Form **990-PF**

Department of the Treasury
Internal Revenue Service

# Return of Private Foundation

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

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

▶ Information about Form 990-PF and its separate instructions is at *www.irs.gov/form990pf.*

OMB No 1545-0052

**2015**

Open to Public Inspection

For calendar year 2015 or tax year beginning , and ending

| Name of foundation | A Employer identification number |
|---|---|
| CARIDAD CORPORATION | 36-3505813 |
| Number and street (or P O box number if mail is not delivered to street address) / Room/suite: 2630 W LAFAYETTE RD | B Telephone number (952) 470-3600 |
| City or town, state or province, country, and ZIP or foreign postal code: EXCELSIOR, MN 55331 | C If exemption application is pending, check here ▶ ☐ |

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

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

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

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

I Fair market value of all assets at end of year *(from Part II, col (c), line 16)* ▶$ 254,106.

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

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

| **Part I** Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a)) | (a) Revenue and expenses per books | (b) Net investment income | (c) Adjusted net income | (d) Disbursements for charitable purposes (cash basis only) |
|---|---|---|---|---|
| **Revenue** 1 Contributions, gifts, grants, etc., received | 63,555. | | N/A | |
| 2 Check ▶ ☐ if the foundation is not required to attach Sch B | | | | |
| 3 Interest on savings and temporary cash investments | | | | |
| 4 Dividends and interest from securities | 19,665. | 19,665. | | STATEMENT 1 |
| 5a Gross rents | | | | |
| b Net rental income or (loss) | | | | |
| 6a Net gain or (loss) from sale of assets not on line 10 | 59,682. | | | |
| b Gross sales price for all assets on line 6a 686,672. | | | | |
| 7 Capital gain net income (from Part IV, line 2) | | 59,682. | | |
| 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) | | | | |
| 11 Other income | | | | |
| 12 **Total** Add lines 1 through 11 | 142,902. | 79,347. | | |
| **Operating and Administrative Expenses** 13 Compensation of officers, directors, trustees, etc | 0. | 0. | | 0. |
| 14 Other employee salaries and wages | | | | |
| 15 Pension plans, employee benefits | | | | |
| 16a Legal fees STMT 2 | 1,525. | 1,525. | | 0. |
| b Accounting fees | | | | |
| c Other professional fees | | | | |
| 17 Interest | | | | |
| 18 Taxes STMT 3 | <1,200.> | 0. | | 0. |
| 19 Depreciation and depletion | | | | |
| 20 Occupancy | | | | |
| 21 Travel, conferences, and meetings | | | | |
| 22 Printing and publications | | | | |
| 23 Other expenses STMT 4 | 33,742. | 33,742. | | 0. |
| 24 **Total operating and administrative expenses** Add lines 13 through 23 | 34,067. | 35,267. | | 0. |
| 25 Contributions, gifts, grants paid | 240,500. | | | 240,500. |
| 26 **Total expenses and disbursements.** Add lines 24 and 25 | 274,567. | 35,267. | | 240,500. |
| 27 Subtract line 26 from line 12: | | | | |
| a Excess of revenue over expenses and disbursements | <131,665.> | | | |
| b **Net investment income** (if negative, enter -0-) | | 44,080. | | |
| c **Adjusted net income** (if negative, enter -0-) | | | N/A | |

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09200502 785296 3751 2015.03040 CARIDAD CORPORATION 3751__1

6 28 3

**Part II Balance Sheets** Attached schedules and amounts in the description column should be for end-of-year amounts only

| | | Beginning of year | End of year | |
|---|---|---|---|---|
| | | (a) Book Value | (b) Book Value | (c) Fair Market Value |
| Assets | 1 Cash - non-interest-bearing | 178,251. | 22,729. | 22,729. |
| | 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 | | | |
| | 7 Other notes and loans receivable ▶ 50,325. | | | |
| | Less: allowance for doubtful accounts ▶ 0. | 50,325. | 50,325. | 50,325. |
| | 8 Inventories for sale or use | | | |
| | 9 Prepaid expenses and deferred charges | | | |
| | 10a Investments - U.S. and state government obligations | | | |
| | b Investments - corporate stock STMT 6 | 161,202. | 171,439. | 181,052. |
| | c Investments - corporate bonds | | | |
| | 11 Investments - land, buildings, and equipment basis ▶ | | | |
| | Less accumulated depreciation ▶ | | | |
| | 12 Investments - mortgage loans | | | |
| | 13 Investments - other | | | |
| | 14 Land, buildings, and equipment: basis ▶ | | | |
| | Less accumulated depreciation ▶ | | | |
| | 15 Other assets (describe ▶ ) | | | |
| | 16 **Total assets** (to be completed by all filers - see the instructions. Also, see page 1, item I) | 389,778. | 244,493. | 254,106. |
| Liabilities | 17 Accounts payable and accrued expenses | | | |
| | 18 Grants payable | | | |
| | 19 Deferred revenue | | | |
| | 20 Loans from officers, directors, trustees, and other disqualified persons | | | |
| | 21 Mortgages and other notes payable | | | |
| | 22 Other liabilities (describe ▶ ) | | | |
| | 23 **Total liabilities** (add lines 17 through 22) | 0. | 0. | |
| Net Assets or Fund Balances | **Foundations that follow SFAS 117, check here ▶ ☐ and complete lines 24 through 26 and lines 30 and 31** | | | |
| | 24 Unrestricted | | | |
| | 25 Temporarily restricted | | | |
| | 26 Permanently restricted | | | |
| | **Foundations that do not follow SFAS 117, check here ▶ [X] and complete lines 27 through 31.** | | | |
| | 27 Capital stock, trust principal, or current funds | 389,778. | 258,113. | |
| | 28 Paid-in or capital surplus, or land, bldg., and equipment fund | 0. | 0. | |
| | 29 Retained earnings, accumulated income, endowment, or other funds | 0. | <13,620.> | |
| | 30 **Total net assets or fund balances** | 389,778. | 244,493. | |
| | 31 **Total liabilities and net assets/fund balances** | 389,778. | 244,493. | |

**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 | 389,778. |
| 2 | Enter amount from Part I, line 27a | 2 | <131,665.> |
| 3 | Other increases not included in line 2 (itemize) ▶ PREVIOUS YEAR STOCK DONATION 2014 | 3 | 25,532. |
| 4 | Add lines 1, 2, and 3 | 4 | 283,645. |
| 5 | Decreases not included in line 2 (itemize) ▶ SEE STATEMENT 5 | 5 | 39,152. |
| 6 | Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30 | 6 | 244,493. |

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

| | (a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.) | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | SEE STMT ATTACHED | P | VARIOUS | 12/31/15 |
| b | | | | |
| c | | | | |
| d | | | | |
| e | | | | |

| | (e) Gross sales price | (f) Depreciation allowed (or allowable) | (g) Cost or other basis plus expense of sale | (h) Gain or (loss) (e) plus (f) minus (g) |
|---|---|---|---|---|
| a | 686,672. | | 626,990. | 59,682. |
| b | | | | |
| c | | | | |
| d | | | | |
| e | | | | |

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

| | (i) F.M.V. as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of col. (i) over col. (j), if any | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h)) |
|---|---|---|---|---|
| a | | | | 59,682. |
| b | | | | |
| c | | | | |
| d | | | | |
| e | | | | |

| | | | |
|---|---|---|---|
| 2 | Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 / If (loss), enter -0- in Part I, line 7 } | 2 | 59,682. |
| 3 | Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter -0- in Part I, line 8 | 3 | N/A |

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

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

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

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

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

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

| (a) Base period years Calendar year (or tax year beginning in) | (b) Adjusted qualifying distributions | (c) Net value of noncharitable-use assets | (d) Distribution ratio (col. (b) divided by col. (c)) |
|---|---|---|---|
| 2014 | 331,558. | 602,193. | .550584 |
| 2013 | 167,229. | 903,114. | .185169 |
| 2012 | 91,100. | 1,107,461. | .082260 |
| 2011 | 92,875. | 1,065,684. | .087151 |
| 2010 | 185,900. | 883,615. | .210386 |

| | | | |
|---|---|---|---|
| 2 | **Total** of line 1, column (d) | 2 | 1.115550 |
| 3 | Average distribution ratio for the 5-year base period - divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years | 3 | .223110 |
| 4 | Enter the net value of noncharitable-use assets for 2015 from Part X, line 5 | 4 | 320,719. |
| 5 | Multiply line 4 by line 3 | 5 | 71,556. |
| 6 | Enter 1% of net investment income (1% of Part I, line 27b) | 6 | 441. |
| 7 | Add lines 5 and 6 | 7 | 71,997. |
| 8 | Enter qualifying distributions from Part XII, line 4 | 8 | 240,500. |

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

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

| | | | | |
|---|---|---|---|---|
| 1a | Exempt operating foundations described in section 4940(d)(2), check here ▶ [ ] and enter "N/A" on line 1. Date of ruling or determination letter: ________ (attach copy of letter if necessary-see instructions) | | | |
| b | Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ [X] and enter 1% of Part I, line 27b | | 1 | 441. |
| c | All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b). | | | |
| 2 | Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-) | | 2 | 0. |
| 3 | Add lines 1 and 2 | | 3 | 441. |
| 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 | 441. |
| 6 | Credits/Payments: | | | |
| a | 2015 estimated tax payments and 2014 overpayment credited to 2015 | 6a | | |
| b | Exempt foreign organizations - tax withheld at source | 6b | | |
| c | Tax paid with application for extension of time to file (Form 8868) | 6c | | |
| d | Backup withholding erroneously withheld | 6d | | |
| 7 | Total credits and payments. Add lines 6a through 6d | | 7 | 0. |
| 8 | Enter any **penalty** for underpayment of estimated tax. Check here [ ] if Form 2220 is attached | | 8 | |
| 9 | **Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ▶ | | 9 | 441. |
| 10 | **Overpayment** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶ | | 10 | |
| 11 | Enter the amount of line 10 to be: **Credited to 2016 estimated tax** ▶ | **Refunded** ▶ | 11 | |

## Part VII-A Statements Regarding Activities

| | | | Yes | No |
|---|---|---|---|---|
| 1a | During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign? | 1a | | X |
| b | Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see instructions for the definition)? | 1b | | X |
| | *If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities* | | | |
| c | Did the foundation file **Form 1120-POL** for this year? | 1c | | X |
| d | Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. ▶ $ 0. (2) On foundation managers. ▶ $ 0. | | | |
| e | Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ▶ $ 0. | | | |
| 2 | Has the foundation engaged in any activities that have not previously been reported to the IRS? *If "Yes," attach a detailed description of the activities.* | 2 | | X |
| 3 | Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? *If "Yes," attach a conformed copy of the changes* | 3 | | X |
| 4a | Did the foundation have unrelated business gross income of $1,000 or more during the year? | 4a | | X |
| b | If "Yes," has it filed a tax return on **Form 990-T** for this year? N/A | 4b | | |
| 5 | Was there a liquidation, termination, dissolution, or substantial contraction during the year? *If "Yes," attach the statement required by General Instruction T* | 5 | | X |
| 6 | Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument? | 6 | X | |
| 7 | Did the foundation have at least $5,000 in assets at any time during the year? *If "Yes," complete Part II, col (c), and Part XV* | 7 | X | |
| 8a | Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ MN | | | |
| b | If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by *General Instruction G? If "No," attach explanation* | 8b | X | |
| 9 | Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2015 or the taxable year beginning in 2015 (see instructions for Part XIV)? *If "Yes," complete Part XIV* | 9 | | X |
| 10 | Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses | 10 | | X |

Form **990-PF** (2015)

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

| | | | Yes | No |
|---|---|---|---|---|
| 11 | At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions) | 11 | | X |
| 12 | Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions) | 12 | | X |
| 13 | Did the foundation comply with the public inspection requirements for its annual returns and exemption application? | 13 | X | |

Website address ▶ N/A

14 The books are in care of ▶ CARIDAD CORP. / THOMAS LOWE III Telephone no. ▶ 952-471-0499

Located at ▶ 2630 W LAFAYETTE RD, EXCELSIOR, MN ZIP+4 ▶ 55331

15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of **Form 1041** - Check here ▶ ☐

and enter the amount of tax-exempt interest received or accrued during the year ▶ 15 N/A

| | | | Yes | No |
|---|---|---|---|---|
| 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? | 16 | | X |
| | See the instructions for exceptions and filing requirements for FinCEN Form 114. If "Yes," enter the name of the foreign country ▶ | | | |

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

| | **File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.** | | | Yes | No |
|---|---|---|---|---|---|
| 1a | During the year did the foundation (either directly or indirectly): | | | | |
| | (1) Engage in the sale or exchange, or leasing of property with a disqualified person? | ☐ Yes ☒ No | | | |
| | (2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? | ☐ Yes ☒ No | | | |
| | (3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? | ☐ Yes ☒ No | | | |
| | (4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? | ☐ Yes ☒ No | | | |
| | (5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? | ☐ Yes ☒ No | | | |
| | (6) Agree to pay money or property to a government official? (**Exception** Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.) | ☐ Yes ☒ No | | | |
| b | If any answer is "Yes" to 1a(1)-(6), did **any** of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? | N/A | 1b | | |
| | Organizations relying on a current notice regarding disaster assistance check here | ▶ ☐ | | | |
| c | Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 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? | ☐ Yes ☒ No | | | |
| | If "Yes," list the years ▶ ____, ____, ____, ____ | | | | |
| b | Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to **all** years listed, answer "No" and attach statement - see instructions.) | N/A | 2b | | |
| c | If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here. ▶ ____, ____, ____, ____ | | | | |
| 3a | Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? | ☐ Yes ☒ No | | | |
| b | If "Yes," did it have excess business holdings in 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.)* | N/A | 3b | | |
| 4a | Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? | | 4a | | X |
| b | Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2015? | | 4b | | X |

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

| | | Yes | No |
|---|---|---|---|
| **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)? N/A | **5b** | | |
| Organizations relying on a current notice regarding disaster assistance check here ▶ ☐ | | | |
| **c** If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? N/A | ☐ Yes ☐ No | | |
| *If "Yes," attach the statement required by Regulations section 53 4945-5(d)* | | | |
| **6a** Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? | ☐ Yes ☒ No | | |
| **b** Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? | **6b** | | 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? N/A | **7b** | | |

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

**1 List all officers, directors, trustees, foundation managers and their compensation.**

| (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 |
|---|---|---|---|---|
| THOMAS P. LOWE<br>2630 W. LAFAYETTE RD<br>EXCELSIOR, MN 55331 | PRESIDENT<br>0.00 | 0. | 0. | 0. |
| MAGARET L. LOWE<br>2630 W. LAFAYETTE RD<br>EXCELSIOR, MN 55331 | VICE PRESIDENT<br>0.00 | 0. | 0. | 0. |
| THOMAS P. LOWE III<br>3295 CARMAN RD<br>EXCELSIOR, MN 55331 | TREASURER<br>20.00 | 0. | 0. | 0. |
| | | | | |

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

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

**Total** number of other employees paid over $50,000 ▶ 0

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

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

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

**Total** number of others receiving over $50,000 for professional services ▶ 0

**Part IX-A** **Summary of Direct Charitable Activities**

| List the foundation's four largest direct charitable activities during the tax year. Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc. | Expenses |
|---|---|
| 1 N/A | |
| 2 | |
| 3 | |
| 4 | |

**Part IX-B** **Summary of Program-Related Investments**

| Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2. | Amount |
|---|---|
| 1 N/A | |
| 2 | |
| All other program-related investments. See instructions.<br>3 | |
| **Total.** Add lines 1 through 3 ▶ | 0. |

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

| | | | | |
|---|---|---|---|---|
| 1 | Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes: | | | |
| a | Average monthly fair market value of securities | | 1a | 194,981. |
| b | Average of monthly cash balances | | 1b | 130,622. |
| c | Fair market value of all other assets | | 1c | |
| d | **Total** (add lines 1a, b, and c) | | 1d | 325,603. |
| e | Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) | 1e 0. | | |
| 2 | Acquisition indebtedness applicable to line 1 assets | | 2 | 0. |
| 3 | Subtract line 2 from line 1d | | 3 | 325,603. |
| 4 | Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions) | | 4 | 4,884. |
| 5 | **Net value of noncharitable-use assets** Subtract line 4 from line 3. Enter here and on Part V, line 4 | | 5 | 320,719. |
| 6 | **Minimum investment return** Enter 5% of line 5 | | 6 | 16,036. |

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

| | | | | |
|---|---|---|---|---|
| 1 | Minimum investment return from Part X, line 6 | | 1 | 16,036. |
| 2a | Tax on investment income for 2015 from Part VI, line 5 | 2a 441. | | |
| b | Income tax for 2015. (This does not include the tax from Part VI.) | 2b | | |
| c | Add lines 2a and 2b | | 2c | 441. |
| 3 | Distributable amount before adjustments. Subtract line 2c from line 1 | | 3 | 15,595. |
| 4 | Recoveries of amounts treated as qualifying distributions | | 4 | 0. |
| 5 | Add lines 3 and 4 | | 5 | 15,595. |
| 6 | Deduction from distributable amount (see instructions) | | 6 | 0. |
| 7 | **Distributable amount** as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1 | | 7 | 15,595. |

## Part XII Qualifying Distributions (see instructions)

| | | | |
|---|---|---|---|
| 1 | Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes: | | |
| a | Expenses, contributions, gifts, etc. - total from Part I, column (d), line 26 | 1a | 240,500. |
| b | Program-related investments - total from Part IX-B | 1b | 0. |
| 2 | Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes | 2 | |
| 3 | Amounts set aside for specific charitable projects that satisfy the: | | |
| a | Suitability test (prior IRS approval required) | 3a | |
| b | Cash distribution test (attach the required schedule) | 3b | |
| 4 | **Qualifying distributions.** Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4 | 4 | 240,500. |
| 5 | Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b | 5 | 441. |
| 6 | **Adjusted qualifying distributions** Subtract line 5 from line 4 | 6 | 240,059. |

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

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

| | (a) Corpus | (b) Years prior to 2014 | (c) 2014 | (d) 2015 |
|---|---|---|---|---|
| 1 Distributable amount for 2015 from Part XI, line 7 | | | | 15,595. |
| 2 Undistributed income, if any, as of the end of 2015 | | | | |
| a Enter amount for 2014 only | | | 0. | |
| b Total for prior years: ____, ____, ____ | | 0. | | |
| 3 Excess distributions carryover, if any, to 2015: | | | | |
| a From 2010 141,719. | | | | |
| b From 2011 40,681. | | | | |
| c From 2012 35,727. | | | | |
| d From 2013 122,073. | | | | |
| e From 2014 301,448. | | | | |
| f **Total** of lines 3a through e | 641,648. | | | |
| 4 Qualifying distributions for 2015 from Part XII, line 4. ▶ $ 240,500. | | | | |
| a Applied to 2014, but not more than line 2a | | | 0. | |
| b Applied to undistributed income of prior years (Election required - see instructions) | | 0. | | |
| c Treated as distributions out of corpus (Election required - see instructions) | 0. | | | |
| d Applied to 2015 distributable amount | | | | 15,595. |
| e Remaining amount distributed out of corpus | 224,905. | | | |
| 5 Excess distributions carryover applied to 2015 (If an amount appears in column (d), the same amount must be shown in column (a)) | 0. | | | 0. |
| 6 **Enter the net total of each column as indicated below:** | | | | |
| a Corpus Add lines 3f, 4c, and 4e Subtract line 5 | 866,553. | | | |
| b Prior years' undistributed income. Subtract line 4b from line 2b | | 0. | | |
| c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed | | 0. | | |
| d Subtract line 6c from line 6b. Taxable amount - see instructions | | 0. | | |
| e Undistributed income for 2014. Subtract line 4a from line 2a. Taxable amount - see instr. | | | 0. | |
| f Undistributed income for 2015. Subtract lines 4d and 5 from line 1 This amount must be distributed in 2016 | | | | 0. |
| 7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions) | 0. | | | |
| 8 Excess distributions carryover from 2010 not applied on line 5 or line 7 | 141,719. | | | |
| 9 **Excess distributions carryover to 2016** Subtract lines 7 and 8 from line 6a | 724,834. | | | |
| 10 Analysis of line 9: | | | | |
| a Excess from 2011 40,681. | | | | |
| b Excess from 2012 35,727. | | | | |
| c Excess from 2013 122,073. | | | | |
| d Excess from 2014 301,448. | | | | |
| e Excess from 2015 224,905. | | | | |

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

1 a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2015, enter the date of the ruling ▶

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

| | Tax year | Prior 3 years | | | |
|---|---|---|---|---|---|
| | (a) 2015 | (b) 2014 | (c) 2013 | (d) 2012 | (e) Total |
| 2 a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed | | | | | |
| b 85% of line 2a | | | | | |
| c Qualifying distributions from Part XII, line 4 for each year listed | | | | | |
| d Amounts included in line 2c not used directly for active conduct of exempt activities | | | | | |
| e Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c | | | | | |
| 3 Complete 3a, b, or c for the alternative test relied upon:<br>a "Assets" alternative test - enter:<br>(1) Value of all assets | | | | | |
| (2) Value of assets qualifying under section 4942(j)(3)(B)(i) | | | | | |
| b "Endowment" alternative test - enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed | | | | | |
| c "Support" alternative test - enter:<br>(1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties) | | | | | |
| (2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii) | | | | | |
| (3) Largest amount of support from an exempt organization | | | | | |
| (4) Gross investment income | | | | | |

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

1 **Information Regarding Foundation Managers:**

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

SEE STATEMENT 7

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

NONE

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

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

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

THOMAS P LOWE C/O CARIDAD CORPORATION, 2630 W LAFAYETTE RD

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

LETTER DESCRIBING ORGANIZATION, BENEFIT, 501(C)(3) STATUS.

c Any submission deadlines:

OCTOBER 30TH EACH CALENDAR YEAR

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

NONE

**Part XV Supplementary Information** (continued)

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

| Recipient<br>Name and address (home or business) | If recipient is an individual, show any relationship to any foundation manager or substantial contributor | Foundation status of recipient | Purpose of grant or contribution | Amount |
|---|---|---|---|---|
| **a** *Paid during the year* | | | | |
| SEE STATEMENT | | | | 240,500. |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| **Total** | | | ▶ 3a | 240,500. |
| **b** *Approved for future payment* | | | | |
| NONE | | | | |
| | | | | |
| | | | | |
| **Total** | | | ▶ 3b | 0. |

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

| Enter gross amounts unless otherwise indicated. | Unrelated business income | | Excluded by section 512, 513, or 514 | | (e) Related or exempt function income |
|---|---|---|---|---|---|
| | (a) Business code | (b) Amount | (c) Exclusion code | (d) Amount | |
| 1 Program service revenue: | | | | | |
| a | | | | | |
| b | | | | | |
| c | | | | | |
| d | | | | | |
| e | | | | | |
| f | | | | | |
| g Fees and contracts from government agencies | | | | | |
| 2 Membership dues and assessments | | | | | |
| 3 Interest on savings and temporary cash investments | | | | | |
| 4 Dividends and interest from securities | | | 14 | 19,665. | |
| 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 | | | | | 59,682. |
| 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) | | 0. | | 19,665. | 59,682. |

**13 Total.** Add line 12, columns (b), (d), and (e) 13 79,347.

(See worksheet in line 13 instructions to verify calculations.)

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

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

523621 11-24-15

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

| | | | Yes | No |
|---|---|---|---|---|
| 1 | Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations? | | | |
| a | Transfers from the reporting foundation to a noncharitable exempt organization of: | | | |
| | (1) Cash | 1a(1) | | X |
| | (2) Other assets | 1a(2) | | X |
| b | Other transactions: | | | |
| | (1) Sales of assets to a noncharitable exempt organization | 1b(1) | | X |
| | (2) Purchases of assets from a noncharitable exempt organization | 1b(2) | | X |
| | (3) Rental of facilities, equipment, or other assets | 1b(3) | | X |
| | (4) Reimbursement arrangements | 1b(4) | | X |
| | (5) Loans or loan guarantees | 1b(5) | | X |
| | (6) Performance of services or membership or fundraising solicitations | 1b(6) | | X |
| c | Sharing of facilities, equipment, mailing lists, other assets, or paid employees | 1c | | X |

**d** If the answer to any of the above is "Yes," complete the following schedule. Column **(b)** should always show the fair market value of the goods, other assets, or services given by the reporting foundation. If the foundation received less than fair market value in any transaction or sharing arrangement, show in column **(d)** the value of the goods, other assets, or services received.

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

**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 |
|---|---|---|
| N/A | | |

**Sign Here**

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

Signature of officer or trustee | Date 5-16-16 | Title ▶ TREASURER

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

**Paid Preparer Use Only**

| Print/Type preparer's name | Preparer's signature | Date | Check ☐ if self-employed | PTIN |
|---|---|---|---|---|
| MICHAEL J BARRETT | | 5/12/16 | | P00443533 |

Firm's name ▶ MOLLER & BARRETT, LLP — Firm's EIN ▶ 41-1796618

Firm's address ▶ 225 SOUTH SIXTH STREET, STE 4390 MINNEAPOLIS, MN 55402 — Phone no. (612) 372-0090

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

# Schedule of Contributors

▶ 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* .

OMB No 1545-0047

**2015**

**Name of the organization**

CARIDAD CORPORATION

**Employer identification number**

36-3505813

**Organization type** (check one)

| **Filers of:** | **Section:** |
|---|---|
| Form 990 or 990-EZ | ☐ 501(c)(   ) (enter number) organization |
| | ☐ 4947(a)(1) nonexempt charitable trust **not** treated as a private foundation |
| | ☐ 527 political organization |
| Form 990-PF | ☒ 501(c)(3) exempt private foundation |
| | ☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation |
| | ☐ 501(c)(3) taxable private foundation |

Check if your organization is covered by the **General Rule** or a **Special Rule.**
**Note.** Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule See instructions

**General Rule**

☒ For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, 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 | Employer identification number |
|---|---|
| CARIDAD CORPORATION | 36-3505813 |

**Part I** **Contributors** (see instructions) Use duplicate copies of Part I if additional space is needed

| (a) No. | (b) Name, address, and ZIP + 4 | (c) Total contributions | (d) Type of contribution |
|---|---|---|---|
| 1 | THOMAS LOWE<br>2630 W LAFAYETTE ROAD<br>EXCELSIOR, MN 55331 | $ 63,555. | Person ☐<br>Payroll ☐<br>Noncash ☒<br>(Complete Part II for noncash contributions ) |
| | | $ | Person ☐<br>Payroll ☐<br>Noncash ☐<br>(Complete Part II for noncash contributions ) |
| | | $ | Person ☐<br>Payroll ☐<br>Noncash ☐<br>(Complete Part II for noncash contributions ) |
| | | $ | Person ☐<br>Payroll ☐<br>Noncash ☐<br>(Complete Part II for noncash contributions ) |
| | | $ | Person ☐<br>Payroll ☐<br>Noncash ☐<br>(Complete Part II for noncash contributions ) |
| | | $ | Person ☐<br>Payroll ☐<br>Noncash ☐<br>(Complete Part II for noncash contributions.) |

| Name of organization | Employer identification number |
|---|---|
| CARIDAD CORPORATION | 36-3505813 |

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

| (a) No. from Part I | (b) Description of noncash property given | (c) FMV (or estimate) (see instructions) | (d) Date received |
|---|---|---|---|
| 1 | STOCK GIFT - 500 SHARES APPLE STOCK | $ 63,555. | 06/12/15 |

| (a) No. from Part I | (b) Description of noncash property given | (c) FMV (or estimate) (see instructions) | (d) Date received |
|---|---|---|---|
| | | $ | |

| (a) No. from Part I | (b) Description of noncash property given | (c) FMV (or estimate) (see instructions) | (d) Date received |
|---|---|---|---|
| | | $ | |

| (a) No. from Part I | (b) Description of noncash property given | (c) FMV (or estimate) (see instructions) | (d) Date received |
|---|---|---|---|
| | | $ | |

| (a) No. from Part I | (b) Description of noncash property given | (c) FMV (or estimate) (see instructions) | (d) Date received |
|---|---|---|---|
| | | $ | |

| (a) No. from Part I | (b) Description of noncash property given | (c) FMV (or estimate) (see instructions) | (d) Date received |
|---|---|---|---|
| | | $ | |

| Name of organization | Employer identification number |
|---|---|
| CARIDAD CORPORATION | 36-3505813 |

**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 info once) ▶ $

Use duplicate copies of Part III if additional space is needed

| (a) No. from Part I | (b) Purpose of gift | (c) Use of gift | (d) Description of how gift is held |
|---|---|---|---|
| | | | |

(e) Transfer of gift

| Transferee's name, address, and ZIP + 4 | Relationship of transferor to transferee |
|---|---|
| | |

| (a) No. from Part I | (b) Purpose of gift | (c) Use of gift | (d) Description of how gift is held |
|---|---|---|---|
| | | | |

(e) Transfer of gift

| Transferee's name, address, and ZIP + 4 | Relationship of transferor to transferee |
|---|---|
| | |

| (a) No. from Part I | (b) Purpose of gift | (c) Use of gift | (d) Description of how gift is held |
|---|---|---|---|
| | | | |

(e) Transfer of gift

| Transferee's name, address, and ZIP + 4 | Relationship of transferor to transferee |
|---|---|
| | |

| (a) No. from Part I | (b) Purpose of gift | (c) Use of gift | (d) Description of how gift is held |
|---|---|---|---|
| | | | |

(e) Transfer of gift

| Transferee's name, address, and ZIP + 4 | Relationship of transferor to transferee |
|---|---|
| | |

TD Ameritrade

Powered by GAINSKEEPER

# Realized Book Capital Gain/Loss Report

Created 4/19/2016 1:48 pm

LOWE THOMAS
920049625
01/01/2015 -- 12/31/2015

## Entire Period

| | | | |
|---|---|---|---|
| Short-term gain | 67,789.49 | Long-term gain | 142,710.70 |
| Short-term loss | -60,684.11 | Long-term loss | -90,134.46 |
| Short-term net | 7,105.38 | Long-term net | 52,576.24 |
| Short-term proceeds | 249,853.10 | Long-term proceeds | 436,818.50 |
| Short-term cost | 247,157.92 | Long-term cost | 390,857.53 |
| Short-term gain or loss adj | 4,410.19 | Long-term gain or loss adj | 6,615.28 |

## Section 1256 Gain/Loss (included above)

| | | | |
|---|---|---|---|
| Gain | 169,473.83 | Loss | -150,224.03 |
| Short-term gain or loss(40%) | 7,699.92 | Long-term gain or loss(60%) | 11,549.88 |
| Gain or loss total | 19,249.80 | | |
| Realized gain or loss | 8,224.33 | | |
| Unrealized gain or loss | -11,025.47 | | |
| Section 1256 sales | 582,102.59 | | |
| Section 1256 cost | 573,878.26 | | |

104569 agrees to
1099b proceeds

| Security | Trans type | Qty | Open date | Cost | Close date | Proceeds | Gain adj | ST gain($) | LT gain($) |
|---|---|---|---|---|---|---|---|---|---|
| APPLE COMPUTER INC (AAPL) | Sell FIFO | 300 | 01/10/2011 | 14,641 59 | 06/16/2015 | 38,288 50 | | | 23,646 91 |
| CYS INVESTMENTS INC (CYS) | Sell FIFO | 500 | 06/25/2014 | 4,401 67 | 02/03/2015 | 4,247 41 | | -154 26 | |
| CYS INVESTMENTS INC (CYS) | Sell FIFO | 1,500 | 06/25/2014 | 13,204 99 | 02/03/2015 | 12,764 71 | | -440 28 | |
| INTEL CORP (INTC) | Sell FIFO | 500 | 06/04/2013 | 12,765.50 | 01/30/2015 | 16,844 63 | | | 4,079.13 |
| INTEL CORP (INTC) | Sell FIFO | 500 | 06/04/2013 | 12,765 50 | 03/13/2015 | 15,246 42 | | | 2,480 92 |
| MPLX LP (MPLX) | Sell FIFO | 0.5 | 07/21/2009 | 8 57 | 12/17/2015 | -15 19 | | | 6 62 |
| MARKWEST ENERGY PARTNERS (MWE) | Sell FIFO | 250 | 07/21/2009 | 5,511 25 | 06/16/2015 | 15,612 15 | | | 10,100 90 |
| MARKWEST ENERGY PARTNERS (MWE) | Corp Action G/L | 250 | 07/21/2009 | 838 12 | 12/04/2015 | 1,550 00 | | | 711.88 |
| RUT Jun 19 2015 1310 0 Call* | Expire Short | 2,000 | 05/14/2015 | 0 00 | 06/19/2015 | 2,224 46 | | 889 78 | 1,334 68 |
| RUT Jun 19 2015 1330 0 Call* | Expire Long | 2,000 | 05/14/2015 | 825 53 | 06/19/2015 | | | -330 21 | -495 32 |
| RUT Mar 27 2015 1110 0 Put* | Expire Long | 1,000 | 03/06/2015 | 1,517 73 | 03/27/2015 | | | -607 09 | -910 64 |
| RUT Mar 27 2015 1130 0 Put* | Expire Short | 1,000 | 03/06/2015 | 0 00 | 03/27/2015 | 2,212 26 | | 884 90 | 1,327.36 |
| SPXW Apr 02 2015 1870.0 Put* | Expire Long | 1,000 | 03/10/2015 | 2,367 73 | 04/02/2015 | | | -947.09 | -1,420.64 |
| SPXW Apr 02 2015 1890 0 Put* | Expire Short | 1,000 | 03/10/2015 | 0 00 | 04/02/2015 | 3,092 26 | | 1,236.90 | 1,855 36 |
| SPXW Apr 10 2015 1970.0 Put* | Expire Long | 1,000 | 03/30/2015 | 1,427 73 | 04/10/2015 | | | -571.09 | -856.64 |
| SPXW Apr 10 2015 1990 0 Put* | Expire Short | 1,000 | 03/30/2015 | 0 00 | 04/10/2015 | 2,152 26 | | 860 90 | 1,291 36 |
| SPXW Apr 30 2015 1970.0 Put* | Expire Long | 1,000 | 04/17/2015 | 1,507 76 | 04/30/2015 | | | -603 10 | -904 66 |
| SPXW Apr 30 2015 1990 0 Put* | Expire Short | 1,000 | 04/17/2015 | 0 00 | 04/30/2015 | 2,232 23 | | 892 89 | 1,339.34 |
| SPXW Aug 07 2015 1955 0 Put* | Expire Long | 2,000 | 07/24/2015 | 4,205 53 | 08/07/2015 | | | -1,682 21 | -2,523 32 |
| SPXW Aug 07 2015 1975.0 Put* | Expire Short | 2,000 | 07/24/2015 | 0.00 | 08/07/2015 | 5,564.46 | | 2,225.78 | 3,338.68 |
| SPXW Aug 14 2015 1910.0 Put* | Expire Long | 1,000 | 07/27/2015 | 2,557 76 | 08/14/2015 | | | -1,023 10 | -1,534 66 |
| SPXW Aug 14 2015 1930.0 Put* | Expire Short | 1,000 | 07/27/2015 | 0 00 | 08/14/2015 | 3,282.23 | | 1,312 89 | 1,969 34 |
| SPXW Aug 28 2015 1940.0 Put* | Sell to Close FIFO | 1,000 | 08/11/2015 | 1,997 82 | 08/28/2015 | 972 18 | | -410 26 | -615 38 |
| SPXW Aug 28 2015 1960 0 Put* | Buy to Close.FIFO | 1,000 | 08/11/2015 | 2,947 83 | 08/28/2015 | 2,722.17 | | -90 26 | -135.40 |
| SPXW Dec 11 2015 2160 0 Call* | Expire Long | 1,000 | 11/03/2015 | 6,347 83 | 12/11/2015 | | | -2,539.13 | -3,808 70 |
| SPXW Dec 11 2015 2140 0 Call* | Expire Short | 1,000 | 11/03/2015 | 0 00 | 12/11/2015 | 12,152 18 | | 4,860 87 | 7,291 31 |
| SPXW Dec 24 2015 1900.0 Put* | Buy to Close FIFO | 1,000 | 12/03/2015 | 1,607.83 | 12/16/2015 | 3,492.17 | | 753.74 | 1,130.60 |
| SPXW Dec 24 2015 1880 0 Put* | Sell to Close FIFO | 1,000 | 12/03/2015 | 2,767 82 | 12/16/2015 | 1,182 18 | | -634 26 | -951.38 |
| SPXW Feb 13 2015 1820 0 Put* | Expire Long | 1,000 | 01/28/2015 | 2,757 73 | 02/13/2015 | | | -1,103 09 | -1,654 64 |
| SPXW Feb 13 2015 1840 0 Put* | Buy to Close FIFO | 1,000 | 01/28/2015 | 50 24 | 02/11/2015 | 3,482 26 | | 1,372.81 | 2,059 21 |
| SPXW Feb 13 2015 1870 0 Put* | Expire Long | 1,000 | 01/27/2015 | 2,637 73 | 02/13/2015 | | | -1,055 09 | -1,582 64 |
| SPXW Feb 13 2015 1890 0 Put* | Buy to Close FIFO | 1,000 | 01/27/2015 | 117 73 | 02/10/2015 | 3,412 26 | | 1,317 81 | 1,976 72 |
| SPXW Feb 27 2015 2135 0 Call* | Expire Short | 1,500 | 02/03/2015 | 0 00 | 02/27/2015 | 1,833 39 | | 733 36 | 1,100 03 |
| SPXW Feb 27 2015 2155.0 Call* | Expire Long | 1,500 | 02/03/2015 | 891 60 | 02/27/2015 | | | -356 64 | -534.96 |
| SPXW Jan 08 2016 2180 0 Call* | MTM Sell | 2,000 | 12/17/2015 | 1,625 65 | 12/31/2015 | 200 00 | | -570 26 | -855 39 |
| SPXW Jan 08 2016 2160.0 Call* | Short MTM Sell | 2,000 | 12/17/2015 | 300 00 | 12/31/2015 | 3,084 34 | | 1,113.74 | 1,670.60 |
| SPXW Jan 23 2015 1850.0 Put* | Expire Long | 1,000 | 01/14/2015 | 2,067 73 | 01/23/2015 | | | -827 09 | -1,240 64 |
| SPXW Jan 23 2015 1870 0 Put* | Expire Short | 1,000 | 01/14/2015 | 0 00 | 01/23/2015 | 2,842 26 | | 1,136 90 | 1,705 36 |
| SPXW Jan 29 2016 2175 0 Call* | Short MTM Sell | 1,500 | 12/29/2015 | 900 00 | 12/31/2015 | 2,313 25 | | 565 30 | 847 95 |
| SPXW Jan 29 2016 2195 0 Call* | MTM Sell | 1,500 | 12/29/2015 | 1,221 74 | 12/31/2015 | 525 00 | | -278.70 | -418 04 |
| SPXW Jul 10 2015 1920.0 Put* | Expire Long | 1,000 | 06/29/2015 | 2,997 76 | 07/10/2015 | | | -1,199.10 | -1,798 66 |
| SPXW Jul 10 2015 1930 0 Put* | Expire Long | 1,500 | 06/29/2015 | 3,471 65 | 07/10/2015 | | | -1,388.66 | -2,082 99 |
| SPXW Jul 10 2015 1940.0 Put* | Expire Short | 1,000 | 06/29/2015 | 0.00 | 07/10/2015 | 3,822 23 | | 1,528.89 | 2,293.34 |
| SPXW Jul 10 2015 1950 0 Put* | Expire Short | 1,500 | 06/29/2015 | 0 00 | 07/10/2015 | 4,638 34 | | 1,855.34 | 2,783 00 |
| SPXW Jul 10 2015 2190.0 Call* | Buy to Close FIFO | 1,000 | 06/11/2015 | 50 27 | 07/07/2015 | 1,292 23 | | 496 78 | 745 18 |
| SPXW Jul 10 2015 2210 0 Call* | Expire Long | 1,000 | 06/11/2015 | 617 76 | 07/10/2015 | | | -247 10 | -370 66 |
| SPXW Jul 31 2015 1850 0 Put* | Expire Short | 2,000 | 07/08/2015 | 0 00 | 07/31/2015 | 7,084 46 | | 2,833 78 | 4,250 68 |
| SPXW Jul 31 2015 1830.0 Put* | Expire Long | 2,000 | 07/08/2015 | 5,725 53 | 07/31/2015 | | | -2,290 21 | -3,435.32 |
| SPXW Jul 31 2015 1860 0 Put* | Expire Long | 1,000 | 07/08/2015 | 3,417 76 | 07/31/2015 | | | -1,367 10 | -2,050 66 |
| SPXW Jul 31 2015 1880 0 Put* | Expire Short | 1,000 | 07/08/2015 | 0 00 | 07/31/2015 | 4,242 23 | | 1,696 89 | 2,545 34 |
| SPXW Jun 05 2015 2170 0 Call* | Expire Short | 2,000 | 05/14/2015 | 0 00 | 06/05/2015 | 2,564 46 | | 1,025 78 | 1,538 68 |
| SPXW Jun 05 2015 2190 0 Call* | Expire Long | 2,000 | 05/14/2015 | 905 53 | 06/05/2015 | | | -362 21 | -543 32 |
| SPXW Jun 12 2015 1980 0 Put* | Expire Long | 1,000 | 05/26/2015 | 2,047 76 | 06/12/2015 | | | -819 10 | -1,228 66 |
| SPXW Jun 12 2015 2000 0 Put* | Expire Short | 1,000 | 05/26/2015 | 0 00 | 06/12/2015 | 2,722 23 | | 1,088 89 | 1,633.34 |
| SPXW Jun 26 2015 2190 0 Call* | Expire Short | 500 | 06/01/2015 | 0 00 | 06/26/2015 | 546 11 | | 218 44 | 327 67 |

| Security | Trans type | Qty | Open date | Cost | Close date | Proceeds | Gain adj | ST gain($) | LT gain($) |
|---|---|---|---|---|---|---|---|---|---|
| SPXW Jun 26 2015 2190 0 Call* | Expire Short | 500 | 06/01/2015 | 0 00 | 06/26/2015 | 546 11 | | 218 44 | 327 67 |
| SPXW Jun 26 2015 2190 0 Call* | Expire Short | 500 | 06/01/2015 | 0 00 | 06/26/2015 | 546 11 | | 218 44 | 327 67 |
| SPXW Jun 26 2015 2190 0 Call* | Expire Short | 500 | 06/01/2015 | 0 00 | 06/26/2015 | 546 11 | | 218 44 | 327 67 |
| SPXW Jun 26 2015 2210 0 Call* | Expire Long | 500 | 06/01/2015 | 213 88 | 06/26/2015 | | | -85 55 | -128 33 |
| SPXW Jun 26 2015 2210 0 Call* | Expire Long | 500 | 06/01/2015 | 213 88 | 06/26/2015 | | | -85 55 | -128 33 |
| SPXW Jun 26 2015 2210 0 Call* | Expire Long | 500 | 06/01/2015 | 213 88 | 06/26/2015 | | | -85 55 | -128 33 |
| SPXW Jun 26 2015 2210 0 Call* | Expire Long | 500 | 06/01/2015 | 213 88 | 06/26/2015 | | | -85 55 | -128 33 |
| SPXW Mar 06 2015 2160 0 Call* | Expire Short | 1,000 | 02/12/2015 | 0 00 | 03/06/2015 | 1,652 26 | | 660 90 | 991 36 |
| SPXW Mar 06 2015 2180 0 Call* | Expire Long | 1,000 | 02/12/2015 | 877 73 | 03/06/2015 | | | -351 09 | -526 64 |
| SPXW Mar 27 2015 1910.0 Put* | Expire Long | 1,000 | 03/06/2015 | 2,417 73 | 03/27/2015 | | | -967.09 | -1,450 64 |
| SPXW Mar 27 2015 1920 0 Put* | Expire Long | 1,000 | 03/06/2015 | 2,417 73 | 03/27/2015 | | | -967 09 | -1,450 64 |
| SPXW Mar 27 2015 1930 0 Put* | Expire Short | 1,000 | 03/06/2015 | 0 00 | 03/27/2015 | 3,092 26 | | 1,236 90 | 1,855 36 |
| SPXW Mar 27 2015 1940.0 Put* | Expire Short | 1,000 | 03/06/2015 | 0 00 | 03/27/2015 | 3,092 26 | | 1,236.90 | 1,855 36 |
| SPXW Mar 27 2015 2165 0 Call* | Expire Short | 2,000 | 03/05/2015 | 0 00 | 03/27/2015 | 2,364 52 | | 945 81 | 1,418.71 |
| SPXW Mar 27 2015 2185 0 Call* | Expire Long | 2,000 | 03/05/2015 | 1,005.47 | 03/27/2015 | | | -402 19 | -603.28 |
| SPXW May 22 2015 2100 0 Put* | Sell to Close FIFO | 500 | 05/14/2015 | 4,963 88 | 05/14/2015 | 5,086 12 | | 48 90 | 73 34 |
| SPXW Nov 06 2015 2125 0 Call* | Sell to Close FIFO | 1,000 | 10/22/2015 | 367 82 | 11/03/2015 | 2,292 17 | | 769 74 | 1,154 61 |
| SPXW Nov 06 2015 2105 0 Call* | Buy to Close FIFO | 1,000 | 10/22/2015 | 9,437 83 | 11/03/2015 | 1,042 17 | | -3,358 26 | -5,037 40 |
| SPXW Nov 27 2015 1940 0 Put* | Expire Short | 1,000 | 11/09/2015 | 0 00 | 11/27/2015 | 3,242 17 | | 1,296 87 | 1,945 30 |
| SPXW Nov 27 2015 1920 0 Put* | Expire Long | 1,000 | 11/09/2015 | 2,517 82 | 11/27/2015 | | | -1,007.13 | -1,510 69 |
| SPXW Oct 02 2015 2110 0 Call* | Expire Long | 1,000 | 09/16/2015 | 617 82 | 10/02/2015 | | | -247 13 | -370 69 |
| SPXW Oct 02 2015 2090.0 Call* | Expire Short | 1,000 | 09/16/2015 | 0 00 | 10/02/2015 | 1,292.17 | | 516 87 | 775.30 |
| SPXW Oct 09 2015 1720.0 Put* | Expire Long | 2,000 | 09/24/2015 | 5,565 65 | 10/09/2015 | | | -2,226 26 | -3,339 39 |
| SPXW Oct 09 2015 1740.0 Put* | Buy to Close FIFO | 2,000 | 09/24/2015 | 100 66 | 10/08/2015 | 7,024 34 | | 2,769 47 | 4,154.21 |
| SPXW Oct 23 2015 2090 0 Call* | Sell to Close FIFO | 1,500 | 10/05/2015 | 1,236 74 | 10/22/2015 | 53 26 | | -473 39 | -710 09 |
| SPXW Oct 23 2015 2070 0 Call* | Buy to Close FIFO | 1,500 | 10/05/2015 | 546 74 | 10/19/2015 | 2,403 25 | | 742 60 | 1,113 91 |
| SPXW Oct 23 2015 1680.0 Put* | Expire Short | 1,000 | 09/28/2015 | 0 00 | 10/23/2015 | 5,462 17 | | 2,184 87 | 3,277.30 |
| SPXW Oct 23 2015 1670.0 Put* | Expire Short | 500 | 09/28/2015 | 0 00 | 10/23/2015 | 3,386 08 | | 1,354 43 | 2,031.65 |
| SPXW Oct 23 2015 1670.0 Put* | Expire Short | 500 | 09/28/2015 | 0.00 | 10/23/2015 | 3,386 08 | | 1,354 43 | 2,031 65 |
| SPXW Oct 23 2015 1670 0 Put* | Expire Short | 500 | 09/28/2015 | 0 00 | 10/23/2015 | 3,386 08 | | 1,354 43 | 2,031 65 |
| SPXW Oct 23 2015 1660.0 Put* | Expire Long | 1,000 | 09/28/2015 | 4,587 82 | 10/23/2015 | | | -1,835 13 | -2,752 69 |
| SPXW Oct 23 2015 1650 0 Put* | Expire Long | 500 | 09/28/2015 | 2,878 91 | 10/23/2015 | | | -1,151 56 | -1,727 35 |
| SPXW Oct 23 2015 1650 0 Put* | Expire Long | 500 | 09/28/2015 | 2,878 91 | 10/23/2015 | | | -1,151 56 | -1,727 35 |
| SPXW Oct 23 2015 1650 0 Put* | Expire Long | 500 | 09/28/2015 | 2,878.91 | 10/23/2015 | | | -1,151 56 | -1,727.35 |
| SPXW Oct 30 2015 2110 0 Call* | Sell to Close FIFO | 1,000 | 10/07/2015 | 797 82 | 10/30/2015 | 32 18 | | -306.26 | -459 38 |
| SPXW Oct 30 2015 2090 0 Call* | Buy to Close.FIFO | 500 | 10/07/2015 | 1,438 91 | 10/30/2015 | 836 09 | | -241 13 | -361.69 |
| SPXW Oct 30 2015 2090 0 Call* | Buy to Close FIFO | 500 | 10/07/2015 | 1,213 91 | 10/30/2015 | 836 08 | | -151 13 | -226 70 |
| SPXW Sep 04 2015 1790 0 Put* | Expire Long | 2,000 | 08/21/2015 | 8,225 65 | 09/04/2015 | | | -3,290 26 | -4,935 39 |
| SPXW Sep 04 2015 1810 0 Put* | Expire Short | 2,000 | 08/21/2015 | 0 00 | 09/04/2015 | 9,584 34 | | 3,833 74 | 5,750 60 |
| SPXW Sep 04 2015 1820 0 Put* | Expire Long | 1,000 | 08/21/2015 | 3,717 82 | 09/04/2015 | | | -1,487 13 | -2,230 69 |
| SPXW Sep 04 2015 1840.0 Put* | Expire Short | 1,000 | 08/21/2015 | 0 00 | 09/04/2015 | 4,442 17 | | 1,776 87 | 2,665 30 |
| SPXW Sep 04 2015 1870.0 Put* | Expire Long | 1,000 | 08/12/2015 | 2,407 82 | 09/04/2015 | | | -963 13 | -1,444 69 |
| SPXW Sep 04 2015 1890 0 Put* | Expire Short | 1,000 | 08/12/2015 | 0 00 | 09/04/2015 | 3,082.17 | | 1,232.87 | 1,849 30 |
| SPXW Sep 04 2015 2080 0 Call* | Expire Short | 1,000 | 08/28/2015 | 0 00 | 09/04/2015 | 1,322 17 | | 528 87 | 793 30 |
| SPXW Sep 04 2015 2100 0 Call* | Expire Long | 1,000 | 08/28/2015 | 697 82 | 09/04/2015 | | | -279 13 | -418 69 |
| SPXW Sep 11 2015 1650 0 Put* | Expire Long | 1,000 | 08/25/2015 | 5,957 82 | 09/11/2015 | | | -2,383 13 | -3,574 69 |
| SPXW Sep 11 2015 1670 0 Put* | Expire Short | 1,000 | 08/25/2015 | 0 00 | 09/11/2015 | 6,682 17 | | 2,672 87 | 4,009 30 |
| SPXW Sep 11 2015 2070.0 Call* | Expire Short | 1,000 | 08/25/2015 | 0 00 | 09/11/2015 | 2,042 17 | | 816 87 | 1,225.30 |
| SPXW Sep 11 2015 2090 0 Call* | Expire Long | 1,000 | 08/25/2015 | 1,217 82 | 09/11/2015 | | | -487 13 | -730 69 |
| SPX Apr 17 2015 2050 0 Call* | Sell to Close FIFO | 1,000 | 02/17/2015 | 76,367.73 | 04/16/2015 | 54,532 24 | | -8,734 20 | -13,101 29 |
| SPX Apr 17 2015 2025 0 Call* | Buy to Close FIFO | 1,000 | 02/17/2015 | 79,557 77 | 04/16/2015 | 95,542 26 | | 6,393 80 | 9,590 69 |
| SPX Feb 20 2015 2050 0 Call* | Sell to Close FIFO | 1,000 | 11/07/2014 | 41,947 73 | 02/17/2015 | 47,732 27 | -7,052 27 | -507 09 | -760 64 |
| SPX Feb 20 2015 2025 0 Call* | Buy to Close FIFO | 1,000 | 11/07/2014 | 72,257 74 | 02/17/2015 | 55,822 26 | 18,077 74 | 656 90 | 985 36 |
| SPX Jun 19 2015 2050 0 Call* | Cash Settled Exercise FIFO | 1,000 | 04/16/2015 | 77,317 76 | 06/19/2015 | 67,090 01 | | -4,091 10 | -6,136 65 |
| SPX Jun 19 2015 2025 0 Call* | Cash Settled Assign FIFO | 1,000 | 04/16/2015 | 92,129 99 | 06/19/2015 | 96,742 23 | | 1,844 90 | 2,767.34 |

| Security | Trans type | Qty | Open date | Cost | Close date | Proceeds | Gain adj | ST gain($) | LT gain($) |
|---|---|---|---|---|---|---|---|---|---|
| VIX Mar 18 2015 65 0 Call* | Expire Long | 10,000 | 02/02/2015 | 587 39 | 03/18/2015 | | | -234.96 | -352 43 |
| **Total:** | | | | **638,015.45** | | **686,671.60** | **11,025.47** | **7,105.38** | **52,576.24** |

FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 1

| SOURCE | GROSS AMOUNT | CAPITAL GAINS DIVIDENDS | (A) REVENUE PER BOOKS | (B) NET INVEST- MENT INCOME | (C) ADJUSTED NET INCOME |
|---|---|---|---|---|---|
| TD AMERITRADE | 19,665. | 0. | 19,665. | 19,665. | |
| TO PART I, LINE 4 | 19,665. | 0. | 19,665. | 19,665. | |

FORM 990-PF LEGAL FEES STATEMENT 2

| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST- MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|---|---|---|---|---|
| LEGAL AND ACCOUNTING | 1,525. | 1,525. | | 0. |
| TO FM 990-PF, PG 1, LN 16A | 1,525. | 1,525. | | 0. |

FORM 990-PF TAXES STATEMENT 3

| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST- MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|---|---|---|---|---|
| FEDERAL REFUND | <1,200.> | 0. | | 0. |
| TO FORM 990-PF, PG 1, LN 18 | <1,200.> | 0. | | 0. |

FORM 990-PF OTHER EXPENSES STATEMENT 4

| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST- MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|---|---|---|---|---|
| OFFICE SUPPLIES | 3,482. | 3,482. | | 0. |
| BANK FEES | 235. | 235. | | 0. |
| BUSINESS SERVICES | 30,000. | 30,000. | | 0. |
| OTHER | 25. | 25. | | 0. |
| TO FORM 990-PF, PG 1, LN 23 | 33,742. | 33,742. | | 0. |

FORM 990-PF . OTHER DECREASES IN NET ASSETS OR FUND BALANCES STATEMENT 5

| DESCRIPTION | AMOUNT |
|---|---|
| APPRECIATION ON STOCK RECIEVED - FMV VRS. DONORS ADJUSTED BASIS | 39,152. |
| TOTAL TO FORM 990-PF, PART III, LINE 5 | 39,152. |

FORM 990-PF CORPORATE STOCK STATEMENT 6

| DESCRIPTION | BOOK VALUE | FAIR MARKET VALUE |
|---|---|---|
| STOCKS/OPTIONS | 171,439. | 181,052. |
| TOTAL TO FORM 990-PF, PART II, LINE 10B | 171,439. | 181,052. |

FORM 990-PF PART XV - LINE 1A LIST OF FOUNDATION MANAGERS STATEMENT 7

NAME OF MANAGER

THOMAS P. LOWE
MAGARET L. LOWE

FORM 990-PF · DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 1

| SOURCE | GROSS AMOUNT | CAPITAL GAINS DIVIDENDS | (A) REVENUE PER BOOKS | (B) NET INVEST- MENT INCOME | (C) ADJUSTED NET INCOME |
|---|---|---|---|---|---|
| TD AMERITRADE | 19,665. | 0. | 19,665. | 19,665. | |
| TO PART I, LINE 4 | 19,665. | 0. | 19,665. | 19,665. | |

FORM 990-PF LEGAL FEES STATEMENT 2

| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST- MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|---|---|---|---|---|
| LEGAL AND ACCOUNTING | 1,525. | 1,525. | | 0. |
| TO FM 990-PF, PG 1, LN 16A | 1,525. | 1,525. | | 0. |

FORM 990-PF TAXES STATEMENT 3

| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST- MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|---|---|---|---|---|
| FEDERAL REFUND | <1,200.> | 0. | | 0. |
| TO FORM 990-PF, PG 1, LN 18 | <1,200.> | 0. | | 0. |

FORM 990-PF OTHER EXPENSES STATEMENT 4

| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST- MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|---|---|---|---|---|
| OFFICE SUPPLIES | 3,482. | 3,482. | | 0. |
| BANK FEES | 235. | 235. | | 0. |
| BUSINESS SERVICES | 30,000. | 30,000. | | 0. |
| OTHER | 25. | 25. | | 0. |
| TO FORM 990-PF, PG 1, LN 23 | 33,742. | 33,742. | | 0. |

## FORM 990-PF . OTHER DECREASES IN NET ASSETS OR FUND BALANCES — STATEMENT 5

| DESCRIPTION | AMOUNT |
|---|---|
| APPRECIATION ON STOCK RECIEVED - FMV VRS. DONORS ADJUSTED BASIS | 39,152. |
| TOTAL TO FORM 990-PF, PART III, LINE 5 | 39,152. |

## FORM 990-PF — CORPORATE STOCK — STATEMENT 6

| DESCRIPTION | BOOK VALUE | FAIR MARKET VALUE |
|---|---|---|
| STOCKS/OPTIONS | 171,439. | 181,052. |
| TOTAL TO FORM 990-PF, PART II, LINE 10B | 171,439. | 181,052. |

## FORM 990-PF — PART XV - LINE 1A LIST OF FOUNDATION MANAGERS — STATEMENT 7

NAME OF MANAGER

THOMAS P. LOWE
MAGARET L. LOWE

CARIDAD CORPORATION
YEAR ENDED DECEMBER 31, 2012
FEDERAL ID# 36-3505813

**STATEMENT #12**
**PART XV LINE 3A**

| RECIPIENT | RELATION | FOUNDATION STATUS | PURPOSE | | AMOUNT |
|---|---|---|---|---|---|
| 4th Of July Fireworks Fund | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 250.00 |
| Academy Of Whole Learning | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 3,000.00 |
| Alpha Nu Trust Fund, Inc. | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 250.00 |
| Alta Community Enrichment | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 200 00 |
| American Cancer Society | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 100 00 |
| American Council on Health & Science | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 500 00 |
| American Refugee Committee | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 2,500 00 |
| Americans For Prospearlington | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 1,000.00 |
| ASWRV | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 1,000.00 |
| Better Ed | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 1,000.00 |
| Bridging | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 500.00 |
| Camphill Village Minnesota | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 250 00 |
| Cancer Society | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 200 00 |
| Capital Research Center | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 1,000 00 |
| Cato Institute | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 2,500 00 |
| Center Of The American Experiment | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 6,000 00 |
| CFACT | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 5,000 00 |
| College Possible | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 2,000 00 |
| Community Emergency Services | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 2,000 00 |
| Courage Center | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 500 00 |
| FIRE | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 500.00 |
| Freedom Foundation of Minnesota | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 2,500 00 |
| Hammer Residences | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 10,000.00 |
| Holy Rosary Church | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 1,000.00 |
| Institute For Justice | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 500.00 |
| IOCP | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 10,000 00 |
| Judicial Watch | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 2,000 00 |
| K Givemn K Givemn San Antonio | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 1,000.00 |
| LAKE MINNETONKA ASSOC | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 500 00 |
| Living With Wolves | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 250 00 |
| Loaves & Fishes | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 500 00 |
| Manhattan Institute | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 500 00 |
| Michael Ankeny - Sports sponsor | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 2,500.00 |
| MicroGrants | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 10,000 00 |
| Minneapolis Heart Institute Foundation | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 95,000 00 |
| Minneapolis Recreation Development, Inc | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 11,000 00 |
| Minnetonka Center for The Arts | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 8,000 00 |
| Northwest Chis Psi Eeducational Foundation | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 1,000 00 |
| Oregon Institute of Science & Medicine | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 500.00 |
| Pacific Legal Foundation | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 1,000.00 |
| Page Education Foundation | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 500 00 |
| People Incorporated | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 500 00 |
| PPL | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 2,500 00 |
| Rowland Hall | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 200 00 |
| Salvation Army | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 1,000 00 |
| Save The Lake | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 250 00 |
| SAWTOOTH SKI CLUB | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 250 00 |
| Sharing & Caring Hands | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 6,000.00 |
| Snowbird Sports Education Foundation | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 250.00 |
| St Martin's Church | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 3,000 00 |
| Summit Academy OIC | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 10,000.00 |
| The Blake School Annual Fund | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 500 00 |
| The Community Library | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 1,000.00 |
| The Heartland Institute | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 500 00 |
| Top Dog Foundation | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 500.00 |
| Trinity School At River Ridge | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 10,000 00 |
| Twin Cities Public Television | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 1,000.00 |
| Twin Cities RISE! | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 10,000.00 |
| UniHi Education Fund | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 250.00 |
| Union Gospel Mission | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 450 00 |
| Way To Grow | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 2,500.00 |

CARIDAD CORPORATION
YEAR ENDED DECEMBER 31, 2012
FEDERAL ID# 36-3505813

**STATEMENT #12**
**PART XV LINE 3A**

| RECIPIENT | RELATION | FOUNDATION STATUS | PURPOSE | | AMOUNT |
|---|---|---|---|---|---|
| We Can | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 100.00 |
| Wounded Warrior Project | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 750.00 |
| www CFACT.org | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 500.00 |
| | | | **Total** | **$** | **240,500.00** |