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EXTENDED TO AUGUST 15, 2016

## Return of Private Foundation

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

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

OMB No 1545-0052

2015

Open to Public Inspection

Form 990-PF

Department of the Treasury  
Internal Revenue Service

For calendar year 2015 or tax year beginning

, and ending

Name of foundation <b>HERBERT &amp; BUI SIMON FOUNDATION INC.</b>		A Employer identification number <b>46-2577284</b>
Number and street (or P.O. box number if mail is not delivered to street address) <b>P.O. BOX 7033</b>	Room/suite	B Telephone number <b>317-636-1600</b>
City or town, state or province, country, and ZIP or foreign postal code <b>INDIANAPOLIS, IN 46207-7033</b>		C If exemption application is pending, check here <input type="checkbox"/>
G Check all that apply: <input type="checkbox"/> Initial return <input type="checkbox"/> Final return <input type="checkbox"/> Address change <input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Amended return <input type="checkbox"/> Name change		D 1. Foreign organizations, check here <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/>
H Check type of organization: <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/>
I Fair market value of all assets at end of year (from Part II, col. (c), line 16) <b>\$ 4,032,833.</b>	J Accounting method: <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____	F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a).)		(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		1,004,036.		N/A	
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		64,350.	64,350.		STATEMENT 1
5a Gross rents					
b Net rental income or (loss)					
6a Net gain or (loss) from sale of assets not on line 10		168,966.			
b Gross sales price for all assets on line 6a <b>1,637,631.</b>					
7 Capital gain net income (from Part IV, line 2)			168,966.		
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		2,256.	2,256.		STATEMENT 2
12 Total. Add lines 1 through 11		1,239,608.	235,572.		
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 3		747.	0.		0.
b Accounting fees STMT 4		4,750.	0.		0.
c Other professional fees STMT 5		24,140.	24,140.		0.
17 Interest					
18 Taxes STMT 6		23,807.	1,401.		0.
19 Depreciation and depletion					
20 Occupancy					
21 Travel, conferences, and meetings					
22 Printing and publications					
23 Other expenses STMT 7		135.	0.		0.
24 Total operating and administrative expenses. Add lines 13 through 23		53,579.	25,541.		0.
25 Contributions, gifts, grants paid		354,000.			354,000.
26 Total expenses and disbursements. Add lines 24 and 25		407,579.	25,541.		354,000.
27 Subtract line 26 from line 12:					
a Excess of revenue over expenses and disbursements		832,029.			
b Net investment income (if negative, enter -0-)			210,031.		
c Adjusted net income (if negative, enter -0-)				N/A	

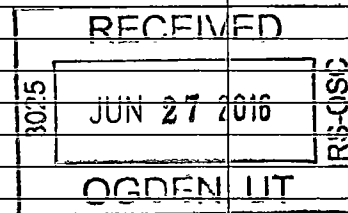
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LHA For Paperwork Reduction Act Notice, see instructions.

Form 990-PF (2015)

SCANNED JUN 30 2016

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Comes Ogden  
JUN 28 2016

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	1,084,034.	533,191.	533,191.
	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 ▶			
	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			
	b Investments - corporate stock STMT 9	247,507.	336,555.	368,766.
	c Investments - corporate bonds STMT 10	0.	394,630.	383,654.
Liabilities	11 Investments - land, buildings, and equipment basis ▶			
	Less: accumulated depreciation ▶			
	12 Investments - mortgage loans			
	13 Investments - other STMT 11	2,198,503.	2,942,884.	2,747,222.
	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)	3,530,044.	4,207,260.	4,032,833.
	17 Accounts payable and accrued expenses			
	18 Grants payable			
Net Assets or Fund Balances	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 ▶ <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 ▶ <input checked="" type="checkbox"/>			
	and complete lines 27 through 31.			
	27 Capital stock, trust principal, or current funds	0.	0.	
	28 Paid-in or capital surplus, or land, bldg., and equipment fund	0.	0.	
	29 Retained earnings, accumulated income, endowment, or other funds	3,530,044.	4,207,260.	
Net Assets or Fund Balances	30 Total net assets or fund balances	3,530,044.	4,207,260.	
	31 Total liabilities and net assets/fund balances	3,530,044.	4,207,260.	

## 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	3,530,044.
2 Enter amount from Part I, line 27a	2	832,029.
3 Other increases not included in line 2 (itemize) ▶	3	0.
4 Add lines 1, 2, and 3	4	4,362,073.
5 Decreases not included in line 2 (itemize) ▶ SEE STATEMENT 8	5	154,813.
6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	4,207,260.

**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 <b>MFS INTL VALUE</b>	D	12/08/15	12/09/15
b <b>SCHWAB 2650 - SEE ATTACHED</b>	P		
c <b>SCHWAB 2650 - SEE ATTACHED</b>	P		
d <b>SCHWAB 9020 - SEE ATTACHED</b>	P		
e <b>CAPITAL GAINS DIVIDENDS</b>			

(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 984,809.		837,119.	147,690.
b 303,691.		333,564.	<29,873.>
c 240,330.		241,343.	<1,013.>
d 56,774.		56,639.	135.
e 52,027.			52,027.

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			147,690.
b			<29,873.>
c			<1,013.>
d			135.
e			52,027.

2 Capital gain net income or (net capital loss) 168,966.

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 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	239,500.	1,944,816.	.123148
2013	287,000.	715,135.	.401323
2012			
2011			
2010			

2 Total of line 1, column (d) .524471

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 .262236

4 Enter the net value of noncharitable-use assets for 2015 from Part X, line 5 3,365,283.

5 Multiply line 4 by line 3 882,498.

6 Enter 1% of net investment income (1% of Part I, line 27b) 2,100.

7 Add lines 5 and 6 884,598.

8 Enter qualifying distributions from Part XII, line 4 354,000.

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. Date of ruling or determination letter: _____ (attach copy of letter if necessary-see instructions)		1	4,201.
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input type="checkbox"/> and enter 1% of Part I, line 27b			
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b).			
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		2	0.
3 Add lines 1 and 2		3	4,201.
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	4,201.
6 Credits/Payments:			
a 2015 estimated tax payments and 2014 overpayment credited to 2015	6a	17,720.	
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	17,720.	
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	13,519.	
11 Enter the amount of line 10 to be: Credited to 2016 estimated tax <input type="checkbox"/> 13,519. Refunded <input type="checkbox"/>	11	0.	

**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
1b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for the definition)? If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.		X
1c Did the foundation file Form 1120-POL for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. <input type="checkbox"/> \$ 0. (2) On foundation managers. <input type="checkbox"/> \$ 0.		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. <input type="checkbox"/> \$ 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.		X
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes		X
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		X
b If "Yes," has it filed a tax return on Form 990-T for this year?		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by General Instruction T		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	X	
7 Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col. (c), and Part XV	X	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) <input type="checkbox"/> IN		
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		X

Form 990-PF (2015)

**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)		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)		X
13 Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	X	
Website address <b>N/A</b>		
14 The books are in care of <b>HERBERT SIMON</b> Telephone no. <b>317-636-1600</b>		
Located at <b>PO BOX 7033, INDIANAPOLIS, IN</b> ZIP+4 <b>46207</b>		
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
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?		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?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
b If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? Organizations relying on a current notice regarding disaster assistance check here	N/A	
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?		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	
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	
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?	<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.)	N/A	
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?		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?		X

Form 990-PF (2015)

**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)?

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
PORNTIP BUI SIMON 22337 PCH #321 MALIBU, CA 90265	PRESIDENT	0.00	0.	0.
HERBERT SIMON PO BOX 7033 INDIANAPOLIS, IN 46207	VICE PRESIDENT	0.00	0.	0.
ROBYN L. FREEDMAN PO BOX 7033 INDIANAPOLIS, IN 46207	SECRETARY	0.00	0.	0.
MARK N. BERNSTEIN PO BOX 7033 INDIANAPOLIS, IN 46207	TREASURER	0.00	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

Form 990-PF (2015)

**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.	
3	

Total. Add lines 1 through 3

0.

Form 990-PF (2015)



**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	3,229,961.
b	Average of monthly cash balances	1b	186,570.
c	Fair market value of all other assets	1c	
d	<b>Total</b> (add lines 1a, b, and c)	1d	3,416,531.
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	3,416,531.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	51,248.
5	<b>Net value of noncharitable-use assets</b> Subtract line 4 from line 3. Enter here and on Part V, line 4	5	3,365,283.
6	<b>Minimum investment return.</b> Enter 5% of line 5	6	168,264.

**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	168,264.
2a	Tax on investment income for 2015 from Part VI, line 5	2a	4,201.
b	Income tax for 2015. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	4,201.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	164,063.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	164,063.
6	Deduction from distributable amount (see instructions)	6	0.
7	<b>Distributable amount</b> as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	164,063.

**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	354,000.
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	<b>Qualifying distributions.</b> Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	354,000.
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	0.
6	<b>Adjusted qualifying distributions</b> Subtract line 5 from line 4	6	354,000.

**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
<b>1</b> Distributable amount for 2015 from Part XI, line 7				164,063.
<b>2</b> Undistributed income, if any, as of the end of 2015				
<b>a</b> Enter amount for 2014 only			0.	
<b>b</b> Total for prior years:		0.		
<b>3</b> Excess distributions carryover, if any, to 2015:				
<b>a</b> From 2010				
<b>b</b> From 2011				
<b>c</b> From 2012				
<b>d</b> From 2013	264,243.			
<b>e</b> From 2014	159,945.			
<b>f</b> Total of lines 3a through e	424,188.			
<b>4</b> Qualifying distributions for 2015 from Part XII, line 4: ► \$ 354,000.				
<b>a</b> Applied to 2014, but not more than line 2a			0.	
<b>b</b> Applied to undistributed income of prior years (Election required - see instructions)		0.		
<b>c</b> Treated as distributions out of corpus (Election required - see instructions)	0.			
<b>d</b> Applied to 2015 distributable amount				164,063.
<b>e</b> Remaining amount distributed out of corpus	189,937.			
<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).)	0.			0.
<b>6</b> Enter the net total of each column as indicated below:	614,125.			
<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		0.		
<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		0.		
<b>d</b> Subtract line 6c from line 6b. Taxable amount - see instructions		0.		
<b>e</b> Undistributed income for 2014. Subtract line 4a from line 2a. Taxable amount - see instr.			0.	
<b>f</b> Undistributed income for 2015. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2016				0.
<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)	0.			
<b>8</b> Excess distributions carryover from 2010 not applied on line 5 or line 7	0.			
<b>9</b> Excess distributions carryover to 2016. Subtract lines 7 and 8 from line 6a	614,125.			
<b>10</b> Analysis of line 9:				
<b>a</b> Excess from 2011				
<b>b</b> Excess from 2012				
<b>c</b> Excess from 2013	264,243.			
<b>d</b> Excess from 2014	159,945.			
<b>e</b> Excess from 2015	189,937.			



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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a Paid during the year				
UNITY SHOPPE 319 SALIDA DEL SOL SANTA BARBARA, CA 93109	NONE	PC	OPERATIONS	50,000.
DREAM FOUNDATION 1528 CHAPALA STREET, SUITE 304 SANTA BARBARA, CA 93101	NONE	PC	OPERATIONS	5,000.
CARLTHORP SCHOOL 438 SAN VICENTE BLVD SANTA MONICA, CA 90402	NONE	PC	OPERATIONS	90,000.
PEPPERDINE UNIVERSITY 24255 PACIFIC COAST HIGHWAY MALIBU, CA 90263	NONE	PC	OPERATIONS	28,000.
BRENTWOOD SCHOOL 12001 SUNSET BLVD LOS ANGELES, CA 90049	NONE	PC	OPERATIONS	35,000.
Total			SEE CONTINUATION SHEET(S)	354,000.
b Approved for future payment				
NONE				
Total				0.

▶ 3a

▶ 3b

Form 990-PF (2015)





**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](http://www.irs.gov/form990).

OMB No 1545-0047

**2015**

Name of the organization

HERBERT &amp; BUI SIMON FOUNDATION INC.

Employer identification number

46-2577284

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).

LHA For Paperwork Reduction Act Notice, see the Instructions for Form 990, 990-EZ, or 990-PF. Schedule B (Form 990, 990-EZ, or 990-PF) (2015)

Name of organization

Employer identification number

**HERBERT & BUI SIMON FOUNDATION INC.****46-2577284****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	HERBERT SIMON PO BOX 7033 INDIANAPOLIS, IN 46207	\$ 990,996.	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input checked="" type="checkbox"/> (Complete Part II for noncash contributions)
2	HERBERT SIMON PO BOX 7033 INDIANAPOLIS, IN 46207	\$ 13,040.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)



Employer identification number

46-2577284

[illegible]

Name of organization	Employer identification number
<b>HERBERT &amp; BUI SIMON FOUNDATION INC.</b>	<b>46-2577284</b>

**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
	(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

**Part XV Supplementary Information****3 Grants and Contributions Paid During the Year (Continuation)**

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
CHILDREN'S MUSEUM OF INDIANAPOLIS 3000 N. MERIDIAN STREET INDIANAPOLIS, IN 46208	NONE	PC	OPERATIONS	1,000.
A SENSE OF HOME 15335 MORRISON STREET, SUITE 145 SHERMAN OAKS, CA 91403	NONE	PC	OPERATIONS	30,000.
AMERICAN FRIENDS OF THE HEBREW UNIVERSITY ONE BATTERY PARK PLAZA, 25TH FLOOR NEW YORK, NY 10004	NONE	PC	OPERATIONS	25,000.
B'NAI B'RITH TEMPLE 1000 SAN ANTONIO CREEK ROAD SANTA BARBARA, CA 93111	NONE	PC	OPERATIONS	18,000.
CADA 232 E. CANON PERDIDO SANTA BARBARA, CA 93101	NONE	PC	OPERATIONS	25,000.
GIRLS, INC. 120 WALL STREET NEW YORK, NY 10005	NONE	PC	OPERATIONS	20,000.
ISREAL COMMITTEE OF SANTA BARBARA 1187 COAST VILLAGE ROAD 1-432 MONTICETO, CA 93108	NONE	PC	OPERATIONS	3,000.
THE GRANADA THEATRE 1330 STATE STREET SANTA BARBARA, CA 93101	NONE	PC	OPERATIONS	24,000.
Total from continuation sheets				146,000.

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	
CHARLES SCHWAB	116,377.	52,027.	64,350.	64,350.		
TO PART I, LINE 4	116,377.	52,027.	64,350.	64,350.		

FORM 990-PF		OTHER INCOME			STATEMENT	2
DESCRIPTION		(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME		
OTHER INVESTMENT INCOME		2,256.	2,256.			
TOTAL TO FORM 990-PF, PART I, LINE 11		2,256.	2,256.			

FORM 990-PF		LEGAL FEES			STATEMENT	3
DESCRIPTION		(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES	
LEGAL FEES		747.	0.			0.
TO FM 990-PF, PG 1, LN 16A		747.	0.			0.

FORM 990-PF		ACCOUNTING FEES			STATEMENT	4
DESCRIPTION		(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES	
ACCOUNTING FEES		4,750.	0.			0.
TO FORM 990-PF, PG 1, LN 16B		4,750.	0.			0.

FORM 990-PF	OTHER PROFESSIONAL FEES			STATEMENT	5
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES	
INVESTMENT FEES	24,140.	24,140.			0.
TO FORM 990-PF, PG 1, LN 16C	24,140.	24,140.			0.

FORM 990-PF	TAXES			STATEMENT	6
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES	
IRS TAX PAYMENTS	22,406.	0.			0.
FOREIGN TAXES	1,401.	1,401.			0.
TO FORM 990-PF, PG 1, LN 18	23,807.	1,401.			0.

FORM 990-PF	OTHER EXPENSES			STATEMENT	7
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES	
OFFICE EXPENSES	135.	0.			0.
TO FORM 990-PF, PG 1, LN 23	135.	0.			0.

FORM 990-PF	OTHER DECREASES IN NET ASSETS OR FUND BALANCES			STATEMENT	8
DESCRIPTION	AMOUNT				
SALE OF CONTRIBUTED STOCK	153,876.				
UNREALIZED GAIN/LOSS	937.				
TOTAL TO FORM 990-PF, PART III, LINE 5	154,813.				

FORM 990-PF	CORPORATE STOCK	STATEMENT	9
DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE	
ISHARES MSCI EMRG MKT FUND	0.	0.	
ISHARES TR MSCI EAFE	67,627.	69,636.	
SPDR S&P 500 ETF TR	168,968.	199,181.	
DEUTSCH X	99,960.	99,949.	
TOTAL TO FORM 990-PF, PART II, LINE 10B	336,555.	368,766.	

FORM 990-PF	CORPORATE BONDS	STATEMENT	10
DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE	
BONDS	394,630.	383,654.	
TOTAL TO FORM 990-PF, PART II, LINE 10C	394,630.	383,654.	

FORM 990-PF	OTHER INVESTMENTS	STATEMENT	11
DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
ARTISAN INTL FUND	COST	110,161.	106,381.
COHEN & STEERS INST	COST	123,540.	122,271.
DFA US MICRO CAP PORT	COST	125,316.	121,601.
DODGE & COX INCOME FUND	COST	16,333.	16,068.
DODGE & COX STOCK FUND	COST	98,818.	97,938.
EAGLE SMALL CAP GROWTH	COST	122,075.	115,102.
GATEWAY FUND CL Y	COST	328,550.	330,449.
KALMAR GROWTH WITH VALUE	COST	802.	0.
KEELEY SMALL CAP VALUE	COST	0.	0.
LONGLEAF PARTNERS FUND	COST	0.	0.
MATTHEWS ASIAN GROWTH	COST	134,530.	119,406.
OAKMARK INTL FD CLASS I	COST	109,451.	93,842.
PARAMETRIC TAX MGD EMRG	COST	151,040.	120,322.
PERRITT MICRO CAP	COST	79,475.	75,072.
PIMCO COMMODITY REAL	COST	0.	0.
T ROWE PRICE GROWTH	COST	65,480.	76,260.
TEMPLETON GLOBAL BOND	COST	69,663.	61,566.
VANGUARD S/T INVESTMENT	COST	159,032.	157,691.
DFA INTL REAL ESTATE	COST	123,914.	108,627.
DODGE & COX INTL	COST	85,060.	70,952.

MATTHEWS PACIFIC TIGER	COST	0.	0.
T ROWE PRICE INST HIGH YIELD	COST	110,685.	95,167.
VANGUARD MID CAP	COST	104,060.	99,395.
VANGUARD 500 INDEX	COST	360,075.	357,252.
VICTORY MUNDER MID CAP	COST	109,749.	95,005.
DFA US TARGETED VALUE	COST	65,015.	60,957.
FIDELITY FLOATING RATE	COST	140,030.	136,200.
HARDING LOEVNER	COST	50,015.	41,695.
MAINGATE	COST	100,015.	68,003.
TOTAL TO FORM 990-PF, PART II, LINE 13		2,942,884.	2,747,222.

**Part XV** Supplementary Information**3 Grants and Contributions Paid During the Year (Continuation)**

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
CHILDREN'S MUSEUM OF INDIANAPOLIS 3000 N. MERIDIAN STREET INDIANAPOLIS, IN 46208	NONE	PC	OPERATIONS	1,000.
A SENSE OF HOME 15335 MORRISON STREET, SUITE 145 SHERMAN OAKS, CA 91403	NONE	PC	OPERATIONS	30,000.
AMERICAN FRIENDS OF THE HEBREW UNIVERSITY ONE BATTERY PARK PLAZA, 25TH FLOOR NEW YORK, NY 10004	NONE	PC	OPERATIONS	25,000.
B'NAI B'RITH TEMPLE 1000 SAN ANTONIO CREEK ROAD SANTA BARBARA, CA 93111	NONE	PC	OPERATIONS	18,000.
CADA 232 E. CANON PERDIDO SANTA BARBARA, CA 93101	NONE	PC	OPERATIONS	25,000.
GIRLS, INC. 120 WALL STREET NEW YORK, NY 10005	NONE	PC	OPERATIONS	20,000.
ISREAL COMMITTEE OF SANTA BARBARA 1187 COAST VILLAGE ROAD 1-432 MONTICETO, CA 93108	NONE	PC	OPERATIONS	3,000.
THE GRANADA THEATRE 1330 STATE STREET SANTA BARBARA, CA 93101	NONE	PC	OPERATIONS	24,000.
<b>Total from continuation sheets</b>				<b>146,000.</b>





Schwab One® Account of  
**HERBERT & BUI SIMON FOUNDATION  
INC**

Report Period  
**January 1 - December 31,  
2015**

Account Number  
**9521-2650**

## 2015 Year-End Schwab Gain/Loss Report

### Realized Gain or (Loss)

Accounting Method: Tax Lot Optimizer™

Short-Term	Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
DODGE & COX INCOME FUND: DODIX	1,868 1850	01/27/15	09/25/15	\$25,000.00	\$25,980.75	(\$980.75)
DODGE & COX INCOME FUND: DODIX	1,009 5130	01/27/15	11/12/15	\$13,589.98	\$14,039.25	(\$449.27)
<b>Security Subtotal</b>				<b>\$38,589.98</b>	<b>\$40,020.00</b>	<b>(\$1,430.02)</b>
GATEWAY FUND CL Y: GTEYX	50 2170	12/29/14	06/22/15	\$1,530.89	\$1,490.17	\$40.72
<b>Security Subtotal</b>				<b>\$1,530.89</b>	<b>\$1,490.17</b>	<b>\$40.72</b>
KEELEY SMALL CAP VALUE FD CL I: KSCIX	969.4500	multiple	09/21/15	\$33,990.93	\$37,060.00	(\$3,069.07)
<b>Security Subtotal</b>				<b>\$33,990.93</b>	<b>\$37,060.00</b>	<b>(\$3,069.07)</b>
LONGLEAF PARTNERS FUND· LLPFX	815.5590	multiple	06/22/15	\$25,365.52	\$26,040.00	(\$674.48)
<b>Security Subtotal</b>				<b>\$25,365.52</b>	<b>\$26,040.00</b>	<b>(\$674.48)</b>
MATTHEWS PACIFIC TIGER FD INSTL: MIPTX	1,815 0350	multiple	09/21/15	\$44,707.46	\$50,060.00	(\$5,352.54)
<b>Security Subtotal</b>				<b>\$44,707.46</b>	<b>\$50,060.00</b>	<b>(\$5,352.54)</b>
PIMCO COMMODITY REAL RETURN STRAT INST. PCRIX	16,964 2860	12/01/14	06/22/15	\$72,595.02	\$85,520.00	(\$12,924.98)
<b>Security Subtotal</b>				<b>\$72,595.02</b>	<b>\$85,520.00</b>	<b>(\$12,924.98)</b>



Schwab One® Account of  
**HERBERT & BUI SIMON FOUNDATION  
INC**

Account Number  
**9521-2650**

Report Period  
**January 1 - December 31,  
2015**

## 2015 Year-End Schwab Gain/Loss Report

### Realized Gain or (Loss) (continued)

Accounting Method: Tax Lot Optimizer™

Short-Term (continued)	Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
T ROWE PRICE INST HIGH YIELD TRHYX	2,878 5960	10/14/14	09/21/15	\$25,000.00	\$27,354.26	(\$2,354.26)
<b>Security Subtotal</b>				<b>\$25,000.00</b>	<b>\$27,354.26</b>	<b>(\$2,354.26)</b>
TEMPLETON GLOBAL BOND FUND ADV CL: TGBAX	5,030 4880	12/01/14	06/22/15	\$61,911.03	\$66,020.00	(\$4,108.97)
<b>Security Subtotal</b>				<b>\$61,911.03</b>	<b>\$66,020.00</b>	<b>(\$4,108.97)</b>
<b>Total Short-Term</b>				<b>\$303,690.83</b>	<b>\$333,564.43</b>	<b>(\$29,873.60)</b>

Long-Term	Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
DODGE & COX INCOME FUND. DODIX	847.5770	multiple	11/12/15	\$11,410.02	\$11,533.82	(\$123.80)
<b>Security Subtotal</b>				<b>\$11,410.02</b>	<b>\$11,533.82</b>	<b>(\$123.80)</b>
GATEWAY FUND CL Y GTEYX	3,230 0390	multiple	06/22/15	\$98,469.11	\$92,383.64	\$6,085.47
<b>Security Subtotal</b>				<b>\$98,469.11</b>	<b>\$92,383.64</b>	<b>\$6,085.47</b>
ISHARES MSCI EMERGING MARKETS ETF: EEM	1,100 0000	12/13/13	06/22/15	\$44,727.34	\$44,908.75	(\$181.41)
<b>Security Subtotal</b>				<b>\$44,727.34</b>	<b>\$44,908.75</b>	<b>(\$181.41)</b>



Schwab One® Account of  
HERBERT & BUI SIMON FOUNDATION  
INC

Account Number  
9521-2650

Report Period  
January 1 - December 31,  
2015

## 2015 Year-End Schwab Gain/Loss Report

### Realized Gain or (Loss) (continued)

Accounting Method: Tax Lot Optimizer™

Long-Term (continued)	Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
KEELEY SMALL CAP VALUE FD CL I- KSCIX	925.7270	multiple	09/21/15	\$32,457.93	\$33,349.84	(\$891.91)
<b>Security Subtotal</b>				<b>\$32,457.93</b>	<b>\$33,349.84</b>	<b>(\$891.91)</b>
LONGLEAF PARTNERS FUND. LLPFX	1,061.0300	multiple	06/22/15	\$33,000.16	\$32,829.41	\$170.75
<b>Security Subtotal</b>				<b>\$33,000.16</b>	<b>\$32,829.41</b>	<b>\$170.75</b>
PIMCO COMMODITY REAL RETURN STRAT INST: PCRIX	4,013.8160	multiple	06/22/15	\$17,176.26	\$23,053.62	(\$5,877.36)
<b>Security Subtotal</b>				<b>\$17,176.26</b>	<b>\$23,053.62</b>	<b>(\$5,877.36)</b>
TEMPLETON GLOBAL BOND FUND ADV CL: TGBAX	250.9900	12/13/13	06/22/15	\$3,088.97	\$3,284.39	(\$195.42)
<b>Security Subtotal</b>				<b>\$3,088.97</b>	<b>\$3,284.39</b>	<b>(\$195.42)</b>
<b>Total Long-Term</b>				<b>\$240,329.79</b>	<b>\$241,343.47</b>	<b>(\$1,013.68)</b>
<b>Total Realized Gain or (Loss)</b>				<b>\$544,020.62</b>	<b>\$574,907.90</b>	<b>(\$30,887.28)</b>

Schwab has provided realized gain/loss information wherever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. See Terms and Conditions.  
Option Customers: Realized gain/loss of underlying securities is adjusted to reflect the premiums of assigned or exercised options.



Schwab One® Account of  
**HERBERT & BUI SIMON FOUNDATION**  
**MGR: FRANKLIN TEMPLETON**

Account Number  
**5556-9020**

Report Period  
**January 1 - December 31, 2015**

## 2015 Year-End Schwab Gain/Loss Report

### Realized Gain or (Loss)

Accounting Method First In First Out [FIFO]									
Short-Term	Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis		Realized Gain or (Loss)		
					Adjusted		Adjusted		Adjusted
FANNIE MAE 5 25%16 DUE 09/15/16: 31359MW41	6,000.0000	01/12/15	07/23/15	\$6,320.16	\$6,481.56				(\$161.40)
					\$6,329.82				(\$9.66) <sup>b</sup>
FANNIE MAE 5 25%16 DUE 09/15/16: 31359MW41	14,000.0000	01/12/15	09/09/15	\$14,651.75	\$15,123.64				(\$471.89)
					\$14,682.08				(\$30.33) <sup>b</sup>
<b>Security Subtotal</b>				<b>\$20,971.91</b>	<b>\$21,605.20</b>				<b>(\$633.29)</b>
MONDELEZ INTERN 5.375%20TENDER OFFER EXP: 03/06 0: 50075NBA1	18,000.0000	01/26/15	03/10/15	\$20,766.19	\$20,643.30				\$122.89
					\$20,589.66				\$176.53 <sup>b</sup>
<b>Security Subtotal</b>				<b>\$20,766.19</b>	<b>\$20,643.30</b>				<b>\$122.89</b>

Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this report

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Schwab One® Account of  
HERBERT & BUI SIMON FOUNDATION  
MGR: FRANKLIN TEMPLETON

Account Number  
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2015

## 2015 Year-End Schwab Gain/Loss Report

### Realized Gain or (Loss) (continued)

Accounting Method: First In First Out [FIFO]

Short-Term (continued)	Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis		Realized Gain or (Loss)	
					Adjusted		Adjusted	
US TREASU NT 2.125%05/15UST NOTE DUE 05/31/15. 912828NF3	15,000.0000	01/12/15	04/16/15	\$15,036.33	\$15,118.36		(\$82.03)	
					\$15,037.74		(\$1.41) <sup>b</sup>	
Security Subtotal				\$15,036.33	\$15,118.36		(\$82.03)	
Total Short-Term				\$56,774.43	\$57,366.86		(\$592.43)	
					\$56,639.30		\$135.13 <sup>b</sup>	
Total Realized Gain or (Loss)				\$56,774.43	\$57,366.86		(\$592.43)	
					\$56,639.30		\$135.13 <sup>b</sup>	

Schwab has provided realized gain/loss information wherever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. See Terms and Conditions.

Option Customers: Realized gain/loss of underlying securities is adjusted to reflect the premiums of assigned or exercised options.

### Endnotes For Your Account

Symbol      Endnote Legend

<sup>b</sup> When available, Adjusted Cost Basis values are used in Gain or (Loss) calculations