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Form **990-PF**Department of the Treasury  
Internal Revenue Service**Return of Private Foundation**

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

▶ Do not enter social security numbers on this form as it may be made public.

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

OMB No 1545-0052

**2015**

Open to Public Inspection

For calendar year 2015 or tax year beginning

, 2015, and ending

, 20

Name of foundation

HAWK ROCK FOUNDATION

A Employer identification number

26-1518305

Number and street (or P O box number if mail is not delivered to street address)

Room/suite

B Telephone number (see instructions)

22/F, TAI YAU BUILDING, 181 JOHNSTON ROAD

City or town, state or province, country, and ZIP or foreign postal code

WANCHAI HONG KONG

G Check all that apply

☐ Initial return☐ Initial return of a former public charity☐ Final return☐ Amended return☐ Address change☐ Name change

H Check type of organization

☒ Section 501(c)(3) exempt private foundation☐ Section 4947(a)(1) nonexempt charitable trust☐ Other taxable private foundation

I Fair market value of all assets at

end of year (from Part II, col (c), line

16) ▶ \$ 25,498,297.

J Accounting method

☐ Cash☒ Accrual☐ Other (specify)

(Part I, column (d) must be on cash basis)

C If exemption application is pending, check here. ☐D 1. Foreign organizations, check here. ☐2. Foreign organizations meeting the 85% test, check here and attach computation ☐E If private foundation status was terminated under section 507(b)(1)(A), check here ☐F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐**Part I Analysis of Revenue and Expenses** (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions).)

(a) Revenue and expenses per books

(b) Net investment income

(c) Adjusted net income

(d) Disbursements for charitable purposes (cash basis only)

|     |                                                                                    |             |          |    |            |
|-----|------------------------------------------------------------------------------------|-------------|----------|----|------------|
| 1   | Contributions, gifts, grants, etc., received (attach schedule)                     | 13,500,000. |          |    |            |
| 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                                             | 210,271.    | 210,271. |    | ATCH 1     |
| 5a  | Gross rents                                                                        |             |          |    |            |
| b   | Net rental income or (loss)                                                        |             |          |    |            |
| 6a  | Net gain or (loss) from sale of assets not on line 10                              | -395,539.   |          |    |            |
| b   | Gross sales price for all assets on line 6a                                        | 3,236,717.  |          |    |            |
| 7   | Capital gain net income (from Part IV, line 2)                                     |             | 0.       |    |            |
| 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                                                      | 13,314,732. | 210,271. |    |            |
| 13  | Compensation of officers, directors, trustees, etc.                                | 0.          |          |    |            |
| 14  | Other employee salaries and wages                                                  |             |          |    |            |
| 15  | Pension plans, employee benefits                                                   |             |          |    |            |
| 16a | Legal fees (attach schedule)                                                       |             |          |    |            |
| b   | Accounting fees (attach schedule)                                                  | 13,014.     |          |    |            |
| c   | Other professional fees (attach schedule)                                          |             |          |    |            |
| 17  | Interest                                                                           |             |          |    |            |
| 18  | Taxes (attach schedule) (see instructions)                                         |             |          |    |            |
| 19  | Depreciation (attach schedule) and depletion                                       |             |          |    |            |
| 20  | Occupancy                                                                          |             |          |    |            |
| 21  | Travel, conferences, and meetings                                                  |             |          |    |            |
| 22  | Printing and publications                                                          |             |          |    |            |
| 23  | Other expenses (attach schedule)                                                   | 93,566.     | 93,566.  |    |            |
| 24  | Total operating and administrative expenses. Add lines 13 through 23.              | 106,580.    | 93,566.  |    |            |
| 25  | Contributions, gifts, grants paid                                                  | 1,470,000.  |          |    | 1,470,000. |
| 26  | Total expenses and disbursements. Add lines 24 and 25                              | 1,576,580.  | 93,566.  | 0. | 1,470,000. |
| 27  | Subtract line 26 from line 12                                                      |             |          |    |            |
| a   | Excess of revenue over expenses and disbursements                                  | 11,738,152. |          |    |            |
| b   | Net investment income (if negative, enter -0-)                                     |             | 116,705. |    |            |
| c   | Adjusted net income (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 | End of year    |                       |
|-----------------------------|-------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------|-------------|-------------------|----------------|-----------------------|
|                             |                                                                                                                               |                                                                                                                                   |             | (a) Book Value    | (b) Book Value | (c) Fair Market Value |
| Assets                      | 1                                                                                                                             | Cash - non-interest-bearing . . . . .                                                                                             |             | 2,660,679.        | 14,453,991.    | 14,453,991.           |
|                             | 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) ATCH 4 . . . . .                                                                  | 10,442,692. | 10,351,032.       | 11,004,306.    |                       |
|                             | c                                                                                                                             | Investments - corporate bonds (attach schedule) . . . . .                                                                         |             |                   |                |                       |
|                             | 11                                                                                                                            | Investments - land, buildings, and equipment basis ▶ . . . . .                                                                    |             |                   |                |                       |
|                             | Less: accumulated depreciation (attach schedule) ▶ . . . . .                                                                  |                                                                                                                                   |             |                   |                |                       |
| 12                          | Investments - mortgage loans . . . . .                                                                                        |                                                                                                                                   |             |                   |                |                       |
| 13                          | Investments - other (attach schedule) . . . . .                                                                               |                                                                                                                                   |             |                   |                |                       |
| 14                          | Land, buildings, and equipment basis ▶ . . . . .                                                                              |                                                                                                                                   |             |                   |                |                       |
|                             | Less: accumulated depreciation (attach schedule) ▶ . . . . .                                                                  |                                                                                                                                   |             |                   |                |                       |
| 15                          | Other assets (describe ▶ ATCH 5) . . . . .                                                                                    |                                                                                                                                   | 40,000.     | 40,000.           |                |                       |
| 16                          | Total assets (to be completed by all filers - see the instructions. Also, see page 1, item I) . . . . .                       | 13,103,371.                                                                                                                       | 24,845,023. | 25,498,297.       |                |                       |
| Liabilities                 | 17                                                                                                                            | Accounts payable and accrued expenses . . . . .                                                                                   | 3,000.      | 6,500.            |                |                       |
|                             | 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) . . . . .                                                                         | 3,000.                                                                                                                            | 6,500.      |                   |                |                       |
| Net Assets or Fund Balances | Foundations that follow SFAS 117, check here ▶ <input type="checkbox"/> 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. ▶ <input checked="" type="checkbox"/>   |                                                                                                                                   |             |                   |                |                       |
|                             | 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 . . . . .                                                        | 13,100,371. | 24,838,523.       |                |                       |
| 30                          | Total net assets or fund balances (see instructions) . . . . .                                                                | 13,100,371.                                                                                                                       | 24,838,523. |                   |                |                       |
| 31                          | Total liabilities and net assets/fund balances (see instructions) . . . . .                                                   | 13,103,371.                                                                                                                       | 24,845,023. |                   |                |                       |

## 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 | 13,100,371. |
| 2 | Enter amount from Part I, line 27a . . . . .                                                                                                                         | 2 | 11,738,152. |
| 3 | Other increases not included in line 2 (itemize) ▶ . . . . .                                                                                                         | 3 |             |
| 4 | Add lines 1, 2, and 3 . . . . .                                                                                                                                      | 4 | 24,838,523. |
| 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 | 24,838,523. |

**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> SEE PART IV SCHEDULE                                                                                                    |                                            |                                                                                                                                                                                                                                                                                              |                                                                                                 |                                  |           |
| <b>b</b>                                                                                                                          |                                            |                                                                                                                                                                                                                                                                                              |                                                                                                 |                                  |           |
| <b>c</b>                                                                                                                          |                                            |                                                                                                                                                                                                                                                                                              |                                                                                                 |                                  |           |
| <b>d</b>                                                                                                                          |                                            |                                                                                                                                                                                                                                                                                              |                                                                                                 |                                  |           |
| <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>                                                                                                                          |                                            |                                                                                                                                                                                                                                                                                              |                                                                                                 |                                  |           |
| <b>b</b>                                                                                                                          |                                            |                                                                                                                                                                                                                                                                                              |                                                                                                 |                                  |           |
| <b>c</b>                                                                                                                          |                                            |                                                                                                                                                                                                                                                                                              |                                                                                                 |                                  |           |
| <b>d</b>                                                                                                                          |                                            |                                                                                                                                                                                                                                                                                              |                                                                                                 |                                  |           |
| <b>e</b>                                                                                                                          |                                            |                                                                                                                                                                                                                                                                                              |                                                                                                 |                                  |           |
| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69                                       |                                            |                                                                                                                                                                                                                                                                                              |                                                                                                 |                                  |           |
| (i) 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                                                                                                                                                                                                                                              | (l) Gains (Col. (h) gain minus<br>col. (k), but not less than -0-) or<br>Losses (from col. (h)) |                                  |           |
| <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)                                                                            |                                            | <div style="display: flex; align-items: center;"> <div style="border-left: 1px solid black; border-right: 1px solid black; padding: 0 5px;">           If gain, also enter in Part I, line 7<br/>If (loss), enter -0- in Part I, line 7         </div> </div>                                |                                                                                                 | <b>2</b>                         | -395,539. |
| <b>3</b> Net short-term capital gain or (loss) as defined in sections 1222(5) and (6)                                             |                                            | <div style="display: flex; align-items: center;"> <div style="border-left: 1px solid black; border-right: 1px solid black; padding: 0 5px;">           If gain, also enter in Part I, line 8, column (c) (see instructions) If (loss), enter -0- in<br/>Part I, line 8         </div> </div> |                                                                                                 | <b>3</b>                         | 0.        |

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

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

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

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

☐ Yes ☒ No

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

| (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)) |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------|-------------------------------------------|----------------------------------------------------------|
| 2014                                                                                                                                                                                  | 880,000.                              | 12,912,084.                               | 0.068153                                                 |
| 2013                                                                                                                                                                                  | 740,000.                              | 12,302,658.                               | 0.060150                                                 |
| 2012                                                                                                                                                                                  | 637,117.                              | 9,133,097.                                | 0.069759                                                 |
| 2011                                                                                                                                                                                  | 328,827.                              | 5,029,089.                                | 0.065385                                                 |
| 2010                                                                                                                                                                                  | 255,174.                              | 4,203,848.                                | 0.060700                                                 |
| <b>2</b> Total of line 1, column (d)                                                                                                                                                  |                                       |                                           | <b>2</b> 0.324147                                        |
| <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> 0.064829                                        |
| <b>4</b> Enter the net value of noncharitable-use assets for 2015 from Part X, line 5                                                                                                 |                                       |                                           | <b>4</b> 16,609,292.                                     |
| <b>5</b> Multiply line 4 by line 3                                                                                                                                                    |                                       |                                           | <b>5</b> 1,076,764.                                      |
| <b>6</b> Enter 1% of net investment income (1% of Part I, line 27b)                                                                                                                   |                                       |                                           | <b>6</b> 1,167.                                          |
| <b>7</b> Add lines 5 and 6                                                                                                                                                            |                                       |                                           | <b>7</b> 1,077,931.                                      |
| <b>8</b> Enter qualifying distributions from Part XII, line 4                                                                                                                         |                                       |                                           | <b>8</b> 1,470,000.                                      |

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

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

|    |                                                                                                                                                                                                                                               |    |         |
|----|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----|---------|
| 1a | Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1 . . . . .<br>Date of ruling or determination letter _____ (attach copy of letter if necessary - see instructions) | 1  | 1,167.  |
| b  | Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input checked="" type="checkbox"/> and enter 1% of Part I, line 27b . . . . .                                                                          |    |         |
| c  | All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col (b)                                                                                                                        |    |         |
| 2  | Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-) . . .                                                                                                                               | 2  |         |
| 3  | Add lines 1 and 2 . . . . .                                                                                                                                                                                                                   | 3  | 1,167.  |
| 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  | 1,167.  |
| 6  | Credits/Payments                                                                                                                                                                                                                              |    |         |
| a  | 2015 estimated tax payments and 2014 overpayment credited to 2015 . . . . .                                                                                                                                                                   | 6a | 12,634. |
| 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  | 12,634. |
| 8  | Enter any penalty for underpayment of estimated tax. Check here <input type="checkbox"/> if Form 2220 is attached . . . . .                                                                                                                   | 8  |         |
| 9  | Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed . . . . .                                                                                                                                                       | 9  |         |
| 10 | Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid . . . . .                                                                                                                                           | 10 | 11,467. |
| 11 | Enter the amount of line 10 to be Credited to 2016 estimated tax <input checked="" type="checkbox"/> 11,467. Refunded <input type="checkbox"/> <input type="checkbox"/>                                                                       | 11 |         |

**Part VII-A Statements Regarding Activities**

|                                                                                                                                                                                                                                                                                                                                                        | Yes | No |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|----|
| 1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign? . . . . .                                                                                                                                                                      |     | X  |
| b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for the definition)? . . . . .<br>If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities |     | X  |
| c Did the foundation file Form 1120-POL for this year? . . . . .                                                                                                                                                                                                                                                                                       |     | X  |
| d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year<br>(1) On the foundation <input checked="" type="checkbox"/> \$ (2) On foundation managers <input checked="" type="checkbox"/> \$                                                                                                                  |     |    |
| e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers <input checked="" type="checkbox"/> \$                                                                                                                                                                          |     |    |
| 2 Has the foundation engaged in any activities that have not previously been reported to the IRS? . . . . .<br>If "Yes," attach a detailed description of the activities                                                                                                                                                                               |     | X  |
| 3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes . . . . .                                                                                                                 |     | X  |
| 4a Did the foundation have unrelated business gross income of \$1,000 or more during the year? . . . . .                                                                                                                                                                                                                                               |     | X  |
| b If "Yes," has it filed a tax return on Form 990-T for this year? . . . . .                                                                                                                                                                                                                                                                           | N/A |    |
| 5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? . . . . .<br>If "Yes," attach the statement required by General Instruction T                                                                                                                                                                         |     | X  |
| 6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either<br>• By language in the governing instrument, or<br>• By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument? . . . . .          | X   |    |
| 7 Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col (c), and Part XV                                                                                                                                                                                                                     | X   |    |
| 8a Enter the states to which the foundation reports or with which it is registered (see instructions) <input checked="" type="checkbox"/> DE, _____                                                                                                                                                                                                    |     |    |
| b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation . . . . .                                                                                                                                | X   |    |
| 9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2015 or the taxable year beginning in 2015 (see instructions for Part XIV)? If "Yes," complete Part XIV . . . . .                                                                                       |     | X  |
| 10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses <input checked="" type="checkbox"/> ATCH. 6                                                                                                                                                                      | 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?<br>Website address <u>N/A</u>                                                                                                                                                                                     | 13  | X  |
| 14 The books are in care of <u>EAST ASIA SENTINEL TAX SVC LTD</u> Telephone no <u>852-28101018</u><br>Located at <u>ATTACHMENT 7</u> ZIP+4 <u></u>                                                                                                                                                                                       |     |    |
| 15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here <u></u><br>and enter the amount of tax-exempt interest received or accrued during the year <u>15</u>                                                                                                                              |     |    |
| 16 At any time during calendar year 2015, 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. If "Yes," enter the name of the foreign country <u></u> | 16  | X  |

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

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

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | Yes | No  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|-----|
| 1a During the year did the foundation (either directly or indirectly)<br>(1) Engage in the sale or exchange, or leasing of property with a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No<br>(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No<br>(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No<br>(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No<br>(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No<br>(6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days). <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |     |     |
| b If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)?<br>Organizations relying on a current notice regarding disaster assistance check here <u></u>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | 1b  | N/A |
| c Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2015?                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | 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 2015, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2015? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No<br>If "Yes," list the years <u></u>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |     |     |
| 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 <u></u>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |     |     |
| 3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |     |     |
| b If "Yes," did it have excess business holdings in 2015 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 2015)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | 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 2015?                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | 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 ☐

**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** 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 8               |                                                           | 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                                                                               |                     | 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 TO OPERATE EXCLUSIVELY AND TO RECEIVE AND ADMINISTER FUNDS FOR CHARITABLE AND EDUCATIONAL PURPOSES WITHIN THE MEANING OF SECTION 501(C)(3) AND RELATED REGULATIONS AND TO                                                                            |          |
| 2 DISTRIBUTE FUNDS TO SUCH CHARITIES AT SUCH TIMES AND IN SUCH AMOUNTS AS MAY BE DETERMINED BY THE FOUNDATION CONSISTENT WITH THE CODE                                                                                                                 |          |
| 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.)

|          |                                                                                                             |           |             |
|----------|-------------------------------------------------------------------------------------------------------------|-----------|-------------|
| <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> | 11,695,901. |
| <b>b</b> | Average of monthly cash balances                                                                            | <b>1b</b> | 5,166,324.  |
| <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> | 16,862,225. |
| <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>  | 16,862,225. |
| <b>4</b> | Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)   | <b>4</b>  | 252,933.    |
| <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>  | 16,609,292. |
| <b>6</b> | <b>Minimum investment return.</b> Enter 5% of line 5                                                        | <b>6</b>  | 830,465.    |

**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>  | 830,465. |
| <b>2a</b> | Tax on investment income for 2015 from Part VI, line 5                                                    | <b>2a</b> | 1,167.   |
| <b>b</b>  | Income tax for 2015 (This does not include the tax from Part VI)                                          | <b>2b</b> |          |
| <b>c</b>  | Add lines 2a and 2b                                                                                       | <b>2c</b> | 1,167.   |
| <b>3</b>  | Distributable amount before adjustments. Subtract line 2c from line 1                                     | <b>3</b>  | 829,298. |
| <b>4</b>  | Recoveries of amounts treated as qualifying distributions                                                 | <b>4</b>  |          |
| <b>5</b>  | Add lines 3 and 4                                                                                         | <b>5</b>  | 829,298. |
| <b>6</b>  | Deduction from distributable amount (see instructions)                                                    | <b>6</b>  |          |
| <b>7</b>  | <b>Distributable amount as adjusted.</b> Subtract line 6 from line 5. Enter here and on Part XIII, line 1 | <b>7</b>  | 829,298. |

**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> | 1,470,000. |
| <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>  | 1,470,000. |
| <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>  | 1,167.     |
| <b>6</b> | <b>Adjusted qualifying distributions.</b> Subtract line 5 from line 4                                                                                | <b>6</b>  | 1,468,833. |

**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 2014 | (c)<br>2014 | (d)<br>2015 |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|----------------------------|-------------|-------------|
| <b>1</b> Distributable amount for 2015 from Part XI, line 7 . . . . .                                                                                                                       |               |                            |             | 829,298.    |
| <b>2</b> Undistributed income, if any, as of the end of 2015                                                                                                                                |               |                            |             |             |
| <b>a</b> Enter amount for 2014 only. . . . .                                                                                                                                                |               |                            |             |             |
| <b>b</b> Total for prior years 20 <u>13</u> , 20 <u>12</u> , 20 <u>11</u> . . . . .                                                                                                         |               |                            |             |             |
| <b>3</b> Excess distributions carryover, if any, to 2015                                                                                                                                    |               |                            |             |             |
| <b>a</b> From 2010 . . . . . 46,634.                                                                                                                                                        |               |                            |             |             |
| <b>b</b> From 2011 . . . . . 79,719.                                                                                                                                                        |               |                            |             |             |
| <b>c</b> From 2012 . . . . . 206,228.                                                                                                                                                       |               |                            |             |             |
| <b>d</b> From 2013 . . . . . 141,834.                                                                                                                                                       |               |                            |             |             |
| <b>e</b> From 2014 . . . . . 246,962.                                                                                                                                                       |               |                            |             |             |
| <b>f</b> Total of lines 3a through e . . . . .                                                                                                                                              | 721,377.      |                            |             |             |
| <b>4</b> Qualifying distributions for 2015 from Part XII, line 4. ► \$ <u>1,470,000.</u>                                                                                                    |               |                            |             |             |
| <b>a</b> Applied to 2014, 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 2015 distributable amount. . . . .                                                                                                                                      |               |                            |             | 829,298.    |
| <b>e</b> Remaining amount distributed out of corpus. . . . .                                                                                                                                | 640,702.      |                            |             |             |
| <b>5</b> Excess distributions carryover applied to 2015. (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:                                                                                                                             | 1,362,079.    |                            |             |             |
| <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 2014 Subtract line 4a from line 2a Taxable amount - see instructions. . . . .                                                                             |               |                            |             |             |
| <b>f</b> Undistributed income for 2015 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2016. . . . .                                                                 |               |                            |             |             |
| <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 2010 not applied on line 5 or line 7 (see instructions) . . . . .                                                                              | 46,634.       |                            |             |             |
| <b>9</b> Excess distributions carryover to 2016. Subtract lines 7 and 8 from line 6a . . . . .                                                                                              | 1,315,445.    |                            |             |             |
| <b>10</b> Analysis of line 9                                                                                                                                                                |               |                            |             |             |
| <b>a</b> Excess from 2011 . . . . . 79,719.                                                                                                                                                 |               |                            |             |             |
| <b>b</b> Excess from 2012 . . . . . 206,228.                                                                                                                                                |               |                            |             |             |
| <b>c</b> Excess from 2013 . . . . . 141,834.                                                                                                                                                |               |                            |             |             |
| <b>d</b> Excess from 2014 . . . . . 246,962.                                                                                                                                                |               |                            |             |             |
| <b>e</b> Excess from 2015 . . . . . 640,702.                                                                                                                                                |               |                            |             |             |

NOT APPLICABLE

|  |  |
|--|--|
|  |  |
|--|--|

4942(1)(5)

[illegible]

(4) Gross investment income .

### **1 Information Regarding Foundation Managers:**

STEVEN AND BARBARA WATSON

NONE

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.

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

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**

| <div>Recipient</div> <div>Name and address (home or business)</div> | <div>If recipient is an individual, show any relationship to any foundation manager or substantial contributor</div> | <div>Foundation status of recipient</div> | <div>Purpose of grant or contribution</div> | <div>Amount</div> |
|---------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------|-------------------------------------------|---------------------------------------------|-------------------|
| <b>a</b> <i>Paid during the year</i><br><br>ATCH 9                  |                                                                                                                      |                                           |                                             |                   |
| <b>Total</b> . . . . .                                              |                                                                                                                      |                                           | <b>3a</b>                                   | 1,470,000.        |
| <b>b</b> <i>Approved for future payment</i>                         |                                                                                                                      |                                           |                                             |                   |
| <b>Total</b> . . . . .                                              |                                                                                                                      |                                           | <b>3b</b>                                   |                   |

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

Enter gross amounts unless otherwise indicated

| Enter gross amounts unless otherwise indicated |                                                          | Unrelated business income |               | Excluded by section 512, 513, or 514 |               | (e)<br>Related or exempt<br>function income<br>(See instructions) |
|------------------------------------------------|----------------------------------------------------------|---------------------------|---------------|--------------------------------------|---------------|-------------------------------------------------------------------|
|                                                |                                                          | (a)<br>Business code      | (b)<br>Amount | (c)<br>Exclusion code                | (d)<br>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 .     |                           |               |                                      |               |                                                                   |
| 4                                              | Dividends and interest from securities . . . . .         |                           |               |                                      |               | 210,271.                                                          |
| 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 |                           |               |                                      |               | -395,539.                                                         |
| 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) . . . . .         |                           |               |                                      |               | -185,268.                                                         |
| 13                                             | Total. Add line 12, columns (b), (d), and (e) . . . . .  |                           |               |                                      |               | -185,268.                                                         |

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

[illegible]

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

[illegible]

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

**=b=** If "Yes," complete the following schedule

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

**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 STEVEN WATSON Date 8/9/2016 Title Director

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

**Paid  
Preparer  
Use Only**

Print/Type preparer's name

NILAR T CHAN

Preparer's signature \_\_\_\_\_

|                      |                                                                                     |
|----------------------|-------------------------------------------------------------------------------------|
| Preparer's signature |  |
|----------------------|-------------------------------------------------------------------------------------|

D. 10

8/4/2016

|       |  |  |
|-------|--|--|
| Check |  |  |
|-------|--|--|

☐ self-employed

|      |
|------|
| PTIN |
|------|

P00382081

|             |                                |
|-------------|--------------------------------|
| Firm's name | EAST ASIA SENTINEL TAX SVC LTD |
|-------------|--------------------------------|

Firm's EIN ▶ 98-0577907

Firm's address ▶ 22/F, TAI YAU BLDG, 181 JOHNSTON RD  
WANCHAI, HK

Phone no 852 28101018

**Schedule B**(Form 990, 990-EZ,  
or 990-PF)Department of the Treasury  
Internal Revenue Service**Schedule of Contributors**

OMB No 1545-0047

**2015**

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

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

HAWK ROCK FOUNDATION

**Employer identification number**

26-1518305

**Organization type (check one):****Filers of:****Section:**

Form 990 or 990-EZ

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

Form 990-PF

☒ 501(c)(3) exempt private foundation☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation☐ 501(c)(3) taxable private foundationCheck if your organization is covered by the **General Rule** or a **Special Rule**.**Note.** Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule. See instructions**General Rule**

- ☒
- For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, contributions totaling \$5,000 or more (in money or property) from any one contributor. Complete Parts I and II. See instructions for determining a contributor's total contributions.

**Special Rules**

- ☐ For an organization described in section 501(c)(3) filing Form 990 or 990-EZ that met the 33 1/3 % support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi), that checked Schedule A (Form 990 or 990-EZ), Part II, line 13, 16a, or 16b, and that received from any one contributor, during the year, total contributions of the greater of (1) \$5,000 or (2) 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1. Complete Parts I and II.
- ☐ For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than \$1,000 *exclusively* for religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals. Complete Parts I, II, and III.
- ☐ For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions *exclusively* for religious, charitable, etc., purposes, but no such contributions totaled more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Do not complete any of the parts unless the **General Rule** applies to this organization because it received *nonexclusively* religious, charitable, etc., contributions totaling \$5,000 or more during the year . . . . . ▶ \$ \_\_\_\_\_

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

Name of organization **HAWK ROCK FOUNDATION**Employer identification number  
**26-1518305****Part I** Contributors (see instructions). Use duplicate copies of Part I if additional space is needed.

| (a)<br>No. | (b)<br>Name, address, and ZIP + 4                                                                      | (c)<br>Total contributions | (d)<br>Type of contribution                                                                                                                                               |
|------------|--------------------------------------------------------------------------------------------------------|----------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1          | STEVEN & BARBARA WATSON<br>C/O 22/F, TAI YAU BLDG, 181 JOHNSTON RD.<br>WANCHAI, HONG KONG<br>HONG KONG | \$ 13,500,000.             | Person <input checked="checked" type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II for noncash contributions) |
|            |                                                                                                        | \$                         | Person <input type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II for noncash contributions)                   |
|            |                                                                                                        | \$                         | Person <input type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II for noncash contributions)                   |
|            |                                                                                                        | \$                         | Person <input type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II for noncash contributions)                   |
|            |                                                                                                        | \$                         | Person <input type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II for noncash contributions)                   |
|            |                                                                                                        | \$                         | Person <input type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II for noncash contributions)                   |
|            |                                                                                                        | \$                         | Person <input type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II for noncash contributions)                   |

26-1518305

[illegible]

Name of organization **HAWK ROCK FOUNDATION**Employer identification number  
**26-1518305**

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

Use duplicate copies of Part III if additional space is needed.

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

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

| Kind of Property                             |                                       | Description                                     |                          |                                |                                    | P<br>or<br>D | Date<br>acquired     | Date sold |
|----------------------------------------------|---------------------------------------|-------------------------------------------------|--------------------------|--------------------------------|------------------------------------|--------------|----------------------|-----------|
| Gross sale<br>price less<br>expenses of sale | Depreciation<br>allowed/<br>allowable | Cost or<br>other<br>basis                       | FMV<br>as of<br>12/31/69 | Adj basis<br>as of<br>12/31/69 | Excess of<br>FMV over<br>adj basis |              | Gain<br>or<br>(loss) |           |
|                                              |                                       | TOTAL CAPITAL GAIN DISTRIBUTIONS                |                          |                                |                                    |              | 4,301.               |           |
| 621,098.                                     |                                       | SEE ATTACHMENT 1<br>745,406.                    |                          |                                |                                    |              | VARIOUS<br>-124,308. | VARIOUS   |
| 1,729,010.                                   |                                       | SEE ATTACHMENT 1<br>1,422,568.                  |                          |                                |                                    |              | VARIOUS<br>306,442.  | VARIOUS   |
| 882,308.                                     |                                       | 148,031 SHS VEIL / 25,333 SHS VGF<br>1,464,282. |                          |                                |                                    |              | VARIOUS<br>-581,974. | VARIOUS   |
| TOTAL GAIN (LOSS) .....                      |                                       |                                                 |                          |                                |                                    |              | <u>-395,539.</u>     |           |

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

| <u>DESCRIPTION</u> | <u>REVENUE<br/>AND<br/>EXPENSES<br/>PER BOOKS</u> | <u>NET<br/>INVESTMENT<br/>INCOME</u> |
|--------------------|---------------------------------------------------|--------------------------------------|
| CAPITAL GUARDIAN   | 210,271.                                          | 210,271.                             |
| TOTAL              | <u>210,271.</u>                                   | <u>210,271.</u>                      |

FORM 990PF, PART I - ACCOUNTING FEES

| DESCRIPTION          | REVENUE<br>AND<br>EXPENSES<br>PER BOOKS | NET<br>INVESTMENT<br>INCOME | ADJUSTED<br>NET<br>INCOME | CHARITABLE<br>PURPOSES |
|----------------------|-----------------------------------------|-----------------------------|---------------------------|------------------------|
| TAX PREPARATION FEES | 13,014.                                 |                             |                           |                        |
| TOTALS               | 13,014.                                 |                             |                           |                        |

FORM 990PF, PART I - OTHER EXPENSES

| DESCRIPTION  | REVENUE<br>AND<br>EXPENSES<br>PER BOOKS | NET<br>INVESTMENT<br>INCOME |
|--------------|-----------------------------------------|-----------------------------|
| BANK CHARGES | 93,566.                                 | 93,566.                     |
| TOTALS       | 93,566.                                 | 93,566.                     |

ATTACHMENT 4

FORM 990PF, PART II - CORPORATE STOCK

| <u>DESCRIPTION</u>             | <u>ENDING<br/>BOOK VALUE</u> | <u>ENDING<br/>FMV</u> |
|--------------------------------|------------------------------|-----------------------|
| VIETNAM ENTERPRISE INVEST. LTD | NONE                         | NONE                  |
| VIETNAM GROWTH FUND            | NONE                         | NONE                  |
| CAPITAL GUARDIAN               | 10,351,032.                  | 11,004,306.           |
| TOTALS                         | <u>10,351,032.</u>           | <u>11,004,306.</u>    |

ATTACHMENT 5

FORM 990PF, PART II - OTHER ASSETS

| <u>DESCRIPTION</u> | <u>ENDING<br/>BOOK VALUE</u> | <u>ENDING<br/>FMV</u> |
|--------------------|------------------------------|-----------------------|
| OTHER RECEIVABLE   | 40,000.                      | 40,000.               |
| TOTALS             | <u>40,000.</u>               | <u>40,000.</u>        |

FORM 990PF, PART VII-A, LINE 10 - NEW SUBSTANTIAL CONTRIBUTORS

ATTACHMENT 6

NAME AND ADDRESS

STEVEN & BARBARA WATSON  
C/O 22/F, TAI YAU BLDG, 181 JOHNSTON RD.  
WANCHAI, HONG KONG

FORM 990PF, PART VII-A, LINE 14 - LOCATION OF BOOKS

22/F, TAI YAU BLDG, 181 JOHNSTON RD WANCHAI  
HONG KONG

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

ATTACHMENT 8

| NAME AND ADDRESS                                                                | TITLE AND AVERAGE HOURS PER<br>WEEK DEVOTED TO POSITION | COMPENSATION | CONTRIBUTIONS<br>TO EMPLOYEE<br>BENEFIT PLANS | EXPENSE ACCT<br>AND OTHER<br>ALLOWANCES |
|---------------------------------------------------------------------------------|---------------------------------------------------------|--------------|-----------------------------------------------|-----------------------------------------|
| BARBARA WATSON<br>22/F, TAI YAU BLDG, 181 JOHNSTON RD<br>WANCHAI<br>HONG KONG   | DIRECTOR<br>2.00                                        | 0.           | 0.                                            | 0.                                      |
| KATHARINE G WATSON<br>2365 GARFIELD ROAD<br>HYDE PARK, VT 05655                 | DIRECTOR<br>.50                                         | 0.           | 0.                                            | 0.                                      |
| WILLIAM W WATSON<br>2365 GARFIELD ROAD<br>HYDE PARK, VT 05655                   | DIRECTOR<br>.50                                         | 0.           | 0.                                            | 0.                                      |
| CHARLES P WATSON<br>1212 CHESTNUT STREET<br>BURBANK, CA 91506                   | VICE PRESIDENT<br>.50                                   | 0.           | 0.                                            | 0.                                      |
| STEVEN T. WATSON<br>22/F, TAI YAU BLDG, 181 JOHNSTON RD<br>WANCHAI<br>HONG KONG | DIRECTOR<br>2.00                                        | 0.           | 0.                                            | 0.                                      |
| GRAND TOTALS                                                                    |                                                         | 0.           | 0.                                            | 0.                                      |

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

ATTACHMENT 9

| RECIPIENT NAME AND ADDRESS                                                          | RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR<br>AND<br>FOUNDATION STATUS OF RECIPIENT | PURPOSE OF GRANT OR CONTRIBUTION | AMOUNT   |
|-------------------------------------------------------------------------------------|----------------------------------------------------------------------------------|----------------------------------|----------|
| FOLK ARTS RAJASTHAN<br>314 E. 84TH ST. #11<br>NEW YORK, NY 10028                    | UNRELATED<br>501 (C) (3)                                                         | FURTHER THE CHARITY ACTIVITY     | 50,000.  |
| LEARNING ALLY<br>20 ROSZEL ROAD<br>PRINCETON, NJ 08540                              | UNRELATED<br>501 (C) (3)                                                         | FURTHER THE CHARITY ACTIVITY     | 50,000.  |
| HALF THE SKY FOUNDATION<br>715 HEARST AVENUE, SUITE 200<br>BERKELEY, CA 94710       | UNRELATED<br>501 (C) (3)                                                         | FURTHER THE CHARITY ACTIVITY     | 150,000. |
| ACCION INTERNATIONAL<br>10 FAWCETT ST, SUITE 204<br>CAMBRIDGE, MA 02138             | UNRELATED<br>501 (C) (3)                                                         | FURTHER THE CHARITY ACTIVITY     | 150,000. |
| THE BROWN LEDGE FOUNDATION, INC.<br>25 WILSON STREET<br>BURLINGTON, VT 05401-3352   | UNRELATED<br>501 (C) (3)                                                         | FURTHER THE CHARITY ACTIVITY     | 40,000.  |
| FREE GEEK<br>COMMUNITY TECHNOLOGY CENTER<br>1731 SE 10TH AVE.<br>PORTLAND, OR 97214 | UNRELATED<br>501 (C) (3)                                                         | FURTHER THE CHARITY ACTIVITY     | 40,000.  |

ATTACHMENT 9

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

ATTACHMENT 9 (CONT'D)

| RECIPIENT NAME AND ADDRESS                                                                           | RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR<br>AND<br>FOUNDATION STATUS OF RECIPIENT | PURPOSE OF GRANT OR CONTRIBUTION | AMOUNT  |
|------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------|----------------------------------|---------|
| NEW ENGLAND HISTORICAL GENEALOGICAL SOCIETY<br>101 NEWBURY ST.<br>BOSTON, MA 02116                   | UNRELATED<br>501 (C) (3)                                                         | FURTHER THE CHARITY ACTIVITY     | 40,000. |
| NEW YORK GENEALOGICAL & BIOGRAPHICAL SOCIETY<br>36 W. 44TH ST., 7TH FLOOR<br>NEW YORK, NY 10036-8105 | UNRELATED<br>501 (C) (3)                                                         | FURTHER THE CHARITY ACTIVITY     | 40,000. |
| KENYON COLLEGE<br>1 KENYON COLLEGE<br>GAMBIER, OH 43022-9623                                         | UNRELATED<br>501 (C) (3)                                                         | FURTHER THE CHARITY ACTIVITY     | 30,000. |
| MEALS ON WHEELS OF LAMOILLE COUNTY<br>PO BOX 1427, 24 UPPER MAIN STREET<br>MORRISVILLE, VT 05661     | UNRELATED<br>501 (C) (3)                                                         | FURTHER THE CHARITY ACTIVITY     | 50,000. |
| LEWIS & CLARK<br>0615 S.W. PALATINE HILL ROAD<br>PORTLAND, OR 97219                                  | UNRELATED<br>501 (C) (3)                                                         | FURTHER THE CHARITY ACTIVITY     | 30,000. |
| THE GLOBAL FUND FOR CHILDREN<br>1101 FOURTEENTH STREET, NW<br>SUITE 420<br>WASHINGTON, DC 20005      | UNRELATED<br>501 (C) (3)                                                         | FURTHER THE CHARITY ACTIVITY     | 50,000. |

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

ATTACHMENT 9 (CONT'D)

| RECIPIENT NAME AND ADDRESS                                                      | RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR<br>AND<br>FOUNDATION STATUS OF RECIPIENT | PURPOSE OF GRANT OR CONTRIBUTION | AMOUNT |
|---------------------------------------------------------------------------------|----------------------------------------------------------------------------------|----------------------------------|--------|
| THE HARLEM CHILDREN'S ZONE<br>35 EAST 125TH ST.<br>NEW YORK, NY 10035           | UNRELATED<br>501 (C) (3)                                                         | FURTHER THE CHARITY ACTIVITY     | 50,000 |
| VERMONT FOOD BANK<br>33 PARKER ROAD, WILSON INDUSTRIAL PARK<br>BARRE, VT 05641  | UNRELATED<br>501 (C) (3)                                                         | FURTHER THE CHARITY ACTIVITY     | 50,000 |
| ACTION AGAINST HUNGER<br>247 WEST 37TH STREET, 10TH FLOOR<br>NEW YORK, NY 10018 | UNRELATED<br>501 (C) (3)                                                         | FURTHER THE CHARITY ACTIVITY     | 50,000 |
| THE NATURE CONSERVANCY<br>1917 FIRST AVENUE<br>SEATTLE, WA 98110                | UNRELATED<br>501 (C) (3)                                                         | FURTHER THE CHARITY ACTIVITY     | 50,000 |
| KING BAUDOUIN FOUNDATION<br>10 ROCKEFELLER PLAZA<br>NEW YORK, NY 10020          | UNRELATED<br>501 (C) (3)                                                         | FURTHER THE CHARITY ACTIVITY     | 50,000 |
| RAISE THE CHILDREN<br>112 HIGH ST<br>HAMPTON, NH 03842                          | UNRELATED<br>501 (C) (3)                                                         | FURTHER THE CHARITY ACTIVITY     | 50,000 |

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

ATTACHMENT 9 (CONT'D)

| RECIPIENT NAME AND ADDRESS                                                                      | RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR<br>AND<br>FOUNDATION STATUS OF RECIPIENT | PURPOSE OF GRANT OR CONTRIBUTION      | AMOUNT  |
|-------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------|---------------------------------------|---------|
| NEPAL YOUTH FOUNDATION<br>3030 BRIDGEWAY, SUITE 202<br>SAUSALITO, CA 94965                      | UNRELATED<br>501 (C) (3)                                                         | FURTHER THE CHARITY ACTIVITY          | 40,000. |
| CROSSROADS GLOBAL VILLAGAE U S.<br>1290 ORANGE STREET<br>WILMINGTON, DE 19801                   | UNRELATED<br>501 (C) (3)                                                         | FURTHER THE CHARITY ACTIVITY          | 150,000 |
| THE GLOBAL FUND FOR CHILDREN<br>1101 FOURTEENTH STREET, NW<br>SUITE 420<br>WASHINGTON, DC 20005 | UNRELATED<br>501 (C) (3)                                                         | FURTHER THE CHARITY ACTIVITY IN NEPAL | 40,000. |
| HEALTHY KIDS BRIGHTER FUTURE<br>P.O. BOX 382<br>BRUNSWICK, ME 04011                             | UNRELATED<br>501 (C) (3)                                                         | FURTHER THE CHARITY ACTIVITY          | 50,000. |
| PREBLE STREET<br>38 PREBLE STREET<br>PORTLAND, ME 04101                                         | UNRELATED<br>501 (C) (3)                                                         | FURTHER THE CHARITY ACTIVITY          | 50,000. |
| KARUNA SHECHEN USA<br>237 WEST 35TH ST , SUITE 1101<br>NEW YORK, NY 10001                       | UNRELATED<br>501 (C) (3)                                                         | FURTHER THE CHARITY ACTIVITY          | 40,000. |

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

ATTACHMENT 9 (CONT'D)

| RECIPIENT NAME AND ADDRESS                                                   | RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR<br>AND<br>FOUNDATION STATUS OF RECIPIENT | PURPOSE OF GRANT OR CONTRIBUTION | AMOUNT     |
|------------------------------------------------------------------------------|----------------------------------------------------------------------------------|----------------------------------|------------|
| GORKHA FOUNDATION<br>13711 MONET CT<br>CHANTILLY, VA 20151                   | UNRELATED<br>501 (C) (3)                                                         | FURTHER THE CHARITY ACTIVITY     | 40,000.    |
| CROSSROADS GLOBAL VILLAGE U.S.<br>1290 ORANGE STREET<br>WILMINGTON, DE 19801 | UNRELATED<br>501 (C) (3)                                                         | NEPAL DISASTER RELIEF            | 40,000     |
| TOTAL CONTRIBUTIONS PAID                                                     |                                                                                  |                                  | 1,470,000. |



# CAPITAL GROUP™

## Private Client Services

### Realized Gain (Loss) Detail

| HAWK ROCK FOUNDATION<br>Account Number: XXXX14900 |               |                                | For the Period January 1, 2015 - March 31, 2015<br>Reporting Currency: USD |           |           |                      |       |
|---------------------------------------------------|---------------|--------------------------------|----------------------------------------------------------------------------|-----------|-----------|----------------------|-------|
| Sale Date                                         | Purchase Date | Description                    | Quantity                                                                   | Proceeds  | Cost      | Realized Gain (Loss) | ST/LT |
| Sales                                             |               |                                |                                                                            |           |           |                      |       |
| Equity                                            |               |                                |                                                                            |           |           |                      |       |
| 01/28/2015                                        | 08/14/2013    | AMERICAN TOWER CORP            | 100.00                                                                     | 10,099.00 | 6,973.24  | 3,125.76             | LT    |
| 01/29/2015                                        | 08/14/2013    | AMERICAN TOWER CORP            | 60.00                                                                      | 5,888.47  | 2,679.03  | 3,209.44             | LT    |
| 02/09/2015                                        | 10/25/2013    | AVAGO TECHNOLOGIES LTD         | 100.00                                                                     | 10,247.77 | 4,553.27  | 5,694.50             | LT    |
| 02/11/2015                                        | 07/19/2013    | B/E AEROSPACE INC              | 100.00                                                                     | 6,065.53  | 4,980.80  | 1,084.73             | LT    |
| 02/11/2015                                        | 07/19/2013    | B/E AEROSPACE INC              | 100.00                                                                     | 6,039.55  | 4,849.22  | 1,190.33             | LT    |
| 02/12/2015                                        | 07/10/2013    | B/E AEROSPACE INC              | 100.00                                                                     | 6,058.14  | 4,785.69  | 1,272.45             | LT    |
| 02/12/2015                                        | 07/09/2013    | B/E AEROSPACE INC              | 25.00                                                                      | 1,514.88  | 1,194.43  | 320.45               | LT    |
| 02/12/2015                                        | 12/18/2014    | B/E AEROSPACE INC              | 75.00                                                                      | 4,544.62  | 4,376.25  | 168.37               | ST    |
| 02/13/2015                                        | 12/18/2014    | B/E AEROSPACE INC              | 150.00                                                                     | 9,190.67  | 8,752.50  | 438.17               | ST    |
| 03/05/2015                                        | 01/12/2012    | BAYER AG                       | 145.00                                                                     | 21,190.97 | 10,224.14 | 10,966.83            | LT    |
| 02/05/2015                                        | 01/16/2012    | BOC HONG KONG HOLDINGS LTD     | 4,500.00                                                                   | 15,663.96 | 10,869.47 | 4,794.49             | LT    |
| 02/06/2015                                        | 06/26/2013    | BOEING CO                      | 100.00                                                                     | 14,797.54 | 10,071.66 | 4,725.88             | LT    |
| 02/09/2015                                        | 06/26/2013    | BOEING CO                      | 60.00                                                                      | 8,844.41  | 5,999.80  | 2,844.61             | LT    |
| 02/05/2015                                        | 08/07/2012    | CATERPILLAR INC                | 235.00                                                                     | 19,567.70 | 20,464.84 | (897.14)             | LT    |
| 02/09/2015                                        | 12/08/2011    | CIE FINANCIERE RICHEMON REG    | 97.00                                                                      | 8,383.79  | 5,179.86  | 3,203.93             | LT    |
| 02/25/2015                                        | 03/06/2012    | COBALT INTERNATIONAL ENERGY    | 175.00                                                                     | 1,654.57  | 5,151.56  | (3,496.99)           | LT    |
| 01/29/2015                                        | 09/28/2010    | COMCAST CORP CL A (NEW)        | 200.00                                                                     | 10,732.96 | 3,663.96  | 7,069.00             | LT    |
| 01/29/2015                                        | 10/26/2010    | COMCAST CORP CL A (NEW)        | 410.00                                                                     | 22,063.91 | 7,545.55  | 14,518.36            | LT    |
| 01/29/2015                                        | 12/15/2009    | DANAHER CORP                   | 85.00                                                                      | 7,055.91  | 2,869.93  | 4,185.98             | LT    |
| 02/12/2015                                        | 05/27/2009    | DAVITA HEALTHCARE PARTNERS INC | 74.00                                                                      | 5,633.92  | 1,687.44  | 3,946.48             | LT    |
| 02/03/2015                                        | 01/25/2012    | DBS GROUP HOLDINGS LTD         | 400.00                                                                     | 5,818.29  | 3,207.86  | 2,610.43             | LT    |
| 02/12/2015                                        | 01/09/2014    | DELPHI AUTOMOTIVE PLC          | 230.00                                                                     | 17,950.03 | 13,961.88 | 3,988.15             | LT    |



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**Private Client Services**

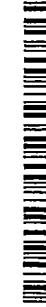
**Realized Gain (Loss) Detail**

**HAWK ROCK FOUNDATION**

Account Number: XXXX14900

For the Period January 1, 2015 - March 31, 2015  
Reporting Currency: USD

| Sale Date  | Purchase Date | Description                    | Quantity | Proceeds  | Cost      | Realized Gain (Loss) | ST/LT |
|------------|---------------|--------------------------------|----------|-----------|-----------|----------------------|-------|
| 02/03/2015 | 03/07/2012    | DIAGEO PLC                     | 255.00   | 7,475.21  | 6,138.79  | 1,336.42             | LT    |
| 01/29/2015 | 12/18/2014    | EATON CORP PLC                 | 100.00   | 6,418.09  | 6,726.00  | (307.91)             | ST    |
| 01/30/2015 | 12/18/2014    | EATON CORP PLC                 | 100.00   | 6,369.39  | 6,726.00  | (356.61)             | ST    |
| 02/11/2015 | 11/12/2008    | ECOLAB INC                     | 100.00   | 10,831.45 | 3,050.00  | 7,781.45             | LT    |
| 03/13/2015 | 06/27/2014    | ENI SPA REG                    | 960.00   | 16,338.37 | 26,194.39 | (9,856.02)           | ST    |
| 01/27/2015 | 02/07/2013    | EXPRESS SCRIPTS HOLDING CO     | 100.00   | 8,390.32  | 5,405.65  | 2,984.67             | LT    |
| 01/28/2015 | 12/26/2012    | EXPRESS SCRIPTS HOLDING CO     | 200.00   | 16,462.73 | 9,894.25  | 6,568.48             | LT    |
| 01/29/2015 | 12/08/2011    | EXPRESS SCRIPTS HOLDING CO     | 255.00   | 20,750.96 | 11,600.15 | 9,150.81             | LT    |
| 02/03/2015 | 12/18/2014    | FIRST QUANTUM MINERALS LTD C\$ | 600.00   | 6,334.50  | 8,486.77  | (2,152.27)           | ST    |
| 02/03/2015 | 02/03/2012    | FIRST QUANTUM MINERALS LTD C\$ | 853.00   | 9,005.55  | 12,409.67 | (3,404.12)           | LT    |
| 01/27/2015 | 03/12/2012    | GILEAD SCIENCES INC            | 300.00   | 31,772.14 | 7,001.03  | 24,771.11            | LT    |
| 01/28/2015 | 03/12/2012    | GILEAD SCIENCES INC            | 100.00   | 10,350.31 | 2,304.81  | 8,045.50             | LT    |
| 01/29/2015 | 03/12/2012    | GILEAD SCIENCES INC            | 280.00   | 29,006.26 | 6,453.45  | 22,552.81            | LT    |
| 02/09/2015 | 01/10/2013    | GOLDMAN SACHS GROUP INC        | 65.00    | 11,846.66 | 6,756.60  | 5,090.06             | LT    |
| 01/29/2015 | 11/24/2008    | GOOGLE INC CL A                | 40.00    | 20,286.75 | 6,208.80  | 14,077.95            | LT    |
| 01/29/2015 | 11/03/2008    | GOOGLE INC CL C                | 25.00    | 12,612.72 | 4,308.37  | 8,304.35             | LT    |
| 02/17/2015 | 02/06/2013    | IDEX CORP                      | 90.00    | 6,899.00  | 4,376.25  | 2,522.75             | LT    |
| 02/12/2015 | 02/19/2009    | ILLINOIS TOOL WORKS INC        | 75.00    | 7,296.30  | 2,365.22  | 4,931.08             | LT    |
| 03/30/2015 | 03/17/2015    | IRON MOUNTAIN INCORPORATED     | 100.00   | 3,674.99  | 3,762.00  | (87.01)              | ST    |
| 02/06/2015 | 10/01/2012    | JACK HENRY & ASSOC INC         | 100.00   | 6,358.14  | 3,785.19  | 2,572.95             | LT    |
| 02/10/2015 | 04/25/2011    | JACK HENRY & ASSOC INC         | 95.00    | 6,070.20  | 3,193.77  | 2,876.43             | LT    |
| 02/11/2015 | 07/19/2013    | KLX INC                        | 100.00   | 3,839.61  | 3,870.01  | (30.40)              | LT    |
| 02/13/2015 | 07/10/2013    | KLX INC                        | 62.00    | 2,381.32  | 2,335.89  | 45.43                | LT    |
| 02/11/2015 | 08/08/2014    | KONINKLIJKE DSM NV             | 135.00   | 7,295.07  | 8,697.65  | (1,402.58)           | ST    |
| 01/30/2015 | 09/07/2006    | L'AIR LIQUIDE (L)              | 125.00   | 15,776.60 | 8,884.05  | 6,892.55             | LT    |





# CAPITAL GROUP™

## Private Client Services

### Realized Gain (Loss) Detail

#### HAWK ROCK FOUNDATION

Account Number: XXXX14900

For the Period January 1, 2015 - March 31, 2015  
Reporting Currency: USD

| Sale Date  | Purchase Date | Description            | Quantity | Proceeds  | Cost      | Realized Gain (Loss) | ST/LT |
|------------|---------------|------------------------|----------|-----------|-----------|----------------------|-------|
| 02/06/2015 | 08/17/2012    | MONSANTO CO NEW COM    | 200.00   | 24,038.96 | 13,891.61 | 10,147.35            | LT    |
| 03/03/2015 | 07/11/2013    | MOSAIC CO/THE          | 235.00   | 12,344.23 | 13,013.06 | (668.83)             | LT    |
| 02/09/2015 | 12/13/2012    | NEWELL RUBBERMAID INC  | 100.00   | 3,765.15  | 2,187.93  | 1,577.22             | LT    |
| 02/10/2015 | 12/28/2012    | NEWELL RUBBERMAID INC  | 200.00   | 7,567.39  | 4,375.62  | 3,191.77             | LT    |
| 02/12/2015 | 08/26/2013    | NIELSEN NV US\$        | 255.00   | 11,168.43 | 8,749.54  | 2,418.89             | LT    |
| 02/05/2015 | 12/18/2014    | NOBLE ENERGY INC       | 300.00   | 14,548.93 | 14,806.50 | (257.57)             | ST    |
| 02/05/2015 | 03/04/2013    | NOBLE ENERGY INC       | 100.00   | 4,849.64  | 5,492.13  | (642.49)             | LT    |
| 02/06/2015 | 03/04/2013    | NOBLE ENERGY INC       | 100.00   | 4,779.58  | 4,587.34  | 192.24               | LT    |
| 02/10/2015 | 01/24/2012    | NORDSTROM INC          | 125.00   | 9,888.99  | 4,309.61  | 5,579.38             | LT    |
| 02/06/2015 | 06/11/2013    | NORFOLK SOUTHERN CORP  | 70.00    | 7,559.01  | 5,420.24  | 2,138.77             | LT    |
| 02/12/2015 | 02/19/2009    | PROGRESSIVE CORP OHIO  | 195.00   | 5,219.47  | 2,328.76  | 2,890.71             | LT    |
| 01/27/2015 | 11/25/2008    | QUALCOMM INC           | 80.00    | 5,728.49  | 2,622.16  | 3,106.33             | LT    |
| 03/19/2015 | 11/25/2008    | QUALCOMM INC           | 100.00   | 6,991.08  | 3,277.70  | 3,713.38             | LT    |
| 03/20/2015 | 11/25/2008    | QUALCOMM INC           | 120.00   | 8,404.33  | 3,933.24  | 4,471.09             | LT    |
| 01/28/2015 | 12/19/2008    | SAMSUNG ELEC GDS NV PF | 25.00    | 12,135.31 | 2,728.28  | 9,407.03             | LT    |
| 02/04/2015 | 02/19/2009    | SCHLUMBERGER LTD       | 415.00   | 35,389.49 | 20,138.60 | 15,250.89            | LT    |
| 02/11/2015 | 07/15/2010    | SCHWAB CHARLES NEW     | 260.00   | 7,547.92  | 3,761.68  | 3,786.24             | LT    |
| 01/27/2015 | 05/23/2011    | SEATTLE GENETICS INC   | 100.00   | 3,331.55  | 1,856.68  | 1,474.87             | LT    |
| 01/28/2015 | 05/23/2011    | SEATTLE GENETICS INC   | 100.00   | 3,213.89  | 1,842.63  | 1,371.26             | LT    |
| 01/30/2015 | 05/17/2011    | SEATTLE GENETICS INC   | 100.00   | 3,144.13  | 1,822.43  | 1,321.70             | LT    |
| 02/03/2015 | 01/23/2012    | SEATTLE GENETICS INC   | 100.00   | 3,092.72  | 1,798.30  | 1,294.42             | LT    |
| 02/04/2015 | 01/23/2012    | SEATTLE GENETICS INC   | 100.00   | 3,118.48  | 1,774.26  | 1,344.22             | LT    |
| 02/05/2015 | 01/23/2012    | SEATTLE GENETICS INC   | 200.00   | 6,437.77  | 3,183.08  | 3,254.69             | LT    |
| 02/06/2015 | 06/09/2011    | SEATTLE GENETICS INC   | 60.00    | 1,966.50  | 877.81    | 1,088.69             | LT    |
| 01/29/2015 | 09/27/2012    | SES FDR CL A (PARIS)   | 96.00    | 3,480.73  | 2,594.83  | 885.90               | LT    |



# CAPITAL GROUP<sup>SM</sup>

## Private Client Services

### Realized Gain (Loss) Detail

#### HAWK ROCK FOUNDATION

Account Number: XXXX14900

For the Period January 1, 2015 - March 31, 2015  
Reporting Currency: USD

| Sale Date    | Purchase Date | Description                     | Quantity | Proceeds   | Cost       | Realized Gain (Loss) | ST/LT |
|--------------|---------------|---------------------------------|----------|------------|------------|----------------------|-------|
| 01/29/2015   | 09/27/2012    | SES FDR CL A (PARIS)            | 132.00   | 4,795.63   | 3,569.40   | 1,226.23             | LT    |
| 01/30/2015   | 09/20/2012    | SES FDR CL A (PARIS)            | 48.00    | 1,751.63   | 1,306.45   | 445.18               | LT    |
| 01/30/2015   | 09/27/2012    | SES FDR CL A (PARIS)            | 189.00   | 6,905.86   | 5,107.86   | 1,798.00             | LT    |
| 02/10/2015   | 10/07/2011    | SIGNET JEWELERS LTD             | 85.00    | 10,169.41  | 3,267.01   | 6,902.40             | LT    |
| 02/09/2015   | 04/29/2013    | SIRIUS XM HOLDINGS INC          | 600.00   | 2,204.05   | 1,885.68   | 318.37               | LT    |
| 02/09/2015   | 04/29/2013    | SIRIUS XM HOLDINGS INC          | 2,260.00 | 8,281.13   | 7,101.97   | 1,179.16             | LT    |
| 03/03/2015   | 11/28/2014    | ST JUDE MEDICAL                 | 100.00   | 6,757.45   | 6,792.21   | (34.76)              | ST    |
| 03/04/2015   | 12/01/2014    | ST JUDE MEDICAL                 | 175.00   | 11,755.58  | 11,656.44  | 99.14                | ST    |
| 02/06/2015   | 02/22/2011    | SYSTEMX CORP                    | 100.00   | 4,595.41   | 1,656.13   | 2,939.28             | LT    |
| 02/10/2015   | 02/22/2011    | SYSTEMX CORP                    | 100.00   | 4,536.81   | 1,656.13   | 2,880.68             | LT    |
| 02/12/2015   | 12/13/2011    | SYSTEMX CORP                    | 10.00    | 458.99     | 165.76     | 293.23               | LT    |
| 02/11/2015   | 02/26/2009    | THE WALT DISNEY CO              | 50.00    | 5,076.00   | 855.01     | 4,220.99             | LT    |
| 02/03/2015   | 11/27/2013    | TOWERS WATSON & COMPANY CL<br>A | 80.00    | 9,541.01   | 8,694.34   | 846.67               | LT    |
| 02/05/2015   | 04/08/2013    | TREND MICRO INC                 | 200.00   | 5,596.42   | 5,588.41   | 8.01                 | LT    |
| 02/13/2015   | 12/28/2010    | UNITED TECHNOLOGIES CORP        | 200.00   | 24,148.19  | 15,192.15  | 8,956.04             | LT    |
| 02/04/2015   | 11/03/2009    | UNITEDHEALTH GROUP INC          | 235.00   | 25,402.06  | 6,319.78   | 19,082.28            | LT    |
| 02/03/2015   | 03/07/2013    | VERISIGN INC                    | 100.00   | 5,746.99   | 4,622.27   | 1,124.72             | LT    |
| 02/03/2015   | 05/01/2013    | VERISIGN INC                    | 100.00   | 5,759.87   | 4,626.81   | 1,133.06             | LT    |
| 02/04/2015   | 03/07/2013    | VERISIGN INC                    | 200.00   | 11,451.10  | 9,210.09   | 2,241.01             | LT    |
| 02/05/2015   | 02/13/2013    | VERISIGN INC                    | 170.00   | 9,681.72   | 7,749.14   | 1,932.58             | LT    |
| 02/06/2015   | 07/03/2013    | WASTE CONNECTIONS INC           | 300.00   | 13,364.19  | 12,185.66  | 1,178.53             | LT    |
| 02/09/2015   | 06/07/2013    | WASTE CONNECTIONS INC           | 75.00    | 3,352.00   | 2,925.25   | 426.75               | LT    |
| Total Equity |               |                                 |          | 893,892.90 | 568,485.11 | 325,407.79           |       |
| Total Sales  |               |                                 |          | 893,892.90 | 568,485.11 | 325,407.79           |       |



## Realized Gain (Loss) Detail



**CAPITAL  
GROUP™**

**HAWK ROCK FOUNDATION**

Account Number: XXXX14900

For the Period January 1, 2015 - March 31, 2015  
Reporting Currency: USD

| Purchase<br>Sale Date | Description                      | Quantity | Proceeds | Cost                | Realized<br>Gain (Loss) | ST/LT |
|-----------------------|----------------------------------|----------|----------|---------------------|-------------------------|-------|
|                       |                                  |          |          |                     |                         |       |
|                       |                                  |          |          | <b>Period ended</b> | <b>Year to date*</b>    |       |
|                       |                                  |          |          | <b>03/31/2015</b>   | <b>03/31/2015</b>       |       |
|                       |                                  |          |          | (13,749.05)         | (13,749.05)             |       |
|                       |                                  |          |          | 339,156.84          | 339,156.84              |       |
|                       |                                  |          |          | <u>325,407.79</u>   | <u>325,407.79</u>       |       |
|                       | Total net short-term gain (loss) |          |          |                     |                         |       |
|                       | Total net long-term gain (loss)  |          |          |                     |                         |       |
|                       | <b>Total Gain (Loss)</b>         |          |          |                     |                         |       |

\* Fiscal year ending December 31



**CAPITAL  
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**Private Client Services**

**Realized Gain (Loss) Detail**

**HAWK ROCK FOUNDATION**  
Account Number: XXXX14900

For the Period April 1, 2015 - June 30, 2015  
Reporting Currency: USD

| Sale Date     | Purchase Date | Description                | Quantity | Proceeds  | Cost      | Realized Gain (Loss) | ST/LT |
|---------------|---------------|----------------------------|----------|-----------|-----------|----------------------|-------|
| <b>Sales</b>  |               |                            |          |           |           |                      |       |
| <b>Equity</b> |               |                            |          |           |           |                      |       |
| 04/07/2015    | 04/01/2014    | AMCOR LIMITED              | 578.00   | 6,357.23  | 5,531.43  | 825.80               | LT    |
| 04/08/2015    | 04/01/2014    | AMCOR LIMITED              | 422.00   | 4,646.72  | 4,038.52  | 608.20               | LT    |
| 06/18/2015    | 04/01/2014    | AMCOR LIMITED              | 478.00   | 5,398.74  | 4,571.93  | 826.81               | LT    |
| 06/19/2015    | 04/01/2014    | AMCOR LIMITED              | 444.00   | 4,926.52  | 4,243.67  | 682.85               | LT    |
| 06/22/2015    | 04/01/2014    | AMCOR LIMITED              | 338.00   | 3,732.90  | 3,230.55  | 502.35               | LT    |
| 04/08/2015    | 04/08/2014    | CAIXABANK SA               | 0.99     | 4.65      | 6.29      | (1.64)               | ST    |
| 06/18/2015    | 06/03/2014    | DANONE                     | 0.67     | 46.22     | 41.88     | 4.34                 | LT    |
| 05/29/2015    | 01/19/2015    | DEUTSCHE WOHNEN AG RTS EXP | 860.00   | 59.94     | 0.00      | 59.94                | ST    |
|               | 06/03/2015    |                            |          |           |           |                      |       |
| 05/29/2015    | 04/14/2014    | DEUTSCHE WOHNEN AG RTS EXP | 585.00   | 40.78     | 0.00      | 40.78                | LT    |
|               | 06/03/2015    |                            |          |           |           |                      |       |
| 04/16/2015    | 03/07/2012    | DIAGEO PLC                 | 345.00   | 9,888.15  | 6,781.85  | 3,106.30             | LT    |
| 05/04/2015    | 11/24/2008    | GOOGLE INC CL C            | 0.14     | 73.01     | 17.46     | 55.55                | LT    |
| 05/20/2015    | 03/25/2009    | HSBC HOLDINGS PLC UKP      | 0.60     | 5.76      | 3.30      | 2.46                 | LT    |
| 04/01/2015    | 02/20/2015    | INFOSYS TECHNOLOGIES ADR   | 100.00   | 3,469.38  | 3,479.51  | (10.13)              | ST    |
| 04/01/2015    | 02/20/2015    | INFOSYS TECHNOLOGIES ADR   | 300.00   | 10,381.75 | 11,067.54 | (685.79)             | ST    |
| 04/02/2015    | 09/08/2014    | INFOSYS TECHNOLOGIES ADR   | 100.00   | 3,462.23  | 3,077.96  | 384.27               | ST    |
| 04/02/2015    | 09/08/2014    | INFOSYS TECHNOLOGIES ADR   | 100.00   | 3,462.58  | 3,090.11  | 372.47               | ST    |
| 04/07/2015    | 09/04/2014    | INFOSYS TECHNOLOGIES ADR   | 200.00   | 6,919.11  | 6,126.22  | 792.89               | ST    |
| 04/07/2015    | 09/04/2014    | INFOSYS TECHNOLOGIES ADR   | 155.00   | 5,380.22  | 4,747.82  | 632.40               | ST    |
| 04/01/2015    | 03/17/2015    | IRON MOUNTAIN INCORPORATED | 100.00   | 3,605.50  | 3,762.00  | (156.50)             | ST    |
| 04/01/2015    | 01/20/2012    | IRON MOUNTAIN INCORPORATED | 10.00    | 360.55    | 319.35    | 41.20                | LT    |
| 04/28/2015    | 12/21/2012    | NEWELL RUBBERMAID INC      | 165.00   | 6,450.95  | 3,578.05  | 2,872.90             | LT    |



# CAPITAL GROUP™

## Private Client Services

### Realized Gain (Loss) Detail

#### HAWK ROCK FOUNDATION

Account Number: XXXX14900

For the Period April 1, 2015 - June 30, 2015  
Reporting Currency: USD

| Purchase     |            | Description              | Quantity | Proceeds   | Cost       | Realized    |       |
|--------------|------------|--------------------------|----------|------------|------------|-------------|-------|
| Sale Date    | Date       |                          |          |            |            | Gain (Loss) | ST/LT |
| 05/01/2015   | 12/06/2012 | NEWELL RUBBERMAID INC    | 100.00   | 3,961.22   | 2,160.79   | 1,800.43    | LT    |
| 05/01/2015   | 12/06/2012 | NEWELL RUBBERMAID INC    | 100.00   | 3,989.28   | 2,162.44   | 1,826.84    | LT    |
| 05/04/2015   | 12/04/2012 | NEWELL RUBBERMAID INC    | 200.00   | 7,845.23   | 4,278.54   | 3,566.69    | LT    |
| 05/14/2015   | 09/07/2010 | NOBLE ENERGY INC         | 300.00   | 13,339.25  | 11,047.69  | 2,291.56    | LT    |
| 05/14/2015   | 09/07/2010 | NOBLE ENERGY INC         | 100.00   | 4,448.01   | 3,682.57   | 765.44      | LT    |
| 05/15/2015   | 09/07/2010 | NOBLE ENERGY INC         | 30.00    | 1,341.42   | 1,104.77   | 236.65      | LT    |
| 06/10/2015   | 02/20/2009 | SAMSUNG ELEC GDS NV/PF   | 51.00    | 22,403.78  | 5,045.12   | 17,358.66   | LT    |
| 06/05/2015   | 05/18/2015 | SOUTH32 LTD COMMON STOCK | 620.00   | 1,010.24   | 1,047.20   | (36.96)     | ST    |
|              |            | NPV                      |          |            |            |             |       |
| 05/22/2015   | 04/04/2014 | ZODIAC AEROSPACE         | 146.00   | 5,418.22   | 5,300.30   | 117.92      | LT    |
| 05/27/2015   | 04/04/2014 | ZODIAC AEROSPACE         | 179.00   | 6,624.97   | 6,431.86   | 193.11      | LT    |
| 06/03/2015   | 04/04/2014 | ZODIAC AEROSPACE         | 33.00    | 1,231.70   | 1,185.76   | 45.94       | LT    |
| 06/04/2015   | 04/04/2014 | ZODIAC AEROSPACE         | 13.00    | 476.76     | 467.12     | 9.64        | LT    |
| 06/18/2015   | 04/04/2014 | ZODIAC AEROSPACE         | 34.00    | 1,151.34   | 1,222.89   | (71.55)     | LT    |
| 06/19/2015   | 04/01/2014 | ZODIAC AEROSPACE         | 43.00    | 1,472.63   | 1,547.06   | (74.43)     | LT    |
| Total Equity |            |                          |          | 153,386.94 | 114,399.55 | 38,987.39   |       |
| Total Sales  |            |                          |          | 153,386.94 | 114,399.55 | 38,987.39   |       |

|                                  | Period ended | Year to date* |
|----------------------------------|--------------|---------------|
|                                  | 06/30/2015   | 06/30/2015    |
| Total net short-term gain (loss) | 1,350.95     | (12,398.10)   |
| Total net long-term gain (loss)  | 37,636.44    | 376,793.28    |
| Total Gain (Loss)                | 38,987.39    | 364,395.18    |

\* Fiscal year ending December 31





# CAPITAL GROUP<sup>SM</sup>

## Private Client Services Realized Gain (Loss) Detail

### HAWK ROCK FOUNDATION

Account Number: XXXX14900

For the Period July 1, 2015 - September 30, 2015  
Reporting Currency: USD

| Sale Date     | Purchase Date | Description                   | Quantity  | Proceeds  | Cost      | Realized Gain (Loss) | ST/LT |
|---------------|---------------|-------------------------------|-----------|-----------|-----------|----------------------|-------|
| <b>Sales</b>  |               |                               |           |           |           |                      |       |
| <b>Equity</b> |               |                               |           |           |           |                      |       |
| 07/07/2015    | 04/03/2014    | ABBVIE INC                    | 200.00    | 13,637.74 | 10,531.42 | 3,106.32             | LT    |
| 07/31/2015    | 12/10/2014    | ABERDEEN ASSET MGMT PLC       | 1,200.00  | 6,804.53  | 8,374.37  | (1,569.84)           | ST    |
| 08/07/2015    | 12/10/2014    | ABERDEEN ASSET MGMT PLC       | 475.00    | 2,590.19  | 3,302.24  | (712.05)             | ST    |
| 09/08/2015    | 01/16/2015    | AGIOS PHARMACEUTICALS INC     | 100.00    | 8,879.87  | 11,928.65 | (3,048.78)           | ST    |
| 09/09/2015    | 03/17/2015    | AGIOS PHARMACEUTICALS INC     | 90.00     | 8,085.34  | 9,621.75  | (1,536.41)           | ST    |
| 07/07/2015    | 12/18/2014    | AUTOMATIC DATA PROCESSING INC | 100.00    | 8,073.85  | 8,560.00  | (486.15)             | ST    |
| 07/07/2015    | 03/27/2014    | AVAGO TECHNOLOGIES LTD        | 100.00    | 12,989.76 | 6,259.86  | 6,729.90             | LT    |
| 08/28/2015    | 01/19/2015    | BANK OF CHINA LTD H           | 16,000.00 | 7,479.37  | 8,926.48  | (1,447.11)           | ST    |
| 08/31/2015    | 02/09/2015    | BANK OF CHINA LTD H           | 11,000.00 | 4,996.05  | 6,114.14  | (1,118.09)           | ST    |
| 08/31/2015    | 05/22/2009    | BANK OF CHINA LTD H           | 7,000.00  | 3,179.30  | 2,648.96  | 530.34               | LT    |
| 09/01/2015    | 12/13/2010    | BANK OF CHINA LTD H           | 16,006.00 | 7,183.40  | 5,828.74  | 1,354.66             | LT    |
| 07/08/2015    | 03/22/2011    | BAYER AG                      | 130.00    | 17,604.60 | 8,516.15  | 9,088.45             | LT    |
| 07/14/2015    | 08/29/2013    | BHP BILLITON LTD (AUD)        | 620.00    | 12,493.75 | 16,388.62 | (3,894.87)           | LT    |
| 07/31/2015    | 03/31/2011    | BMW AG                        | 80.00     | 7,998.32  | 6,677.46  | 1,320.86             | LT    |
| 07/07/2015    | 04/13/2012    | BRISTOL-MYERS SQUIBB CO       | 400.00    | 27,194.49 | 12,334.65 | 14,859.84            | LT    |
| 08/11/2015    | 08/29/2011    | BRISTOL-MYERS SQUIBB CO       | 100.00    | 6,271.59  | 2,933.50  | 3,338.09             | LT    |
| 08/12/2015    | 08/29/2011    | BRISTOL-MYERS SQUIBB CO       | 520.00    | 32,399.30 | 15,254.09 | 17,145.21            | LT    |
| 09/02/2015    | 01/16/2015    | BRISTOL-MYERS SQUIBB CO       | 100.00    | 5,927.16  | 6,193.33  | (266.17)             | ST    |
| 09/03/2015    | 01/16/2015    | BRISTOL-MYERS SQUIBB CO       | 200.00    | 11,862.74 | 12,386.66 | (523.92)             | ST    |
| 09/04/2015    | 02/17/2015    | BRISTOL-MYERS SQUIBB CO       | 65.00     | 3,717.01  | 3,910.33  | (193.32)             | ST    |
| 09/04/2015    | 02/17/2015    | BRISTOL-MYERS SQUIBB CO       | 100.00    | 5,753.46  | 6,015.89  | (262.43)             | ST    |
| 07/10/2015    | 10/16/2014    | CENOVUS ENERGY INC CS         | 700.00    | 10,139.73 | 21,523.83 | (11,384.10)          | ST    |

# Private Client Services

## Realized Gain (Loss) Detail



**CAPITAL  
GROUP<sup>SM</sup>**

### HAWK ROCK FOUNDATION

Account Number: XXXX14900

For the Period July 1, 2015 - September 30, 2015  
Reporting Currency: USD

| Sale Date  | Purchase Date | Description                | Quantity | Proceeds  | Cost      | Realized Gain (Loss) | ST/LT |
|------------|---------------|----------------------------|----------|-----------|-----------|----------------------|-------|
| 07/13/2015 | 02/09/2015    | CENOVUS ENERGY INC C\$     | 900.00   | 12,794.81 | 19,915.36 | (7,120.55)           | ST    |
| 07/14/2015 | 02/25/2015    | CENOVUS ENERGY INC C\$     | 40.00    | 568.86    | 712.43    | (143.57)             | ST    |
| 07/14/2015 | 07/02/2014    | CENOVUS ENERGY INC C\$     | 160.00   | 2,275.47  | 5,190.81  | (2,915.34)           | LT    |
| 07/14/2015 | 02/25/2015    | CENOVUS ENERGY INC C\$     | 400.00   | 5,748.19  | 7,124.34  | (1,376.15)           | ST    |
| 07/14/2015 | 02/25/2015    | CENOVUS ENERGY INC C\$     | 715.00   | 10,321.08 | 14,306.38 | (3,985.30)           | ST    |
| 08/25/2015 | 06/27/2014    | CENOVUS ENERGY INC C\$     | 600.00   | 7,471.51  | 17,980.08 | (10,508.57)          | LT    |
| 08/26/2015 | 03/31/2014    | CENOVUS ENERGY INC C\$     | 285.00   | 3,559.05  | 6,886.97  | (3,327.92)           | LT    |
| 09/24/2015 | 03/17/2015    | CENTURYTEL INC             | 590.00   | 14,658.33 | 22,743.41 | (8,085.08)           | ST    |
| 07/07/2015 | 09/28/2010    | COMCAST CORP CL A (NEW)    | 200.00   | 12,404.87 | 3,192.53  | 9,212.34             | LT    |
| 09/24/2015 | 02/24/2015    | CONOCOPHILLIPS             | 300.00   | 14,346.00 | 19,467.36 | (5,121.36)           | ST    |
| 09/24/2015 | 02/24/2015    | CONOCOPHILLIPS             | 100.00   | 4,761.29  | 6,714.16  | (1,952.87)           | ST    |
| 09/25/2015 | 01/16/2015    | CONOCOPHILLIPS             | 500.00   | 23,602.91 | 31,464.18 | (7,861.27)           | ST    |
| 09/28/2015 | 03/17/2015    | CONOCOPHILLIPS             | 135.00   | 6,218.78  | 8,384.33  | (2,165.55)           | ST    |
| 09/28/2015 | 05/20/2014    | CONOCOPHILLIPS             | 50.00    | 2,303.25  | 3,928.56  | (1,625.31)           | LT    |
| 08/12/2015 | 02/12/2015    | CRESCENT POINT ENERGY CORP | 200.00   | 2,747.59  | 5,194.35  | (2,446.76)           | ST    |
| 08/14/2015 | 02/11/2015    | CRESCENT POINT ENERGY CORP | 200.00   | 2,725.52  | 5,069.32  | (2,343.80)           | ST    |
| 08/28/2015 | 02/11/2015    | CRESCENT POINT ENERGY CORP | 350.00   | 4,094.72  | 8,869.98  | (4,775.26)           | ST    |
| 08/10/2015 | 03/04/2014    | DAIMLER AG                 | 61.00    | 5,662.60  | 5,687.83  | (25.23)              | LT    |
| 08/11/2015 | 07/15/2013    | DAIMLER AG                 | 31.00    | 2,767.15  | 2,114.20  | 652.95               | LT    |
| 08/11/2015 | 03/04/2014    | DAIMLER AG                 | 91.00    | 8,066.10  | 6,782.21  | 1,283.89             | LT    |
| 08/11/2015 | 02/09/2015    | DAIMLER AG                 | 35.00    | 3,091.35  | 3,231.70  | (140.35)             | ST    |
| 08/11/2015 | 03/04/2014    | DAIMLER AG                 | 11.00    | 971.57    | 1,025.68  | (54.11)              | LT    |
| 08/12/2015 | 07/15/2013    | DAIMLER AG                 | 73.00    | 6,280.54  | 4,978.61  | 1,301.93             | LT    |
| 08/13/2015 | 01/19/2015    | DAIMLER AG                 | 64.00    | 5,506.81  | 5,540.84  | (34.03)              | ST    |
| 08/13/2015 | 07/15/2013    | DAIMLER AG                 | 14.00    | 1,204.61  | 954.80    | 249.81               | LT    |

ATTACHMENT 1 - 9





**CAPITAL  
GROUP<sup>SM</sup>**

**Private Client Services**

**Realized Gain (Loss) Detail**

**HAWK ROCK FOUNDATION**

Account Number: XXXX14900

For the Period July 1, 2015 - September 30, 2015  
Reporting Currency: USD

| Sale Date  | Purchase Date | Description                      | Quantity  | Proceeds   | Cost       | Realized Gain (Loss) | ST/LT |
|------------|---------------|----------------------------------|-----------|------------|------------|----------------------|-------|
| 08/14/2015 | 01/19/2015    | DAIMLER AG                       | 53.00     | 4,543.22   | 4,588.51   | (45.29)              | ST    |
| 08/14/2015 | 01/19/2015    | DAIMLER AG                       | 8.00      | 680.60     | 692.60     | (12.00)              | ST    |
| 08/28/2015 | 03/20/2015    | DISCOVER FINANCIAL SERVICES      | 100.00    | 5,386.01   | 5,923.42   | (537.41)             | ST    |
| 08/31/2015 | 03/24/2015    | DISCOVER FINANCIAL SERVICES      | 390.00    | 21,005.63  | 22,884.56  | (1,878.93)           | ST    |
| 07/07/2015 | 03/27/2014    | DOW CHEMICAL CO                  | 300.00    | 15,087.71  | 12,048.42  | 3,039.29             | LT    |
| 07/07/2015 | 12/03/2012    | EATON CORP PLC                   | 200.00    | 13,207.25  | 10,331.00  | 2,876.25             | LT    |
| 09/28/2015 | 03/17/2015    | ELRINGKLINGER AG                 | 145.00    | 2,787.79   | 4,548.73   | (1,760.94)           | ST    |
| 07/07/2015 | 12/26/2014    | EMERGING MARKETS GROWTH FUND INC | 7,346.88  | 48,856.75  | 49,371.03  | (514.28)             | ST    |
| 07/07/2015 | 02/17/2012    | EMERGING MARKETS GROWTH FUND INC | 53,555.38 | 356,143.25 | 520,473.79 | (164,330.54)         | LT    |
| 09/30/2015 | 03/17/2015    | HITACHI                          | 1,000.00  | 5,000.32   | 6,898.80   | (1,898.48)           | ST    |
| 09/30/2015 | 09/06/2012    | HITACHI                          | 2,000.00  | 10,000.64  | 11,078.18  | (1,077.54)           | LT    |
| 07/07/2015 | 09/14/2011    | HOME DEPOT INC                   | 115.00    | 12,914.71  | 3,853.29   | 9,061.42             | LT    |
| 07/08/2015 | 03/17/2015    | IMPERIAL TOBACCO PLC             | 235.00    | 11,181.82  | 11,100.60  | 81.22                | ST    |
| 07/02/2015 | 03/17/2015    | LIBERTY LILAC GROUP CL A         | 0.25      | 10.72      | 12.15      | (1.43)               | ST    |
| 07/28/2015 | 03/17/2015    | LIBERTY LILAC GROUP CL A         | 9.75      | 429.52     | 474.04     | (44.52)              | ST    |
| 07/28/2015 | 06/20/2014    | LIBERTY LILAC GROUP CL A         | 49.25     | 2,169.62   | 1,876.06   | 293.56               | LT    |
| 07/02/2015 | 05/08/2014    | LIBERTY LILAC GROUP CL C         | 0.25      | 10.48      | 10.21      | 0.27                 | LT    |
| 07/07/2015 | 02/09/2015    | LYONDELLBASELL INDUSTRIES NV     | 100.00    | 9,686.82   | 8,861.33   | 825.49               | ST    |
| 07/08/2015 | 03/18/2009    | MURATA MANUFACTURING CO LTD      | 100.00    | 16,856.87  | 4,479.83   | 12,377.04            | LT    |
| 07/01/2015 | 02/05/2015    | NATIONAL GRID PLC                | 1,075.00  | 13,742.93  | 15,235.02  | (1,492.09)           | ST    |
| 07/01/2015 | 02/05/2015    | NATIONAL GRID PLC                | 100.00    | 1,281.45   | 1,417.21   | (135.76)             | ST    |
| 07/08/2015 | 03/17/2015    | NESTLE SA REG                    | 115.00    | 8,339.78   | 8,736.41   | (396.63)             | ST    |
| 07/07/2015 | 08/23/2013    | NIELSEN NV US\$                  | 275.00    | 12,271.26  | 9,132.02   | 3,139.24             | LT    |
| 08/27/2015 | 09/07/2010    | NOBLE ENERGY INC                 | 120.00    | 4,006.98   | 4,419.08   | (412.10)             | LT    |



# CAPITAL GROUP™

## Private Client Services

### Realized Gain (Loss) Detail

#### HAWK ROCK FOUNDATION

Account Number: XXXX14900

For the Period July 1, 2015 - September 30, 2015  
Reporting Currency: USD

| Sale Date    | Purchase Date | Description              | Quantity | Proceeds     | Cost         | Realized Gain (Loss) | ST/LT |
|--------------|---------------|--------------------------|----------|--------------|--------------|----------------------|-------|
| 08/28/2015   | 09/17/2010    | ORACLE CORP              | 245.00   | 9,153.74     | 6,696.41     | 2,457.33             | LT    |
| 08/28/2015   | 05/20/2015    | PRECISION CASTPARTS CORP | 80.00    | 18,366.34    | 17,533.94    | 832.40               | ST    |
| 09/02/2015   | 12/19/2014    | RIO TINTO PLC REG        | 200.00   | 7,013.01     | 8,896.96     | (1,883.95)           | ST    |
| 09/02/2015   | 10/17/2013    | RIO TINTO PLC REG        | 255.00   | 8,941.60     | 13,197.01    | (4,255.41)           | LT    |
| 07/07/2015   | 04/02/2014    | ROYAL CARIBBEAN CRUISES  | 100.00   | 7,939.85     | 5,611.73     | 2,328.12             | LT    |
| 07/08/2015   | 02/16/2015    | SCHNEIDER ELECTRIC SA    | 71.00    | 4,666.51     | 5,629.19     | (962.68)             | ST    |
| 07/08/2015   | 11/01/2011    | SCHNEIDER ELECTRIC SA    | 79.00    | 5,192.31     | 4,364.30     | 828.01               | LT    |
| 09/11/2015   | 09/20/2012    | SES FDR CL A (PARIS)     | 89.00    | 2,712.90     | 2,419.50     | 293.40               | LT    |
| 09/11/2015   | 09/20/2012    | SES FDR CL A (PARIS)     | 181.00   | 5,497.66     | 4,922.95     | 574.71               | LT    |
| 07/10/2015   | 12/19/2014    | SIEMENS AG NAMEN         | 295.00   | 30,172.95    | 34,745.12    | (4,572.17)           | ST    |
| 07/07/2015   | 09/07/2006    | UNITED TECHNOLOGIES CORP | 150.00   | 16,397.51    | 9,353.17     | 7,044.34             | LT    |
| 07/07/2015   | 04/24/2014    | VERISIGN INC             | 350.00   | 21,889.08    | 17,139.71    | 4,749.37             | LT    |
| 09/22/2015   | 06/30/2015    | WYNN RESORTS LTD         | 70.00    | 4,485.89     | 6,705.09     | (2,219.20)           | ST    |
| Total Equity |               |                          |          | 1,107,445.99 | 1,267,352.91 | (159,906.92)         |       |
| Total Sales  |               |                          |          | 1,107,445.99 | 1,267,352.91 | (159,906.92)         |       |

| Period ended | Year to date* |
|--------------|---------------|
| 09/30/2015   | 09/30/2015    |
| (86,716.92)  | (99,115.02)   |
| (73,190.00)  | 303,603.28    |
| (159,906.92) | 204,488.26    |

Total net short-term gain (loss)  
Total net long-term gain (loss)  
Total Gain (Loss)

\* Fiscal year ending December 31



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# CAPITAL GROUP™

## Private Client Services

### Realized Gain (Loss) Detail

**HAWK ROCK FOUNDATION**  
Account Number: XXXX14900

For the Period October 1, 2015 - December 31, 2015  
Reporting Currency: USD

| Sale Date     | Purchase Date | Description                 | Quantity | Proceeds  | Cost      | Realized Gain (Loss) | ST/LT |
|---------------|---------------|-----------------------------|----------|-----------|-----------|----------------------|-------|
| <b>Sales</b>  |               |                             |          |           |           |                      |       |
| <b>Equity</b> |               |                             |          |           |           |                      |       |
| 10/14/2015    | 03/31/2014    | ABBVIE INC                  | 5.00     | 269.35    | 255.53    | 13.82                | LT    |
| 11/05/2015    | 02/20/2009    | BAYER AG                    | 40.00    | 5,247.93  | 2,199.13  | 3,048.80             | LT    |
| 10/09/2015    | 01/19/2015    | CAIXABANK SA                | 0.62     | 2.57      | 3.01      | (0.44)               | ST    |
| 10/16/2015    | 03/17/2015    | CAIXABANK SA                | 1,938.00 | 8,325.06  | 9,156.48  | (831.42)             | ST    |
| 10/16/2015    | 08/18/2015    | CAIXABANK SA                | 1,590.00 | 6,817.93  | 7,036.13  | (218.20)             | ST    |
| 10/16/2015    | 08/19/2015    | CAIXABANK SA                | 417.00   | 1,777.79  | 1,819.02  | (41.23)              | ST    |
| 10/02/2015    | 12/18/2014    | CHEVRON CORP                | 190.00   | 15,211.82 | 21,561.05 | (6,349.23)           | ST    |
| 11/25/2015    | 06/01/2015    | CREDIT SUISSE GROUP RTS EXP | 500.00   | 243.75    | 0.00      | 243.75               | ST    |
| 12/03/2015    |               |                             |          |           |           |                      |       |
| 10/01/2015    | 05/15/2014    | ELRINGKLINGER AG            | 38.00    | 740.59    | 1,564.09  | (823.50)             | LT    |
| 10/01/2015    | 03/17/2015    | ELRINGKLINGER AG            | 106.00   | 2,065.83  | 3,325.28  | (1,259.45)           | ST    |
| 10/05/2015    | 05/15/2014    | ELRINGKLINGER AG            | 148.00   | 2,871.74  | 5,980.95  | (3,109.21)           | LT    |
| 10/06/2015    | 05/07/2014    | ELRINGKLINGER AG            | 160.00   | 3,120.64  | 6,327.63  | (3,206.99)           | LT    |
| 10/07/2015    | 05/07/2014    | ELRINGKLINGER AG            | 19.00    | 384.10    | 744.72    | (360.62)             | LT    |
| 10/01/2015    | 04/28/2014    | HOME RETAIL GROUP           | 2,000.00 | 4,135.00  | 7,054.99  | (2,919.99)           | LT    |
| 10/07/2015    | 04/28/2014    | HOME RETAIL GROUP           | 1,800.00 | 3,865.24  | 6,308.99  | (2,443.75)           | LT    |
| 10/16/2015    | 04/30/2015    | HSBC HOLDINGS PLC UKP       | 26.60    | 214.47    | 232.36    | (17.89)              | ST    |
| 10/16/2015    | 04/03/2009    | HSBC HOLDINGS PLC UKP       | 1,131.40 | 9,122.93  | 4,959.71  | 4,163.22             | LT    |
| 11/12/2015    | 02/11/2013    | IMPERIAL TOBACCO PLC        | 335.00   | 17,838.37 | 11,635.21 | 6,203.16             | LT    |
| 10/16/2015    | 10/02/2014    | JULIUS BAER GROUP LTD       | 240.00   | 11,847.33 | 10,575.20 | 1,272.13             | LT    |
| 10/16/2015    | 04/28/2015    | KINDER MORGAN INC           | 200.00   | 6,439.20  | 8,635.00  | (2,195.80)           | ST    |
| 10/19/2015    | 04/28/2015    | KINDER MORGAN INC           | 100.00   | 3,167.55  | 4,316.50  | (1,148.95)           | ST    |
| 10/19/2015    | 04/28/2015    | KINDER MORGAN INC           | 165.00   | 5,186.09  | 7,122.43  | (1,936.34)           | ST    |





# CAPITAL GROUP<sup>SM</sup>

## Private Client Services

### Realized Gain (Loss) Detail

#### HAWK ROCK FOUNDATION

Account Number: XXXX14900

For the Period October 1, 2015 - December 31, 2015  
Reporting Currency: USD

| Purchase<br>Sale Date | Description                      | Quantity | Proceeds          | Cost              | Realized<br>Gain (Loss) | ST/LT |
|-----------------------|----------------------------------|----------|-------------------|-------------------|-------------------------|-------|
| 12/03/2015            | 02/03/2015 MEGGITT PLC           | 600.00   | 3,440.97          | 4,929.76          | (1,488.79)              | ST    |
| 12/14/2015            | 02/02/2015 MEGGITT PLC           | 700.00   | 3,858.34          | 5,736.17          | (1,877.83)              | ST    |
| 12/17/2015            | 02/02/2015 MEGGITT PLC           | 600.00   | 3,257.23          | 4,916.72          | (1,659.49)              | ST    |
| 12/21/2015            | 02/02/2015 MEGGITT PLC           | 500.00   | 2,724.11          | 4,097.27          | (1,373.16)              | ST    |
| 12/21/2015            | 07/22/2013 MEGGITT PLC           | 600.00   | 3,268.93          | 5,057.39          | (1,788.46)              | LT    |
| 12/23/2015            | 10/04/2013 MEGGITT PLC           | 495.00   | 2,707.94          | 4,113.55          | (1,405.61)              | LT    |
| 10/13/2015            | 02/05/2015 NATIONAL GRID PLC     | 575.00   | 7,926.96          | 8,195.30          | (268.34)                | ST    |
| 10/05/2015            | 07/01/2015 NORFOLK SOUTHERN CORP | 100.00   | 8,007.46          | 8,793.63          | (786.17)                | ST    |
| 10/06/2015            | 07/01/2015 NORFOLK SOUTHERN CORP | 100.00   | 7,996.03          | 8,793.63          | (797.60)                | ST    |
| 10/07/2015            | 07/01/2015 NORFOLK SOUTHERN CORP | 50.00    | 4,053.74          | 4,396.81          | (343.07)                | ST    |
| 11/05/2015            | 01/11/2012 ORACLE CORP           | 280.00   | 11,278.19         | 7,569.52          | 3,708.67                | LT    |
| 12/11/2015            | 11/01/2011 SCHNEIDER ELECTRIC SA | 52.00    | 3,102.26          | 2,872.70          | 229.56                  | LT    |
| 12/14/2015            | 11/15/2011 SCHNEIDER ELECTRIC SA | 211.00   | 12,468.82         | 11,348.32         | 1,120.50                | LT    |
| 12/15/2015            | 11/15/2011 SCHNEIDER ELECTRIC SA | 55.00    | 3,182.70          | 2,956.93          | 225.77                  | LT    |
| 12/16/2015            | 11/15/2011 SCHNEIDER ELECTRIC SA | 13.00    | 744.67            | 698.91            | 45.76                   | LT    |
| 11/10/2015            | 11/11/2014 TOTAL SA (FR)         | 0.55     | 26.16             | 32.26             | (6.10)                  | ST    |
| 10/01/2015            | 12/19/2014 ZODIAC AEROSPACE      | 266.00   | 6,237.67          | 9,075.00          | (2,837.33)              | ST    |
| 10/01/2015            | 04/01/2014 ZODIAC AEROSPACE      | 94.00    | 2,204.29          | 3,338.71          | (1,134.42)              | LT    |
| <b>Total Equity</b>   |                                  |          | <b>195,381.75</b> | <b>217,735.99</b> | <b>(22,354.24)</b>      |       |
| <b>Total Sales</b>    |                                  |          | <b>195,381.75</b> | <b>217,735.99</b> | <b>(22,354.24)</b>      |       |



**CAPITAL  
GROUP™**

**Private Client Services**

**Realized Gain (Loss) Detail**

**HAWK ROCK FOUNDATION**

Account Number: XXXX14900

For the Period October 1, 2015 - December 31, 2015  
Reporting Currency: USD

| Purchase<br>Sale Date Date | Description | Quantity | Proceeds | Cost | Realized<br>Gain (Loss) | ST/LT |
|----------------------------|-------------|----------|----------|------|-------------------------|-------|
|----------------------------|-------------|----------|----------|------|-------------------------|-------|

**Capital Gain Distributions**

**Fixed Income**

12/31/2015 CAPITAL GROUP CORE BOND FUND

Total Fixed Income

Total Capital Gain Distributions

4,300.73 LT

4,300.73

4,300.73

|                                            | Period ended<br>12/31/2015 | Year to date*<br>12/31/2015 |
|--------------------------------------------|----------------------------|-----------------------------|
| Total net short-term gain (loss)           | (25,193.08)                | (124,308.10)                |
| Total net long-term gain (loss)            | 2,838.84                   | 306,442.12                  |
| Total long-term capital gain distributions | 4,300.73                   | 4,300.73                    |
| <b>Total Gain (Loss)</b>                   | <b>(18,053.51)</b>         | <b>186,434.75</b>           |

\* Fiscal year ending December 31

|                      | Proceeds     | Cost         | Realized Gain/(Loss) |
|----------------------|--------------|--------------|----------------------|
| TOTAL NET SHORT-TERM | 621,097.59   | 745,405.69   | (124,308.10)         |
| TOTAL NET LONG-TERM  | 1,729,009.99 | 1,422,567.87 | 306,442.12           |

