$1,274.00 |
| BPTRX  | BARON PARTNERS FUND        | 05/14/2014  | 300      | \$10,273.05 | \$10,586.74 | -\$313.69          |             | -\$313.69   |
| BPTRX  | BARON PARTNERS FUND        | 05/15/2014  | 300      | \$10,129.05 | \$10,586.74 | -\$457.69          |             | -\$457.69   |
| BPTRX  | BARON PARTNERS FUND        | 05/27/2014  | 100      | \$3,432.05  | \$3,512.27  | -\$80.22           |             | -\$80.22    |
| BPTRX  | BARON PARTNERS FUND        | 05/29/2014  | 350      | \$12,165.05 | \$12,292.94 | -\$127.89          |             | -\$127.89   |
| BPTRX  | BARON PARTNERS FUND        | 06/02/2014  | 353.285  | \$12,290.30 | \$12,408.31 | -\$118.01          |             | -\$118.01   |
| BPTRX  | BARON PARTNERS FUND        | 10/13/2014  | 278.474  | \$8,855.47  | \$10,000.00 | -\$1,144.53        |             | -\$1,144.53 |
| BBRY   | BLACKBERRY LTD F           | 08/18/2014  | 500      | \$4,865.94  | \$5,648.95  | -\$783.01          |             | -\$783.01   |
| BVAOX  | BROADVIEW OPPTY FD         | 03/11/2014  | 300      | \$12,120.00 | \$10,516.51 | +\$1,603.49        | +\$717.63   | +\$885.86   |
| BVAOX  | BROADVIEW OPPTY FD         | 04/22/2014  | 264.097  | \$10,614.06 | \$9,257.93  | +\$1,356.13        | +\$776.23   | +\$579.90   |
| BUFOX  | BUFFALO EMRG OPPTY FD      | 03/11/2014  | 500      | \$10,150.00 | \$8,774.08  | +\$1,375.92        |             | +\$1,375.92 |
| BUFOX  | BUFFALO EMRG OPPTY FD      | 03/12/2014  | 1,000    | \$20,320.00 | \$17,548.16 | +\$2,771.84        |             | +\$2,771.84 |

|       |                          |            |         |             |             |              |              |
|-------|--------------------------|------------|---------|-------------|-------------|--------------|--------------|
| BUFOX | BUFFALO EMRG OPPTY FD    | 03/13/2014 | 500     | \$10,005 00 | \$8,774 08  | +\$1,230 92  | +\$1,230 92  |
| BUFOX | BUFFALO EMRG OPPTY FD    | 03/24/2014 | 500     | \$9,850 00  | \$8,774 08  | +\$1,075 92  | +\$1,075 92  |
| BUFOX | BUFFALO EMRG OPPTY FD    | 03/25/2014 | 1,000   | \$19,575 85 | \$17,548 16 | +\$2,027 69  | +\$2,027 69  |
| BUFOX | BUFFALO EMRG OPPTY FD    | 04/24/2014 | 1,000   | \$17,600 00 | \$17,548 16 | +\$51 84     | +\$51 84     |
| BUFOX | BUFFALO EMRG OPPTY FD    | 04/25/2014 | 720 269 | \$12,177 27 | \$12,639 39 | -\$462 12    | -\$462 12    |
| EOG   | E O G RESOURCES INC      | 12/09/2014 | 100     | \$8,908 85  | \$11,309 85 | -\$2,401 00  | -\$2,401 00  |
| FB    | FACEBOOK INC CLASS A     | 04/22/2014 | 66      | \$4,157 94  | \$3,246 70  | +\$911 24    | +\$911 24    |
| FB    | FACEBOOK INC CLASS A     | 04/22/2014 | 34      | \$2,141 63  | \$1,672 54  | +\$469 09    | +\$469 09    |
| THRM  | GENTHERM INC             | 10/20/2014 | 200     | \$7,882 88  | \$7,908 95  | -\$26 07     | -\$26 07     |
| THRM  | GENTHERM INC             | 11/06/2014 | 200     | \$8,200 87  | \$9,960 95  | -\$1,760 08  | -\$1,760 08  |
| GASFX | HENNESSY GAS UTILITY IND | 05/12/2014 | 493 346 | \$14,237 35 | \$14,446 00 | -\$208 65    | -\$208 65    |
| HDPMX | HODGES FUND              | 05/21/2014 | 200     | \$7,518.00  | \$7,156 52  | +\$361 48    | +\$361.48    |
| HDPMX | HODGES FUND              | 08/29/2014 | 350     | \$14,364 00 | \$12,523 91 | +\$1,840 09  | +\$1,840 09  |
| HDPMX | HODGES FUND              | 09/02/2014 | 200     | \$8,280.00  | \$7,156 52  | +\$1,123 48  | +\$1,123 48  |
| HDPMX | HODGES FUND              | 11/04/2014 | 300     | \$11,646 00 | \$10,791 16 | +\$854 84    | +\$854 84    |
| HDPMX | HODGES FUND              | 11/13/2014 | 386 242 | \$15,305 96 | \$13,893 34 | +\$1,412 62  | +\$1,412 62  |
| HDPXS | HODGES SMALL CAP         | 08/15/2014 | 1,270   | \$25,070 65 | \$24,397 07 | +\$673.58    | +\$673 58    |
| HDPXS | HODGES SMALL CAP         | 09/18/2014 | 500     | \$10,140 00 | \$9,605 15  | +\$534 85    | +\$534 85    |
| HDPXS | HODGES SMALL CAP         | 09/22/2014 | 780 716 | \$15,426.95 | \$14,997 78 | +\$429 17    | +\$429 17    |
| JAGLX | JANUS GLOBAL LIFE SCIENC | 03/24/2014 | 300     | \$13,917 00 | \$12,784 09 | +\$1,132 91  | +\$1,132.91  |
| JAGLX | JANUS GLOBAL LIFE SCIENC | 03/28/2014 | 300     | \$13,578.00 | \$12,784.09 | +\$793 91    | +\$793 91    |
| JAGLX | JANUS GLOBAL LIFE SCIENC | 04/04/2014 | 400     | \$17,864 00 | \$17,234 94 | +\$629 06    | +\$629.06    |
| JAGLX | JANUS GLOBAL LIFE SCIENC | 05/09/2014 | 240     | \$10,660 80 | \$10,504 68 | +\$156 12    | +\$156 12    |
| JAGLX | JANUS GLOBAL LIFE SCIENC | 06/20/2014 | 320     | \$15,488 00 | \$14,207 82 | +\$1,280 18  | +\$1,280 18  |
| JAGLX | JANUS GLOBAL LIFE SCIENC | 08/19/2014 | 300     | \$15,393 00 | \$13,404 24 | +\$1,988 76  | +\$1,988 76  |
| JAGLX | JANUS GLOBAL LIFE SCIENC | 08/21/2014 | 300     | \$15,294 00 | \$13,404 24 | +\$1,889 76  | +\$1,889 76  |
| KS    | KAPSTONE PAPER & PCKG CP | 11/18/2014 | 200     | \$6,142 91  | \$6,614 95  | -\$472 04    | -\$472 04    |
| KBH   | KB HOME                  | 02/24/2014 | 700     | \$13,325 82 | \$16,899 95 | -\$3,574 13  | -\$3,574 13  |
| GMCR  | KEURIG GREEN MTN INC     | 08/22/2014 | 100     | \$13,420 75 | \$12,406 95 | +\$1,013.80  | +\$1,013.80  |
| KORS  | MICHAEL KORS HLDGS F     | 01/14/2014 | 500     | \$38,561.48 | \$26,543 55 | +\$12,017 93 | +\$12,017.93 |

|       |                           |            |           |             |             |              |  |                       |
|-------|---------------------------|------------|-----------|-------------|-------------|--------------|--|-----------------------|
| OAKGX | OAKMARK GLOBAL FUND CL I  | 01/09/2014 | 135 783   | \$4,035 76  | \$4,068 88  | -\$33 12     |  | -\$33.12              |
| OAKLX | OAKMARK SELECT FUND       | 08/13/2014 | 150       | \$6,696 00  | \$6,405 93  | +\$290 07    |  | +\$290 07             |
| OAKLX | OAKMARK SELECT FUND       | 12/17/2014 | 750       | \$33,525 00 | \$32,029 67 | +\$1,495 33  |  | +\$1,495 33           |
| OAKLX | OAKMARK SELECT FUND       | 12/18/2014 | 24        | \$972 00    | \$1,024 95  | -\$52 95     |  | -\$52.95              |
| PCRDY | PIMCO COMMODITY REAL RET  | 05/08/2014 | 720 268   | \$4,235 64  | \$4,300 00  | -\$64 36     |  | -\$64 36              |
| PCRDY | PIMCO COMMODITY REAL RET  | 05/22/2014 | 1,678.143 | \$9,951 78  | \$10,000.00 | -\$48 22     |  | -\$48 22              |
| PONDY | PIMCO INCM CL D           | 05/05/2014 | 322 884   | \$3,999 02  | \$4,020 00  | -\$20 98     |  | -\$20 98              |
| POAGX | PRIMECAP ODYSSEY AGGR GR  | 05/07/2014 | 350       | \$10,185 00 | \$7,719 45  | +\$2,465 55  |  | +\$2,465 55           |
| POAGX | PRIMECAP ODYSSEY AGGR GR. | 05/16/2014 | 350       | \$10,244 50 | \$7,719 45  | +\$2,525.05  |  | +\$2,525 05           |
| POAGX | PRIMECAP ODYSSEY AGGR GR  | 06/02/2014 | 300       | \$9,135 00  | \$6,616.67  | +\$2,518 33  |  | +\$2,518 33           |
| POAGX | PRIMECAP ODYSSEY AGGR GR  | 08/29/2014 | 250       | \$8,375 00  | \$5,978 80  | +\$2,396.20  |  | +\$2,396 20           |
| POAGX | PRIMECAP ODYSSEY AGGR GR  | 09/22/2014 | 500       | \$16,280 00 | \$11,957 60 | +\$4,322 40  |  | +\$4,322 40           |
| POAGX | PRIMECAP ODYSSEY AGGR GR  | 10/01/2014 | 400       | \$12,524 00 | \$9,566 09  | +\$2,957 91  |  | +\$2,957 91           |
| POGRX | PRIMECAP ODYSSEY GROWTH   | 04/25/2014 | 500       | \$11,750 00 | \$11,322 61 | +\$427 39    |  | +\$366 32 +\$61 07    |
| POGRX | PRIMECAP ODYSSEY GROWTH   | 06/09/2014 | 1,000     | \$24,870 00 | \$22,645 21 | +\$2,224 79  |  | +\$653 18 +\$1,571 61 |
| POGRX | PRIMECAP ODYSSEY GROWTH   | 08/25/2014 | 390       | \$10,120.50 | \$8,831 63  | +\$1,288 87  |  | +\$1,288 87           |
| POGRX | PRIMECAP ODYSSEY GROWTH   | 10/01/2014 | 782 061   | \$19,590 63 | \$17,709 94 | +\$1,880 69  |  | +\$1,880 69           |
| BIPIX | PROFUNDS BIOTECHNOLOGY I. | 10/01/2014 | 77 7      | \$4,843.04  | \$5,000 00  | -\$156 96    |  | -\$156 96             |
| REGN  | REGENERON PHARMS INC      | 06/20/2014 | 100       | \$28,517 42 | \$24,690 48 | +\$3,826 94  |  | +\$3,826 94           |
| REGN  | REGENERON PHARMS INC      | 08/18/2014 | 100       | \$34,990 28 | \$24,690 47 | +\$10,299 81 |  | +\$10,299 81          |
| RYVYX | RYDEX NASDAQ-100 2X STRA  | 09/25/2014 | 30        | \$9,954 90  | \$10,394 25 | -\$439 35    |  | -\$439 35             |
| RYVYX | RYDEX NASDAQ-100 2X STRA  | 10/01/2014 | 35        | \$11,481.40 | \$12,126 62 | -\$645 22    |  | -\$645 22             |
| RYVYX | RYDEX NASDAQ-100 2X STRA. | 10/13/2014 | 10        | \$2,988 00  | \$3,464 75  | -\$476 75    |  | -\$476 75             |
| RYVYX | RYDEX NASDAQ-100 2X STRA  | 10/14/2014 | 20        | \$5,981 80  | \$6,929 50  | -\$947 70    |  | -\$947 70             |
| RYVYX | RYDEX NASDAQ-100 2X STRA  | 10/16/2014 | 33 809    | \$9,866 48  | \$11,713 96 | -\$1,847 48  |  | -\$1,847 48           |
| RYOCX | RYDEX NASDAQ-100 FUND IN  | 09/17/2014 | 500       | \$12,110.00 | \$11,938 15 | +\$171.85    |  | +\$171 85             |
| RYNVX | RYDEX NOVA FUND INV CL    | 09/25/2014 | 200       | \$9,124 00  | \$9,228 51  | -\$104 51    |  | -\$104 51             |
| RYNVX | RYDEX NOVA FUND INV CL    | 10/29/2014 | 100       | \$4,613 00  | \$4,585 72  | +\$27 28     |  | +\$27.28              |
| SUNE  | SUNEDISON INC             | 12/31/2014 | 300       | \$5,858 92  | \$6,470 95  | -\$612 03    |  | -\$612 03             |
| SPWR  | SUNPOWER CORP             | 06/04/2014 | 500       | \$17,240 67 | \$9,482 46  | +\$7,758 21  |  | +\$7,758 21           |

|      |                  |            |     |             |             |             |             |             |
|------|------------------|------------|-----|-------------|-------------|-------------|-------------|-------------|
| SPWR | SUNPOWER CORP    | 06/13/2014 | 500 | \$17,890.65 | \$15,200.84 | +\$2,689.81 | +\$1,681.64 | +\$1,008.17 |
| SPWR | SUNPOWER CORP    | 11/25/2014 | 500 | \$14,600.73 | \$17,108.95 | -\$2,508.22 |             | -\$2,508.22 |
| TE   | TECO ENERGY INC  | 11/25/2014 | 300 | \$5,846.92  | \$6,052.96  | -\$206.04   |             | -\$206.04   |
| VGR  | VECTOR GROUP LTD | 11/25/2014 | 840 | \$17,622.26 | \$17,296.95 | +\$325.31   |             | +\$325.31   |

Total includes missing cost basis values for one or more lots

The total Realized Gain/Loss for this account includes values for Short Positions held in the account. For more information on summary totals when there are Short Positions, please see the Help Section

Data for this holding has been edited

**N/A** Not Available

Wash Sale activity has adjusted this cost. For additional information, click here

values for fixed income securities have been adjusted for amortization/accretion with the exception of variable rate and mortgage-backed securities or for accounts with this preference turned off

Total Cash represents income and expenses as they occur. It may be inconsistent with values shown elsewhere on Schwab.com and on your monthly account statement.

The Realized Gain/Loss page provides summary information of closed transactions. Not all closed transactions appear on this page.

Please view the Cost Basis Disclosure Statement for additional information on cost basis methods choices and how Schwab reports adjusted cost basis information to the IRS.

Please note that gains and losses realized in retirement accounts are not recognized for tax purposes. Rather, income may be recognized when you receive a cash distribution from these accounts. Please contact your tax advisor for further information.

The total Realized Gain/Loss for this account includes values for Short Positions held in the account. For more information on summary totals when there are Short Positions, please see the Help Section.



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
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Account 2704-4537  
 Today's Date: 02:27 PM ET, 04/28/2015

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