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Form **990-PF**

Department of the Treasury
Internal Revenue Service

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

Note. The foundation may be able to use a copy of this return to satisfy state reporting requirements

OMB No 1545-0052

2011

For calendar year 2011, or tax year beginning 09-01-2011 , and ending 08-31-2012

G Check all that apply

☐ Initial return

☐ Initial return of a former public charity

☐ Final return

☐ Amended return

☐ Address change

☐ Name change

Name of foundation
RICHARD MCCONNELL FAMILY FOUNDATION

A Employer identification number
42-1493274

Number and street (or P O box number if mail is not delivered to street address)
7295 NW 100TH STREET

Room/suite

B Telephone number (see page 10 of the instructions)
(515) 986-4574

City or town, state, and ZIP code
GRIMES, IA 50111

C If exemption application is pending, check here ☐

D 1. Foreign organizations, check here ☐

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

I Fair market value of all assets at end of year (from Part II, col. (c), line 16)
\$ 1,371,935

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

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

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

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

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see page 11 of the instructions))		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc , received (attach schedule)	110,000			
	2 Check <input type="checkbox"/> if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments	4,641	4,641		
	4 Dividends and interest from securities.	23,723	23,723		
	5a Gross rents				
	b Net rental income or (loss) _____				
	6a Net gain or (loss) from sale of assets not on line 10	19,426			
	b Gross sales price for all assets on line 6a _____ 282,014				
	7 Capital gain net income (from Part IV , line 2)		19,426		
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less returns and allowances				
Operating and Administrative Expenses	b Less Cost of goods sold				
	c Gross profit or (loss) (attach schedule)				
	11 Other income (attach schedule)	2,314	2,314		
	12 Total. Add lines 1 through 11	160,104	50,104		
	13 Compensation of officers, directors, trustees, etc				
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees (attach schedule).				
	b Accounting fees (attach schedule).	2,960	1,480		1,480
	c Other professional fees (attach schedule)	9,718	4,859		4,859
	17 Interest				
	18 Taxes (attach schedule) (see page 14 of the instructions)	2,599	499		
	19 Depreciation (attach schedule) and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses (attach schedule).				
	24 Total operating and administrative expenses. Add lines 13 through 23	15,277	6,838		6,339
	25 Contributions, gifts, grants paid	101,500			101,500
	26 Total expenses and disbursements. Add lines 24 and 25	116,777	6,838		107,839
	27 Subtract line 26 from line 12				
	a Excess of revenue over expenses and disbursements	43,327			
	b Net investment income (if negative, enter -0-)		43,266		
	c Adjusted net income (if negative, enter -0-)				

For Privacy Act and Paperwork Reduction Act Notice, see page 30 of the instructions.

Cat No 11289X

Form **990-PF** (2011)

Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)	Beginning of year	End of year	
			(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash—non-interest-bearing	151,251	229,121	229,121
	2	Savings and temporary cash investments			
	3	Accounts receivable ▶ _____ Less allowance for doubtful accounts ▶ _____			
	4	Pledges receivable ▶ _____ Less allowance for doubtful accounts ▶ _____			
	5	Grants receivable			
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see page 15 of the instructions)			
	7	Other notes and loans receivable (attach schedule) ▶ _____ Less allowance for doubtful accounts ▶ _____			
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges			
	10a	Investments—U S and state government obligations (attach schedule)			
	b	Investments—corporate stock (attach schedule)			
	c	Investments—corporate bonds (attach schedule).			
	11	Investments—land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
	12	Investments—mortgage loans			
	13	Investments—other (attach schedule)	1,123,734	1,089,191	1,142,814
	14	Land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
15	Other assets (describe ▶ _____)				
16	Total assets (to be completed by all filers—see the instructions Also, see page 1, item I)	1,274,985	1,318,312	1,371,935	
Liabilities	17	Accounts payable and accrued expenses			
	18	Grants payable			
	19	Deferred revenue			
	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable (attach schedule)			
	22	Other liabilities (describe ▶ _____)			
	23	Total liabilities (add lines 17 through 22)		0	
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			
	28	Paid-in or capital surplus, or land, bldg , and equipment fund			
	29	Retained earnings, accumulated income, endowment, or other funds	1,274,985	1,318,312	
	30	Total net assets or fund balances (see page 17 of the instructions)	1,274,985	1,318,312	
	31	Total liabilities and net assets/fund balances (see page 17 of the instructions)	1,274,985	1,318,312	

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	1,274,985
2	Enter amount from Part I, line 27a	2	43,327
3	Other increases not included in line 2 (itemize) ▶ _____	3	
4	Add lines 1, 2, and 3	4	1,318,312
5	Decreases not included in line 2 (itemize) ▶ _____	5	
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	1,318,312

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 Additional Data Table			
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 See Additional Data Table			
b			
c			
d			
e			

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(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	
a See Additional Data Table			
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	19,426
3	Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) (see pages 13 and 17 of the instructions) If (loss), enter -0- in Part I, line 8		3	-5,263

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 page 18 of 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))
2010	44,938	1,319,393	0 034060
2009	18,999	1,151,765	0 016496
2008	101,537	1,025,432	0 099019
2007	52,090	1,219,900	0 042700
2006	103,653	1,201,241	0 086288

2	Total of line 1, column (d).	2	0 278563
3	Average distribution ratio for the 5-year base period—divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years	3	0 055713
4	Enter the net value of noncharitable-use assets for 2011 from Part X, line 5.	4	1,177,616
5	Multiply line 4 by line 3.	5	65,609
6	Enter 1% of net investment income (1% of Part I, line 27b).	6	433
7	Add lines 5 and 6.	7	66,042
8	Enter qualifying distributions from Part XII, line 4.	8	107,839

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 on page 18

Part VIExcise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948—see page 18 of the instructions)

1a		Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1			
		Date of ruling or determination letter _____ (attach copy of letter if necessary—see instructions)			
b		Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input checked="" type="checkbox"/> and enter 1% of Part I, line 27b		1	433
c		All other domestic foundations enter 2% of line 27b Exempt foreign organizations enter 4% of Part I, line 12, col (b)			
2		Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)		2	
3		Add lines 1 and 2.		3	433
4		Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)		4	
5		Tax based on investment income. Subtract line 4 from line 3 If zero or less, enter -0-		5	433
6		Credits/Payments			
a		2011 estimated tax payments and 2010 overpayment credited to 2011	6a	1,662	
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	1,662
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	1,229
11		Enter the amount of line 10 to be Credited to 2012 estimated tax 1,229	Refunded	11	

Part VII-AStatements Regarding Activities

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?		Yes	No
		1a		No
b	Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see page 19 of the instructions for 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.	1b		No
c	Did the foundation file Form 1120-POL for this year?	1c		No
d	Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year (1) On the foundation \$ (2) On foundation managers \$			
e	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers \$			
2	Has the foundation engaged in any activities that have not previously been reported to the IRS? If "Yes," attach a detailed description of the activities.	2		No
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		No
4a	Did the foundation have unrelated business gross income of \$1,000 or more during the year?	4a		No
b	If "Yes," has it filed a tax return on Form 990-T for this year?	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		No
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	Yes	
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	Yes	
8a	Enter the states to which the foundation reports or with which it is registered (see page 19 of the instructions) _____			
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	Yes	
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 2011 or the taxable year beginning in 2011 (see instructions for Part XIV on page 27)? If "Yes," complete Part XIV	9		No
10	Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses	10		No

Part VII-A

Statements Regarding Activities *(continued)*

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see page 20 of the instructions).	11		No
12	Did the foundation acquire a direct or indirect interest in any applicable insurance contract before August 17, 2008?	12		No
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address N/A	13	Yes	
14	The books are in care of DEBORAH MCCONNELL Telephone no (515) 986-4574 Located at 7295 NW 100TH STREET GRIMES IA ZIP+4 50111			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 —Check here <input type="checkbox"/> and enter the amount of tax-exempt interest received or accrued during the year.	15		
16	At any time during calendar year 2011, 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	Yes	No
See the instructions for exceptions and filing requirements for Form TD F 90-22.1 If "Yes", enter the name of the foreign country				

Part VII-B

Statements Regarding Activities for Which Form 4720 May Be Required

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.			Yes	No
1a	During the year did the foundation (either directly or indirectly) (1) Engage in the sale or exchange, or leasing of property with a disqualified person? <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 page 20 of the instructions)? Organizations relying on a current notice regarding disaster assistance check here. <input type="checkbox"/>	1b		
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2011?	1c		
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))			
a	At the end of tax year 2011, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2011? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If "Yes," list the years 20____, 20____, 20____, 20____			
b	Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement—see page 20 of the instructions).	2b		
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here 20____, 20____, 20____, 20____			
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
b	If "Yes," did it have excess business holdings in 2011 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? (<i>Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2011.</i>)	3b		
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a		No
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 2011?	4b		No



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))?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
	(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
	(3) Provide a grant to an individual for travel, study, or other similar purposes?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
	(4) Provide a grant to an organization other than a charitable, etc , organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? (see page 22 of the instructions).	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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 page 22 of the instructions)? Organizations relying on a current notice regarding disaster assistance check here.	<input type="checkbox"/>	5b	
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? <i>If "Yes," attach the statement required by Regulations section 53.4945–5(d).</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No		
6a	Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b	Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? <i>If "Yes" to 6b, file Form 8870.</i>		6b	No
7a	At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b	If yes, did the foundation receive any proceeds or have any net income attributable to the transaction?		7b	

Part VIII

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

1 List all officers, directors, trustees, foundation managers and their compensation (see page 22 of the instructions).				
(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
RICHARD L MCCONNELL  9295 NW 100TH ST GRIMES,IA 50111	TRUSTEE 1 00	0	0	0
DEBORAH K MCCONNELL  7295 NW 100TH ST GRIMES,IA 50111	TRUSTEE 1 00	0	0	0
2 Compensation of five highest-paid employees (other than those included on line 1—see page 23 of the instructions). If none, enter "NONE."				
(a) Name and address of each employee paid more than \$50,000	(b) Title, and average hours per week devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
NONE				
Total number of other employees paid over \$50,000.				<input type="checkbox"/>

Part VIII

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

3 Five highest-paid independent contractors for professional services (see page 23 of the instructions). 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.		

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	
2	
3	
4	

Part IX-B

Summary of Program-Related Investments (see page 23 of the instructions)

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 page 24 of the instructions.	
3	
Total. Add lines 1 through 3.	

Part X

Minimum Investment Return (All domestic foundations must complete this part. Foreign foundations, see page 24 of the 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	1,119,989
b	Average of monthly cash balances.	1b	75,560
c	Fair market value of all other assets (see page 24 of the instructions).	1c	0
d	Total (add lines 1a, b, and c).	1d	1,195,549
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation).	1e	
2	Acquisition indebtedness applicable to line 1 assets.	2	
3	Subtract line 2 from line 1d.	3	1,195,549
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see page 25 of the instructions).	4	17,933
5	Net value of noncharitable-use assets. Subtract line 4 from line 3 Enter here and on Part V, line 4	5	1,177,616
6	Minimum investment return. Enter 5% of line 5.	6	58,881

Part XI

Distributable Amount (see page 25 of the 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	58,881
2a	Tax on investment income for 2011 from Part VI, line 5.	2a	433
b	Income tax for 2011 (This does not include the tax from Part VI).	2b	
c	Add lines 2a and 2b.	2c	433
3	Distributable amount before adjustments Subtract line 2c from line 1.	3	58,448
4	Recoveries of amounts treated as qualifying distributions.	4	
5	Add lines 3 and 4.	5	58,448
6	Deduction from distributable amount (see page 25 of the instructions).	6	
7	Distributable amount as adjusted Subtract line 6 from line 5 Enter here and on Part XIII, line 1.	7	58,448

Part XII

Qualifying Distributions (see page 25 of the 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	107,839
b	Program-related investments—total from Part IX-B.	1b	
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc , purposes.	2	
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required).	3a	
b	Cash distribution test (attach the required schedule).	3b	
4	Qualifying distributions. Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4	4	107,839
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income Enter 1% of Part I, line 27b (see page 26 of the instructions).	5	433
6	Adjusted qualifying distributions. Subtract line 5 from line 4.	6	107,406
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 page 26 of the instructions)

	(a) Corpus	(b) Years prior to 2010	(c) 2010	(d) 2011
1 Distributable amount for 2011 from Part XI, line 7				58,448
2 Undistributed income, if any, as of the end of 2011				
a Enter amount for 2010 only.			10,275	
b Total for prior years 20____, 20____, 20____				
3 Excess distributions carryover, if any, to 2011				
a From 2006.				
b From 2007.				
c From 2008.				
d From 2009.				
e From 2010.				
f Total of lines 3a through e.				
4 Qualifying distributions for 2011 from Part XII, line 4 ▶ \$ 107,839				
a Applied to 2010, but not more than line 2a			10,275	
b Applied to undistributed income of prior years (Election required—see page 26 of the instructions)				
c Treated as distributions out of corpus (Election required—see page 26 of the instructions). . .				
d Applied to 2011 distributable amount.				58,448
e Remaining amount distributed out of corpus	39,116			
5 Excess distributions carryover applied to 2011 (If an amount appears in column (d), the same amount must be shown in column (a).)				
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	39,116			
b Prior years' undistributed income Subtract line 4b from line 2b.				
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed.				
d Subtract line 6c from line 6b Taxable amount—see page 27 of the instructions . . .				
e Undistributed income for 2010 Subtract line 4a from line 2a Taxable amount—see page 27 of the instructions				
f Undistributed income for 2011 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2011				0
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see page 27 of the instructions).				
8 Excess distributions carryover from 2006 not applied on line 5 or line 7 (see page 27 of the instructions).				
9 Excess distributions carryover to 2012. Subtract lines 7 and 8 from line 6a	39,116			
10 Analysis of line 9				
a Excess from 2007. . . .				
b Excess from 2008. . . .				
c Excess from 2009. . . .				
d Excess from 2010. . . .				
e Excess from 2011. . . .	39,116			

Part XIV

Private Operating Foundations (see page 27 of the instructions and Part VII-A, question 9)

1a

If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2011, enter the date of the ruling.

b

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

☐ 4942(j)(3) or ☐ 4942(j)(5)

2a	Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed.	Tax year	Prior 3 years			(e) Total
		(a) 2011	(b) 2010	(c) 2009	(d) 2008	
b	85% of line 2a					
c	Qualifying distributions from Part XII, line 4 for each year listed.					
d	Amounts included in line 2c not used directly for active conduct of exempt activities.					
e	Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c.					
3	Complete 3a, b, or c for the alternative test relied upon					
a	"Assets" alternative test—enter					
	(1) Value of all assets					
	(2) Value of assets qualifying under section 4942(j)(3)(B)(i)					
b	"Endowment" alternative test— enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed.					
c	"Support" alternative test—enter					
	(1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties).					
	(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii).					
	(3) Largest amount of support from an exempt organization					
	(4) Gross investment income					

Part XV

Supplementary Information (Complete this part only if the organization had \$5,000 or more in assets at any time during the year—see page 27 of the 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))

RICHARD MCCONNELL

b

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

2

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

Check here ☒ if the foundation only makes contributions to preselected charitable organizations and does not accept unsolicited requests for funds. If the foundation makes gifts, grants, etc. (see page 28 of the instructions) to individuals or organizations under other conditions, complete items 2a, b, c, and d.

a

The name, address, and telephone number of the person to whom applications should be addressed

b

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

c

Any submission deadlines

d

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

Part XV

Supplementary Information (continued)

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

Recipient	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 See Additional Data Table				
Total			3a	101,500
b Approved for future payment				
Total			3b	

Enter gross amounts unless otherwise indicated	Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See page 28 of the instructions)
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	
1 Program service revenue					
a _____					
b _____					
c _____					
d _____					
e _____					
f _____					
g Fees and contracts from government agencies					
2 Membership dues and assessments. . . .					
3 Interest on savings and temporary cash investments			14	4,641	
4 Dividends and interest from securities. . . .			14	23,723	
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.			18	2,314	
8 Gain or (loss) from sales of assets other than inventory			18	19,426	
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). .				50,104	
13 Total. Add line 12, columns (b), (d), and (e).					50,104

[illegible]

Part XVII

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

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)

No

2

Other assets.

1a(2)

No

b

Other transactions

1

Sales of assets to a noncharitable exempt organization.

1b(1)

No

2

Purchases of assets from a noncharitable exempt organization.

1b(2)

No

3

Rental of facilities, equipment, or other assets.

1b(3)

No

4

Reimbursement arrangements.

1b(4)

No

5

Loans or loan guarantees.

1b(5)

No

6

Performance of services or membership or fundraising solicitations.

1b(6)

No

c

Sharing of facilities, equipment, mailing lists, other assets, or paid employees.

1c

No

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

2a

Is the foundation directly or indirectly affiliated with, or related to, one or more tax-exempt organizations described in section 501(c) of the Code (other than section 501(c)(3)) or in section 527?

☐

Yes

☒

No

b

If "Yes," complete the following schedule

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

Sign Here

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

Signature of officer or trustee

2013-02-22

Date

Title

Paid Preparer's Use Only

Preparer's Signature

MATT JUFFER

Date

2013-02-27

Check if self-employed ☐

PTIN

Firm's name

HAMILTON JUFFER & ASSOCIATES L

Firm's EIN

Firm's address

666 GRAND AVE STE 2400

DES MOINES, IA 503092506

Phone no (515) 245-3737

May the IRS discuss this return with the preparer shown above? See instructions

☐

Yes

☒

No

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

Schedule of Contributors

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

OMB No 1545-0047

2011

Name of organization RICHARD MCCONNELL FAMILY FOUNDATION	Employer identification number 42-1493274
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Organization type (check one)

Filers of:	Section:
Form 990 or 990-EZ	<input type="checkbox"/> 501(c)() (enter number) organization
	<input type="checkbox"/> 4947(a)(1) nonexempt charitable trust not treated as a private foundation
	<input type="checkbox"/> 527 political organization
Form 990-PF	<input checked="" type="checkbox"/> 501(c)(3) exempt private foundation
	<input type="checkbox"/> 4947(a)(1) nonexempt charitable trust treated as a private foundation
	<input type="checkbox"/> 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, \$5,000 or more (in money or property) from any one contributor. Complete Parts I and II.

Special Rules

- ☐ For a section 501(c)(3) organization filing Form 990 or 990-EZ, that met the 33¹/₃% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi), and received from any one contributor, during the year, a contribution 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 a section 501(c)(7), (8), or (10) organization filing Form 990, or 990-EZ, that received from any one contributor, during the year, aggregate contributions of more than \$1,000 for use *exclusively* for religious, charitable, scientific, literary, or educational purposes, or the prevention of cruelty to children or animals. Complete Parts I, II, and III.
- ☐ For a section 501(c)(7), (8), or (10) organization filing Form 990, or 990-EZ, that received from any one contributor, during the year, contributions for use *exclusively* for religious, charitable, etc., purposes, but these contributions did not aggregate to 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 of \$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 in the heading of its Form 990-EZ, or on line 2 of its Form 990-PF, to certify that it does not meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF).

Name of organization RICHARD MCCONNELL FAMILY FOUNDATION	Employer identification number 42-1493274
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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) Aggregate contributions	(d) Type of contribution
1	RICHARD L DEBORAH K MCCONNELL 7295 NW 100TH STREET GRIMES, IA 50111	\$ 110,000	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution)

Name of organization RICHARD MCCONNELL FAMILY FOUNDATION	Employer identification number 42-1493274
---	--

<div>Part II</div> <div>Noncash Property (see Instructions) Use duplicate copies of Part II if additional space is needed</div>			
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
—	<div></div> <div></div> <div></div> <div></div>	\$ <div></div>	<div></div>
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
—	<div></div> <div></div> <div></div> <div></div>	\$ <div></div>	<div></div>
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
—	<div></div> <div></div> <div></div> <div></div>	\$ <div></div>	<div></div>
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
—	<div></div> <div></div> <div></div> <div></div>	\$ <div></div>	<div></div>
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
—	<div></div> <div></div> <div></div> <div></div>	\$ <div></div>	<div></div>
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
—	<div></div> <div></div> <div></div> <div></div>	\$ <div></div>	<div></div>

Name of organization RICHARD MCCONNELL FAMILY FOUNDATION	Employer identification number 42-1493274
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Part III

Exclusively religious, charitable, etc., individual contributions to section 501(c)(7), (8), or (10) organizations aggregating more than \$1,000 for the year. (Complete columns (a) through (e) and the following line entry)

For organizations completing Part III, enter the total of *exclusively* religious, charitable, etc , contributions of **\$1,000 or less** for the year (Enter this information once See instructions) ➤ \$

Use duplicate copies of Part III if additional space is needed

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

Additional Data

Software ID:
Software Version:
EIN: 42-1493274
Name: RICHARD MCCONNELL FAMILY FOUNDATION

Form 990PF - Special Condition Description:

Special Condition Description

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

(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)
UTS FTP GLOBAL DIVIDEND	P	2009-12-23	2011-12-13
UTS FTP GLOBAL DIVIDEND	P	2011-01-01	2011-12-13
UNITS FTP SENIOR LOAN FUND	P	2009-12-16	2011-12-01
UNITS FTP SENIOR LOAN FUND	P	2011-01-01	2011-12-01
JPMORGAN CHASE JUMP SECS	P	2010-01-25	2012-01-27
MSSB 77-13 SEE ATTACHED 8949	P	2011-06-01	2012-01-01
MSSB 77-13 SEE ATTACHED 8949	P	2009-01-01	2012-01-01
MSSB 3-529 SEE ATTACHED 8949	P	2011-06-01	2012-01-01
MSSB 3-529 SEE ATTACHED 8949	P	2009-01-01	2012-01-01


Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

(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)
27,388		25,844	1,544
1,200		1,213	-13
24,772		26,010	-1,238
1,533		1,727	-194
36,000		25,000	11,000
54,282		57,670	-3,388
67,616		60,367	7,249
20,953		22,621	-1,668
46,835		42,136	4,699

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) FMV as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			1,544
			-13
			-1,238
			-194
			11,000
			-3,388
			7,249
			-1,668
			4,699

Form 990PF Part XV Line 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 <i>Paid during the year</i>				
THE NATURE CONSERVANCY303 LOCUST STREET SUITE 402 DES MOINES,IA 50309	N/A	CHARITY	OPERATING FUND	10,000
IOWA HEALTH FOUNDATION1415 WOODLAND AVE SUITE E-200 DES MOINES,IA 50309	N/A	CHARITY	OPERATING FUND	25,000
ST PAUL PRESBYTERIAN CHURCH 6426 MERLE HAY ROAD PO BOX 158 JOHNSTON,IA 50131	N/A	CHARITY	OPERATING FUND	10,000
CIVIC CENTER OF GREATER DES MOINES221 WALNUT ST DES MOINES,IA 50309	N/A	CHARITY	OPERATING FUND	6,000
CULTUREALL11822 NW BROOKVIEW LANE GRIMES,IA 50111	N/A	CHARITY	OPPERATING FUND	500
UNIVERSITY OF NEBRASKA1010 LINCOLN MALL SUITE 300 LINCOLN,NE 68508	N/A	CHARITY	OPERATING FUND	50,000
Total  3a				101,500

TY 2011 Accounting Fees Schedule

Name: RICHARD MCCONNELL FAMILY FOUNDATION

EIN: 42-1493274

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
ACCOUNTING FEES	2,960	1,480		1,480

TY 2011 Compensation Explanation**Name:** RICHARD MCCONNELL FAMILY FOUNDATION**EIN:** 42-1493274

Person Name	Explanation
RICHARD L MCCONNELL	
DEBORAH K MCCONNELL	

TY 2011 Investments - Other Schedule**Name:** RICHARD MCCONNELL FAMILY FOUNDATION**EIN:** 42-1493274

Category / Item	Listed at Cost or FMV	Book Value	End of Year Fair Market Value
MUTUAL FUND 461-12			
EXCHANGE TRADED CLOSE END FUND			
UNIT INVESTMENT TRUSTS			
COMMON STOCK/OPTIONS 461-13			
ACCRUED INT-BONDS/CDS 461-14			
EXCHANGE TRADED CLOSE END FUND			
MUTUAL FUNDS			
OTHER INVESTMENTS			
GOVERNEMENT & GSE BONDS			
CERTIFICATES OF DEPOSIT			
COMMON STOCKS 316-12		104,565	96,769
GOVERNMENT AND GSE BONDS		25,628	30,960
CERTIFICATES OF DEPOSIT		105,833	108,671
MUTUAL FUNDS 316-12		45,117	44,349
COMMON STOCKS 316-13		404,792	439,660
PREFERRED STOCKS		679	661
MUTUAL FUNDS 316-13		8,426	8,426
COMMON STOCKS 316-14		29,671	47,120
MUTUAL FUNDS 316-14		272,347	272,409
UNIT INVESTMENT TRUSTS		92,133	93,789

TY 2011 Other Income Schedule

Name: RICHARD MCCONNELL FAMILY FOUNDATION

EIN: 42-1493274

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
MISC INCOME	2,314	2,314	

TY 2011 Other Professional Fees Schedule

Name: RICHARD MCCONNELL FAMILY FOUNDATION

EIN: 42-1493274

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
MANAGEMENT FEES	9,718	4,859		4,859

TY 2011 Taxes Schedule**Name:** RICHARD MCCONNELL FAMILY FOUNDATION**EIN:** 42-1493274

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FOREIGN TAX WITHHELD	499	499		
FEDERAL TAX PAID	2,100			

Ref 00004364 00104441

RICHARD L MC CONNELL & DEBORAH Account number 461-73477-13 529

GAIN/LOSS DETAILS

Please note, this material is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor. Absent specific instructions from you, trades are allocated using the FIFO (first-in-first-out) method. Day traders should therefore not rely on this section for day trading results. Your reinvestment activity has been summarized. Single lines have been designated to distinguish Short-term (ST) or Long-term (LT) information. Detailed information will be available at year-end in your 1099 Year-end summary.

Realized gain or loss

Description	Original trade date	Closing trade date	Quantity	Purchase price	Sale price	Cost basis	Proceeds	Realized gain or (loss)
ACE LIMITED MorganStanley SmithBarney LLC acted as your agent in this transaction.	01/02/08	09/30/11	2	\$ 61.29	\$ 61.238	\$ 122.58	\$ 122.47	(\$ 11) LT
		Sold						
	12/11/08	09/30/11	10	48.863	61.238	488.63	612.37	123.74 LT
		Sold						
Total			12			\$ 611.21	\$ 734.84	\$ 123.63



September 1 - September 30, 2011

Ref 00004364 00104442

RICHARD L MC CONNELL & DEBORAH Account number 461-73477-13 529

Realized gain or loss continued

Description	Original trade date	Closing trade date	Quantity	Purchase price	Sale price	Cost basis	Proceeds	Realized gain or (loss)	
APPLIED MATERIALS INC DELAWARE MorganStanley SmithBarney LLC acted as your agent in this transaction	10/01/09	09/27/11 Sold	34	\$ 12 992	\$ 10 612	\$ 441 73	\$ 360 81	(\$ 80 92)	LT
	10/02/09	09/27/11 Sold	11	12 741	10 612	140 16	116 73	(23 43)	LT
	Total		45			\$ 581 89	\$ 477 54	(\$ 104 35)	
CENTURYLINK INC MorganStanley SmithBarney LLC acted as your agent in this transaction	01/02/08	09/29/11 Sold	29	\$ 40,745	\$ 33 822	\$ 1,181 63	\$ 980 84	(\$ 200 79)	LT
CULLEN FROST BANKERS INC MorganStanley SmithBarney LLC acted as your agent in this transaction	11/20/08	09/29/11 Sold	16	48 956	46 647	783 30	746 34	(36 96)	LT
	04/08/11	09/29/11 Sold	4	59 634	46 647	238 54	186 58	(51 96)	ST
	Total		20			\$ 1,021 84	\$ 932 92	(\$ 88 92)	
EAST JAPAN RY CO-JPY MorganStanley SmithBarney LLC acted as your agent in this transaction	03/16/11	09/06/11 Sold	47	\$ 8 986	\$ 10 038	\$ 422 34	\$ 471,79	\$ 49 45	ST
EATON CORP MorganStanley SmithBarney LLC acted as your agent in this transaction	11/25/09	09/14/11 Sold	50	32 61	40 31	1,630.50	2,015 46	384.96	LT
	06/20/11	09/14/11 Sold	7	47 057	40 31	329 41	282 17	0.00	D
	Total		57			\$ 1,959 91	\$ 2,297 63	\$ 384.96	
W W GRAINGER INC MorganStanley SmithBarney LLC acted as your agent in this transaction	09/09/10	09/27/11 Sold	19	\$ 112 862	\$ 161 259	\$ 2,144 39	\$ 3 063 87	\$ 919.48	LT
ICICI BANK LTD-SPONS ADR- INR MorganStanley SmithBarney LLC acted as your agent	01/02/08	09/02/11 Sold	2	61 88	38 045	123 76	76 08	(47 68)	LT
LATTICE SEMICONDUCTOR CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	08/25/10	09/29/11 Sold	232	4 719	5 281	1,094 83	1,225 25	130 42	LT



Ref 00004364 00104443

September 1 - September 30, 2011

RICHARD L MC CONNELL & DEBORAH

Account number 461-73477-13 529

Realized gain or loss *continued*

Description	Original trade date	Closing trade date	Quantity	Purchase price	Sale price	Cost basis	Proceeds	Realized gain or (loss)	
MOTOROLA MOBILITY HOLDINGS INC MorganStanley SmithBarney LLC acted as your agent in this transaction	03/02/11	09/08/11	48	\$ 28 624	\$ 37 676	\$ 1,373 96	\$ 1,808 41	\$ 434.45	ST
		Sold							
	03/03/11	09/08/11	3	27 942	37 676	83 83	113 03	29 20	ST
		Sold							
	03/14/11	09/08/11	21	24 60	37 676	516 60	791 17	274 57	ST
		Sold							
Total			72			\$ 1,974.39	\$ 2,712 61	\$ 738 22	
NOVARTIS AG ADR MorganStanley SmithBarney LLC acted as your agent in this transaction	01/02/08	09/29/11	2	\$ 54 45	\$ 56 805	\$ 108.90	\$ 113 60	\$ 4 70	LT
		Sold							
PEARSON PLC SPONSORED ADR MorganStanley SmithBarney LLC acted as your agent in this transaction	01/02/08	09/30/11	4	14 47	17.70	57 88	70 80	12 92	LT
		Sold							
	10/13/08	09/30/11	7	9.442	17 70	66 09	123 89	57 80	LT
		Sold							
Total			11			\$ 123 87	\$ 184 69	\$ 70 72	
ROLLS ROYCE HOLDINGS PLC SPONSORED ADR MorganStanley SmithBarney LLC acted as your agent	01/02/08	09/23/11	2	\$ 54.90	\$ 45 38	\$ 108 84	\$ 90 75	(\$ 18 09)	LT
		Sold							
ROSS STORES INC DE MorganStanley SmithBarney LLC acted as your agent in this transaction	08/26/08	09/29/11	10	39,327	79 454	393 27	794 53	401 26	LT
		Sold							
	07/07/09	09/29/11	14	38 86	79 454	544.04	1,112 35	568 31	LT
		Sold							
Total			24			\$ 937.31	\$ 1,906 88	\$ 969 57	
SINGAPORE TELECOMMUNICATIO SPONSORED ADR NEW MorganStanley SmithBarney LLC acted as your agent	01/02/08	09/09/11	6	\$ 27 45	\$ 25 24	\$ 164.70	\$ 151 43	(\$ 13 27)	LT
		Sold							



September 1 - September 30, 2011

Ref. 00004364 00104444

RICHARD L MC CONNELL & DEBORAH Account number 461-73477-13 529

Realized gain or loss *continued*

Description	Original trade date	Closing trade date	Quantity	Purchase price	Sale price	Cost basis	Proceeds	Realized gain or (loss)
WATERS CORP MorganStanley SmithBarney LLC acted as your agent in this transaction	01/02/08	09/29/11 Sold	19	\$ 76.78	\$ 76.71	\$ 1,458.82	\$ 1,457.47	(\$ 1.35) LT
Total Long Term this period								\$ 2,180.99
Total Short Term this period								\$ 735.71
Total realized gain or (loss) - this period						\$ 14,018.73	\$ 16,888.19	\$ 2,916.70
Total Long Term - year-to-date								\$ 17,570.63
Total Short Term - year-to-date								\$ 4,245.33
Total realized gain or (loss) - year-to-date						\$ 161,262.29	\$ 183,031.01	\$ 21,815.96
Total losses disallowed due to wash sale - this period								(\$ 47.24)
Total losses disallowed due to wash sale - year-to-date								(\$ 47.24)
D Loss amount disallowed in accordance with wash sale rule								

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Ref 00003899 00094739

RICHARD L MC CONNELL & DEBORAH Account number 461-73477-13 529

GAIN/LOSS DETAILS

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Realized gain or loss

Description	Original trade date	Closing trade date	Quantity	Purchase price	Sale price	Cost basis	Proceeds	Realized gain or (loss)
ALBEMARLE CORP MorganStanley SmithBarney LLC acted as your agent in this transaction	06/25/10	10/21/11 Sold	26	\$ 40.63	\$ 45.928	\$ 1,056.39	\$ 1,194.12	\$ 137.73 LT
	02/23/11	10/21/11 Sold	23	56.416	45.928	1,297.58	1,056.34	(241.24) ST
	Total		49			\$ 2,353.97	\$ 2,250.46	(\$ 103.51)
AMERISOURCEBERGEN CORP MorganStanley SmithBarney LLC acted as your agent in this transaction	01/02/08	10/28/11 Sold	18	\$ 22.357	\$ 42.069	\$ 402.44	\$ 757.23	\$ 354.79 LT
APPLE INC MorganStanley SmithBarney LLC acted as your agent in this transaction	03/11/09	10/28/11 Sold	1	93.533	404.099	93.53	404.09	310.56 LT
DEUTSCHE POST MorganStanley SmithBarney LLC acted as your agent in this transaction	03/19/09	10/28/11 Sold	8	10.699	15.084	85.60	120.66	35.06 LT
EMC CORP-MASS MorganStanley SmithBarney LLC acted as your agent in this transaction	02/18/09	10/28/11 Sold	3	11.893	24.95	35.68	74.84	39.16 LT



Ref 00003899 00094740

RICHARD L MC CONNELL & DEBORAH Account number 461-73477-13 529

Realized gain or loss continued

Description	Original trade date	Closing trade date	Quantity	Purchase price	Sale price	Cost basis	Proceeds	Realized gain or (loss)	
HESS CORP MorganStanley SmithBarney LLC acted as your agent in this transaction	10/23/09	10/27/11 Sold	7	\$ 59 309	\$ 64 412	\$ 415 17	\$ 450 88	\$ 35 71	LT
ITOCHU CORP ADR MorganStanley SmithBarney LLC acted as your agent in this transaction	06/21/10	10/04/11 Sold	8	17 529	17 804	140 24	142 43	2 19	LT
LIMITED BRANDS INC MorganStanley SmithBarney LLC acted as your agent in this transaction	03/04/11	10/21/11 Sold	38	32.295	42 566	1,227.22	1,617 48	390 26	ST
	03/07/11	10/21/11 Sold	29	32 307	42 568	936.90	1,234 40	297 50	ST
Total			67			\$ 2,164 12	\$ 2,851 88	\$ 687 76	
NORFOLK SOUTHERN CORP MorganStanley SmithBarney LLC acted as your agent in this transaction	06/15/09	10/28/11 Sold	10	\$ 39 208	\$ 74 701	\$ 392 08	\$ 747 00	\$ 354 92	LT
	06/03/10	10/28/11 Sold	3	57 195	74.701	171 59	224.10	52 51	LT
Total			13			\$ 563 67	\$ 971.10	\$ 407 43	
PORTUGAL TELECOM SPON ADR MorganStanley SmithBarney LLC acted as your agent in this transaction	01/02/08	10/05/11 Sold	17	\$ 13 14	\$ 6 889	\$ 223 38	\$ 117 11	(\$ 106 27)	LT
PREMIER FOODS PLC UNSPON ADR MorganStanley SmithBarney LLC acted as your agent	03/19/09	10/11/11 Sold	19	4 252	708	80 80	13 46	(67 34)	LT
	03/20/09	10/11/11 Sold	41	4 224	708	173 21	29 05	(144 16)	LT
	04/30/10	10/11/11 Sold	72	4 089	708	294 41	51 02	(243 39)	LT
	09/23/10	10/11/11 Sold	43	2 819	708	121 26	30 48	(90 78)	LT
Total			175			\$ 669 68	\$ 124 01	(\$ 545 67)	
REPSOL S A SPONSORED ADR MorganStanley SmithBarney LLC acted as your agent in this transaction	01/02/08	10/17/11 Sold	5	\$ 36 51	\$ 29 89	\$ 182 55	\$ 149.44	(\$ 33 11)	LT



Re: 00003899 00094741

RICHARD L MC CONNELL & DEBORAH Account number 461-73477-13 529

Realized gain or loss *continued*

Description	Original trade date	Closing trade date	Quantity	Purchase price	Sale price	Cost basis	Proceeds	Realized gain or (loss)	
ROYAL DUTCH SHELL PLC ADR CL A MorganStanley SmithBarney LLC acted as your agent	05/17/11	10/17/11 Sold	7	\$ 69 364	\$ 68 755	\$ 485 55	\$ 481 28	(\$ 4 27)	ST
SPRINT NEXTEL CORP MorganStanley SmithBarney LLC acted as your agent in this transaction	01/10/11	10/10/11 Sold	29	4 483	2 199	130 01	63 77	(66 24)	ST
	01/14/11	10/10/11 Sold	341	4 432	2 199	1 511 45	749 88	(761 57)	ST
	01/27/11	10/10/11 Sold	141	4 579	2 199	645 67	310 07	(335 60)	ST
	01/31/11	10/10/11 Sold	156	4 476	2 199	698 30	343 05	(355 25)	ST
SPRINT NEXTEL CORP MorganStanley SmithBarney LLC acted as your agent in this transaction	01/31/11	10/11/11 Sold	17	4 476	2 325	76 10	39 53	(36 57)	ST
	03/24/11	10/11/11 Sold	91	4 574	2 325	416 27	211 62	(204 65)	ST
	08/02/11	10/11/11 Sold	305	3 966	2 325	1,209 81	709 29	(500 52)	ST
	08/15/11	10/11/11 Sold	75	3 447	2,325	258 55	174 42	(84 13)	ST
Total			1,155			\$ 4,946 16	\$ 2,601 63	(\$ 2,344 53)	
TELEKOM AUSTRIA AG SPON ADR MorganStanley SmithBarney LLC acted as your agent	01/02/08	10/12/11 Sold	8	\$ 56 80	\$ 22 61	\$ 454 40	\$ 180 87	(\$ 273 53)	LT
UNILEVER NV NY SHS-NEW MorganStanley SmithBarney LLC acted as your agent in this transaction	10/21/08	10/03/11 Sold	14	25 268	31 12	353.75	435 68	81 93	LT
UNION PACIFIC CORP MorganStanley SmithBarney LLC acted as your agent in this transaction	10/23/09	10/28/11 Sold	5	57 787	101 777	288 94	508 88	219 94	LT



Ref 00003899 00094742

October 1 - October 31, 2011

RICHARD L MC CONNELL & DEBORAH Account number 461-73477-13 529

Realized gain or loss *continued*

Description	Original trade date	Closing trade date	Quantity	Purchase price	Sale price	Cost basis	Proceeds	Realized gain or (loss)
WALGREEN CO NEW MorganStanley SmithBarney LLC acted as your agent in this transaction	01/06/11	10/13/11 Sold	61	\$ 40 389	\$ 32 962	\$ 2,463 74	\$ 2,010 65	(\$ 453 09) ST
Total Long Term this period								\$ 665 92
Total Short Term this period								(\$ 2,355 37)
Total realized gain or (loss) - this period						\$ 16,322.57	\$ 14,633 12	(\$ 1,689 45)
Total Long Term - year-to-date								\$ 18,236 55
Total Short Term - year-to-date								\$ 1,889 96
Total realized gain or (loss) - year-to-date						\$ 177,584 86	\$ 197,664 13	\$ 20,126 51
Total losses disallowed due to wash sale - this period								\$ 0 00
Total losses disallowed due to wash sale - year-to-date								(\$ 47 24)

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Ref 00003476 00083469

RICHARD L MC CONNELL & DEBORAH Account number 461-73477-13 529

GAIN/LOSS DETAILS

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Realized gain or loss

Description	Original trade date	Closing trade date	Quantity	Purchase price	Sale price	Cost basis	Proceeds	Realized gain or (loss)	
AMERIPRISE FINANCIAL INC MorganStanley SmithBarney LLC acted as your agent in this transaction	09/09/10	11/11/11 Sold	42	\$ 47,343	\$ 46,864	\$ 1,988.42	\$ 1,968.27	(\$ 20.15)	LT
	07/26/11	11/11/11 Sold	7	54,525	46,864	381.68	328.05	(53.63)	ST
	Total		49			\$ 2,370.10	\$ 2,296.32	(\$ 73.78)	
APPLE INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	03/11/09	11/01/11 Sold	1	\$ 93,533	\$ 396,178	\$ 93.53	\$ 396.17	\$ 302.64	LT
BAXTER INTL INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	12/30/09	11/14/11 Sold	9	58,845	54,409	529.61	489.68	(39.93)	LT
COACH INC MorganStanley SmithBarney LLC acted as your agent in this transaction	06/09/08	11/01/11 Sold	4	35,176	63,474	140.70	253.89	113.19	LT
CORNING INC MorganStanley SmithBarney LLC acted as your agent in this transaction	05/27/09	11/30/11 Sold	29	14,935	13,111	433.14	380.22	(52.92)	LT
	03/15/10	11/30/11 Sold	4	18.08	13,111	72.32	52.44	(19.88)	LT
	Total		33			\$ 505.46	\$ 432.66	(\$ 72.80)	
E ON AG SPONS ADR MorganStanley SmithBarney LLC acted as your agent in this transaction	01/02/08	11/30/11 Sold	7	\$ 70.40	\$ 24.68	\$ 492.80	\$ 172.75	(\$ 320.05)	LT
FUJIFILM HLDGS CORP-JPY MorganStanley SmithBarney LLC acted as your agent in this transaction	01/02/08	11/02/11 Sold	11	41.861	22.91	480.47	252.01	(208.46)	LT



Ref 00003476 00083470

November 1 - November 30, 2011

RICHARD L MC CONNELL & DEBORAH

Account number 461-73477-13 529

Realized gain or loss *continued*

Description	Original trade date	Closing trade date	Quantity	Purchase price	Sale price	Cost basis	Proceeds	Realized gain or (loss)	
HONEYWELL INTL INC MorganStanley SmithBarney LLC acted as your agent in this transaction	08/17/09	11/14/11 Sold	4	\$ 34 825	\$ 54 83	\$ 139 30	\$ 219 32	\$ 80 02	LT
	10/20/09	11/14/11 Sold	7	38 287	54 83	268.01	383.80	115.79	LT
Total			11			\$ 407 31	\$ 603.12	\$ 195 81	
INTEL CORP MorganStanley SmithBarney LLC acted as your agent in this transaction	05/08/09	11/21/11 Sold	1	\$ 15.393	\$ 23.649	\$ 15 39	\$ 23.65	\$ 8 26	LT
	05/14/09	11/21/11 Sold	35	15.602	23 649	546 09	827 72	281 63	LT
Total			36			\$ 561 48	\$ 851 37	\$ 289 89	
INTL BUSINESS MACHINES CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	01/02/08	11/21/11 Sold	5	\$ 104.772	\$ 182.135	\$ 523 86	\$ 910 66	\$ 386 80	LT
KBR INC MorganStanley SmithBarney LLC acted as your agent in this transaction	05/12/09	11/03/11 Sold	30	17 163	27 931	514.91	837 91	323 00	LT
	10/30/09	11/03/11 Sold	12	21 197	27.931	254 37	335 17	80.80	LT
	11/23/09	11/03/11 Sold	40	19 05	27 931	762 00	1,117 22	355.22	LT
Total			82			\$ 1,531 28	\$ 2,290.30	\$ 759 02	
LEAR CORP MorganStanley SmithBarney LLC acted as your agent in this transaction	05/13/11	11/11/11 Sold	53	\$ 50.739	\$ 43 56	\$ 2,689 18	\$ 2,308 66	(\$ 380.52)	ST
OCEANEERING INTERNATIONAL INC MorganStanley SmithBarney LLC acted as your agent in this transaction	07/13/11	11/22/11 Sold	60	43 646	43 337	2,618 77	2,600.22	(18.55)	ST
ORACLE CORP MorganStanley SmithBarney LLC acted as your agent in this transaction	01/02/08	11/01/11 Sold	7	22 56	31 834	157 92	222.83	64 91	LT
SANDISK CORP MorganStanley SmithBarney LLC acted as your agent in this transaction	03/25/10	11/01/11 Sold	7	34 904	48.937	244 33	342 55	98.22	LT



Ref 00003476 00083471

RICHARD L MC CONNELL & DEBORAH Account number 461-73477-13 529

Realized gain or loss *continued*

Description	Original trade date	Closing trade date	Quantity	Purchase price	Sale price	Cost basis	Proceeds	Realized gain or (loss)	
SKYWORKS SOLUTIONS INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	11/24/10	11/21/11	73	\$ 25.988	\$ 16.662	\$ 1,897.19	\$ 1,216.34	(\$ 680.85)	ST
		Sold							
	04/08/11	11/21/11	23	27.53	16.662	633.19	383.23	(249.96)	ST
		Sold							
Total			96			\$ 2,530.38	\$ 1,599.57	(\$ 930.81)	
TARGET CORP MorganStanley SmithBarney LLC acted as your agent in this transaction	10/03/08	11/16/11	1	\$ 44.037	\$ 53.13	\$ 44.04	\$ 53.13	\$ 9.09	LT
		Sold							
	10/09/08	11/16/11	11	41.223	53.13	453.46	584.43	130.97	LT
		Sold							
	11/19/08	11/16/11	5	27.155	53.13	135.78	265.65	129.87	LT
		Sold							
	12/02/08	11/16/11	3	30.296	53.13	90.89	159.39	68.50	LT
		Sold							
	12/04/09	11/16/11	4	45.846	53.13	183.38	212.51	29.13	LT
		Sold							
Total			24			\$ 907.55	\$ 1,275.11	\$ 367.56	
Total Long Term this period								\$ 1,916.65	
Total Short Term this period								(\$ 1,383.51)	
Total realized gain or (loss) - this period						\$ 16,764.73	\$ 17,297.87	\$ 533.14	
Total Long Term - year-to-date								\$ 20,153.20	
Total Short Term - year-to-date								\$ 506.45	
Total realized gain or (loss) - year-to-date						\$ 194,349.59	\$ 214,962.00	\$ 20,659.65	
Total losses disallowed due to wash sale - this period								\$ 0.00	
Total losses disallowed due to wash sale - year-to-date								(\$ 47.24)	

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Ref 00004400 00105393

RICHARD L MC CONNELL & DEBORAH Account number 461-73477-13 529

GAIN/LOSS DETAILS

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Realized gain or loss

Description	Original trade date	Closing trade date	Quantity	Purchase price	Sale price	Cost basis	Proceeds	Realized gain or (loss)
COMMERCE BANCSHARES INC CASH IN LIEU OF 30000 RECORD 11/30/11 PAY 12/19/11	11/06/09	12/19/11	.0893	\$ 34.941		\$ 3.01	\$ 3.32	\$.31 LT
		Cash in lieu						
	11/09/09	12/19/11	2107	35.772		7.26	7.84	.58 LT
		Cash in lieu						
Total			.3			\$ 10.27	\$ 11.16	\$.89
COVANCE INC MorganStanley SmithBarney LLC acted as your agent in this transaction	09/16/11	12/29/11	46	\$ 50.267	\$ 45.988	\$ 2,312.32	\$ 2,115.40	(\$ 196.92) ST
		Sold						
THE DOLAN COMPANY MorganStanley SmithBarney LLC acted as your agent in this transaction	09/27/10	12/21/11	111	11.266	8.745	1,250.54	970.69	(279.85) LT
		Sold						
DONALDSON CO INC MorganStanley SmithBarney LLC acted as your agent in this transaction	10/25/11	12/27/11	37	62.696	68.684	2,319.77	2,541.27	221.50 ST
		Sold						
	10/28/11	12/27/11	1	65.081	68.684	65.08	68.68	3.60 ST
		Sold						
Total			38			\$ 2,384.85	\$ 2,609.95	\$ 225.10
EXPEDIA INC MERGER 12/21/11 30212P105000	08/17/11	12/21/11	5	\$ 27.31		\$ 13.49	\$ 13.90	\$.41 ST
		Cash in lieu						
HCC INSURANCE HOLDINGS INC MorganStanley SmithBarney LLC acted as your agent in this transaction	01/02/08	12/21/11	42	27.972	27.309	1,174.86	1,146.98	(27.88) LT
		Sold						
HARRIS CORP-DELAWARE- MorganStanley SmithBarney LLC acted as your agent in this transaction	11/13/08	12/21/11	21	34.918	34.982	733.29	734.60	1.31 LT
		Sold						
THE MOSAIC COMPANY MorganStanley SmithBarney LLC acted as your agent in this transaction	05/27/11	12/28/11	26	69.949	50.238	1,818.67	1,306.16	(512.51) ST
		Sold						



Ref: 00004400 00105394

RICHARD L MC CONNELL & DEBORAH

Account number 461-73477-13 529

Realized gain or loss *continued*

Description	Original trade date	Closing trade date	Quantity	Purchase price	Sale price	Cost basis	Proceeds	Realized gain or (loss)	
NORDSON CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	06/23/11	12/21/11 Sold	26	\$ 50.147	\$ 40.63	\$ 1,303.84	\$ 1,056.37	(\$ 247.47)	ST
ROSS STORES INC DE MorganStanley SmithBarney LLC acted as your agent in this transaction	07/07/09	12/28/11 Sold	7	19.43	48.401	136.01	338.80	202.79	LT
SAP AG SPONS ADR-USD MorganStanley SmithBarney LLC acted as your agent in this transaction	01/02/08	12/22/11 Sold	6	50.68	53.044	304.08	318.26	14.18	LT
TRIPADVISOR INC MERGER 12/21/11 30212P105000	08/17/11	12/21/11 Cash in lieu	.5	30.883		15.25	14.23	(1.02)	ST
TRIPADVISOR INC MorganStanley SmithBarney LLC acted as your agent in this transaction	08/17/11	12/30/11 Sold	40	30.883	24.992	1,220.10	999.68	(220.42)	ST
Total			40.5			\$ 1,235.35	\$ 1,013.91	(\$ 221.44)	
WESTERN UNION COMPANY (THE) MorganStanley SmithBarney LLC acted as your agent in this transaction	12/29/08	12/16/11 Sold	12	\$ 14.043	\$ 18.005	\$ 168.53	\$ 216.06	\$ 47.53	LT
Total Long Term this period								(\$ 41.03)	
Total Short Term this period								(\$ 952.83)	
Total realized gain or (loss) - this period						\$ 12,845.10	\$ 11,852.24	(\$ 993.86)	
Total Long Term - year-to-date								\$ 20,112.17	
Total Short Term - year-to-date								(\$ 446.38)	
Total realized gain or (loss) - year-to-date						\$ 207,195.69	\$ 226,814.24	\$ 19,618.55	
Total losses disallowed due to wash sale - this period								\$ 0.00	
Total losses disallowed due to wash sale - year-to-date								(\$ 47.24)	



Ref 00003407 00080269

RICHARD L MC CONNELL & DEBORAH Account number 461-73477-13 529

GAIN/LOSS DETAILS

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Realized gain or loss

Description	Original trade date	Closing trade date	Quantity	Purchase price	Sale price	Cost basis	Proceeds	Realized gain or (loss)
AETNA INC NEW MorganStanley SmithBarney LLC acted as your agent in this transaction	11/05/08	01/09/12 Sold	14	\$ 24,762	\$ 44,062	\$ 346.67	\$ 616.86	\$ 270.19 LT
	03/26/09	01/09/12 Sold	30	24,209	44,062	726.27	1,321.84	595.57 LT
	Total		44			\$ 1,072.94	\$ 1,938.70	\$ 865.76
BAKER HUGHES INC MorganStanley SmithBarney LLC acted as your agent in this transaction	09/09/11	01/17/12 Sold	34	\$ 56,575	\$ 48,494	\$ 1,923.58	\$ 1,648.76	(\$ 274.82) ST
	09/27/11	01/17/12 Sold	13	52,24	48,494	679.13	630.41	(48.72) ST
	Total		47			\$ 2,602.71	\$ 2,279.17	(\$ 323.54)
DENTSPLY INTL INC MorganStanley SmithBarney LLC acted as your agent in this transaction	08/23/11	01/26/12 Sold	35	\$ 32,558	\$ 38,435	\$ 1,139.55	\$ 1,345.20	\$ 205.65 ST
	08/23/11	01/27/12 Sold	34	32,558	37,971	1,106.99	1,291.01	184.02 ST
Total			69			\$ 2,246.54	\$ 2,636.21	\$ 389.67
DEVON ENERGY CORP NEW MorganStanley SmithBarney LLC acted as your agent in this transaction	08/07/09	01/18/12 Sold	9	\$ 63,904	\$ 63,516	\$ 575.14	\$ 571.63	(\$ 3.51) LT
	08/25/09	01/18/12 Sold	4	63,739	63,516	254.96	254.06	(.90) LT
	Total		13			\$ 830.10	\$ 825.69	(\$ 4.41)
F5 NETWORKS INC MorganStanley SmithBarney LLC acted as your agent in this transaction	08/15/11	01/25/12 Sold	6	\$ 84,622	\$ 122,41	\$ 507.73	\$ 734.44	\$ 226.71 ST



Ref 00003407 00080270

RICHARD L MC CONNELL & DEBORAH Account number 461-73477-13 529

Realized gain or loss continued

Description	Original trade date	Closing trade date	Quantity	Purchase price	Sale price	Cost basis	Proceeds	Realized gain or (loss)	
GENERAL ELECTRIC CO Morgan Stanley Smith Barney LLC acted as your agent in this transaction	02/08/11	01/12/12 Sold	122	\$ 21 247	\$ 18 827	\$ 2,592 24	\$ 2,296 91	(\$ 295 33)	ST
	07/26/11	01/12/12 Sold	20	18 674	18 827	373 50	376 54	3 04	ST
Total			142			\$ 2,965 74	\$ 2,673 45	(\$ 292 29)	
KBR INC Morgan Stanley Smith Barney LLC acted as your agent in this transaction.	11/23/09	01/13/12 Sold	3	\$ 19 05	\$ 31 573	\$ 57 15	\$ 94 72	\$ 37 57	LT
	03/21/11	01/13/12 Sold	7	36 536	31 573	255 76	221 01	(34 75)	ST
Total			10			\$ 312 91	\$ 315 73	\$ 2 82	
NOVARTIS AG ADR Morgan Stanley Smith Barney LLC acted as your agent in this transaction	01/02/08	01/25/12 Sold	5	\$ 54 45	\$ 54 401	\$ 272 25	\$ 272 00	(\$ 25)	LT
ON SEMICONDUCTOR CORP Morgan Stanley Smith Barney LLC acted as your agent in this transaction	05/10/10	01/19/12 Sold	29	7 725	9 001	224 04	261 03	36 99	LT
	05/14/10	01/19/12 Sold	11	7 731	9 001	85 05	99 01	13 96	LT
Total			40			\$ 309 09	\$ 360 04	\$ 50 95	
PEABODY ENERGY CORP Morgan Stanley Smith Barney LLC acted as your agent in this transaction.	02/22/11	01/25/12 Sold	32	\$ 63 068	\$ 37 352	\$ 2,018 20	\$ 1,195 23	(\$ 822 97)	ST
PEABODY ENERGY CORP Morgan Stanley Smith Barney LLC acted as your agent in this transaction	02/22/11	01/26/12 Sold	10	63 068	36 687	630 69	366 86	(263 83)	ST
Total			42			\$ 2,648 89	\$ 1,562 09	(\$ 1,086 80)	
PEARSON PLC SPONSORED ADR Morgan Stanley Smith Barney LLC acted as your agent in this transaction	10/13/08	01/25/12 Sold	22	\$ 9 442	\$ 18 302	\$ 207 73	\$ 402 65	\$ 194 92	LT



Ref. 00003407 00080271

RICHARD L MC CONNELL & DEBORAH Account number 461-73477-13 529

Realized gain or loss *continued*

Description	Original trade date	Closing trade date	Quantity	Purchase price	Sale price	Cost basis	Proceeds	Realized gain or (loss)
SAP AG SPONS ADR-USD MorganStanley SmithBarney LLC acted as your agent in this transaction	01/02/08	01/06/12 Sold	8	\$ 50 68	\$ 53 659	\$ 405 44	\$ 429 27	\$ 23 83 LT
Total Long Term this period							\$ 1,168 37	
Total Short Term this period							(\$ 1,121 00)	
Total realized gain or (loss) - this period						\$ 14,382 07	\$ 14,429 44	\$ 47 37
Total Long Term - year-to-date							\$ 1,168 37	
Total Short Term - year-to-date							(\$ 1,121 00)	
Total realized gain or (loss) - year-to-date						\$ 14,382 07	\$ 14,429 44	\$ 47 37

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Ref 00002784 00066194

RICHARD L MC CONNELL & DEBORAH Account number 461-73477-13 529

GAIN/LOSS DETAILS

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Realized gain or loss

Description	Original trade date	Closing trade date	Quantity	Purchase price	Sale price	Cost basis	Proceeds	Realized gain or (loss)	
INGERSOLL-RAND PUBLIC LTD CO MorganStanley SmithBarney LLC acted as your agent	12/14/11	02/21/12 Sold	13	\$ 30.369	\$ 40.535	\$ 394.80	\$ 526.95	\$ 132.15	ST
APPLIED MATERIALS INC DELAWARE MorganStanley SmithBarney LLC acted as your agent in this transaction	10/02/09	02/15/12 Sold	35	12.741	12.946	445.97	453.10	7.13	LT
APPLIED MATERIALS INC DELAWARE MorganStanley SmithBarney LLC acted as your agent in this transaction	10/02/09	02/27/12 Sold	98	12.741	12.538	1,248.70	1,228.74	(19.96)	LT
	02/03/10	02/27/12 Sold	16	12.276	12.538	196.42	200.61	4.19	LT
	02/18/10	02/27/12 Sold	42	12.62	12.538	530.04	526.60	(3.44)	LT
	02/19/10	02/27/12 Sold	6	12.467	12.538	74.80	75.23	.43	LT
Total			197			\$ 2,495.93	\$ 2,484.28	(\$ 11.65)	
CELESIO AG MorganStanley SmithBarney LLC acted as your agent in this transaction	10/20/08	02/29/12 Sold	45	\$ 6.753	\$ 3.64	\$ 303.90	\$ 163.81	(\$ 140.09)	LT
	12/12/08	02/29/12 Sold	19	5.897	3.64	112.04	69.16	(42.88)	LT



Ref 00002784 00066195

RICHARD L MC CONNELL & DEBORAH Account number 461-73477-13 529

Realized gain or loss continued

Description	Original trade date	Closing trade date	Quantity	Purchase price	Sale price	Cost basis	Proceeds	Realized gain or (loss)	
	12/12/08	02/29/12 Sold	10	\$ 5 897	\$ 3 64	\$ 58 97	\$ 36 40	(\$ 22.57)	LT
	04/08/11	02/29/12 Sold	12	5 06	3 64	60.72	43 68	(17 04)	ST
Total			86			\$ 535 63	\$ 313 05	(\$ 222 58)	
DEVON ENERGY CORP NEW MorganStanley SmithBarney LLC acted as your agent in this transaction	08/25/09	02/01/12 Sold	16	\$ 63 739	\$ 63 831	\$ 1,019 83	\$ 1,021 28	\$ 1 45	LT
	04/16/10	02/01/12 Sold	6	66 011	63 831	396 07	382 98	(13.09)	LT
DEVON ENERGY CORP NEW MorganStanley SmithBarney LLC acted as your agent in this transaction	07/02/10	02/03/12 Sold	16	60 555	63 59	968 88	1,017 43	48 55	LT
	08/15/11	02/03/12 Sold	6	69 49	63 59	416.94	381 53	(35 41)	ST
Total			44			\$ 2 801 72	\$ 2,803 22	\$ 1 50	
EATON CORP MorganStanley SmithBarney LLC acted as your agent in this transaction	06/20/11	02/16/12 Sold	7	\$ 47 057	\$ 51 002	\$ 329 40	\$ 357.01	\$ 27 61	ST
GILEAD SCIENCES INC MorganStanley SmithBarney LLC acted as your agent in this transaction	01/02/08	02/15/12 Sold	16	45 379	54 412	726 08	870 57	144 49	LT
HOSP:RA INC MorganStanley SmithBarney LLC acted as your agent in this transaction	05/01/09	02/15/12 Sold	1	32 241	36 393	32 24	36 39	4 15	LT
	05/18/09	02/15/12 Sold	8	33 275	36 393	266 21	291 14	24 93	LT
Total			9			\$ 298 45	\$ 327 53	\$ 29 08	
INTERNATIONAL GAME TECHNOLOGY MorganStanley SmithBarney LLC acted as your agent in this transaction	09/27/11	02/03/12 Sold	152	\$ 15 062	\$ 15 671	\$ 2,289 52	\$ 2,382 05	\$ 92 53	ST
JOY GLOBAL INC MorganStanley SmithBarney LLC acted as your agent in this transaction	08/04/09	02/08/12 Sold	28	40 262	89 617	1,127.35	2,509 23	1,381 88	LT



Ref 00002784 00066196

RICHARD L MC CONNELL & DEBORAH Account number 461-73477-13 529

Realized gain or loss continued

Description	Original trade date	Closing trade date	Quantity	Purchase price	Sale price	Cost basis	Proceeds	Realized gain or (loss)	
NATIONAL OILWELL VARCO INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	08/18/10	02/16/12 Sold	12	\$ 39,587	\$ 84.104	\$ 475.06	\$ 1,009.23	\$ 534.17	LT
NORDSTROM INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	08/30/11	02/29/12 Sold	52	44.943	53.971	2,337.04	2,806.48	469.44	ST
PRUDENTIAL FINANCIAL INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	11/09/11	02/17/12 Sold	6	52.114	61.011	312.69	366.06	53.37	ST
SWIRE PACIFIC LTD SP ADR SALE OF RTS ON 34 0000 SHS	02/06/12	02/06/12 Tender	34			.01	52.86	52.85	ST
TEMPUR-PEDIC INTERNATIONAL INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	06/23/11	02/21/12 Sold	38	65.989	74.22	2,507.60	2,820.33	312.73	ST
UNION PACIFIC CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	10/23/09	02/03/12 Sold	4	57.787	115.801	231.15	463.20	232.05	LT
Total Long Term this period								\$ 2,141.39	
Total Short Term this period								\$ 1,088.23	
Total realized gain or (loss) - this period						\$ 16,862.43	\$ 20,092.05	\$ 3,229.62	
Total Long Term - year-to-date								\$ 3,309.76	
Total Short Term - year-to-date								(\$ 32.77)	
Total realized gain or (loss) - year-to-date						\$ 31,244.50	\$ 34,521.49	\$ 3,276.99	

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Ref 00016194 00132558

March 1 - March 31, 2012

RICHARD & DEBORAH MC CONNELL

Account number 461-73477-13 529

GAIN/LOSS DETAILS

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Realized gain or loss

Description	Original trade date	Closing trade date	Quantity	Purchase price	Sale price	Cost basis	Proceeds	Realized gain or (loss)	
COGO GROUP INC	04/27/09	03/27/12	88	\$ 8 668	\$ 2 668	\$ 762 80	\$ 234 80	(\$ 528 00)	LT
ORD		Sold							
MorganStanley SmithBarney LLC	08/09/11	03/27/12	94	2 996	2 668	281 62	250 80	(30 82)	ST
acted as your agent		Sold							
Total			182			\$ 1,044 42	\$ 485 60	(\$ 558 82)	

Ref 00016194 00132559

RICHARD & DEBORAH MC CONNELL Account number 461-73477-13 529

Realized gain or loss *continued*

Description	Original trade date	Closing trade date	Quantity	Purchase price	Sale price	Cost basis	Proceeds	Realized gain or (loss)	
APPLIED MATERIALS INC DELAWARE MorganStanley SmithBarney LLC acted as your agent in this transaction	02/19/10	03/02/12 Sold	49	\$ 12 467	\$ 12 262	\$ 610 90	\$ 600 85	(\$ 10 05)	LT
	06/01/11	03/02/12 Sold	54	13 364	12 262	721 69	662 16	(59 53)	ST
	12/13/11	03/02/12 Sold	75	10 479	12 262	785 99	919 68	133 69	ST
	Total		178			\$ 2,118 58	\$ 2,182 69	\$ 64 11	
ATLAS AIR WORLDWIDE HLDGS NEW MorganStanley SmithBarney LLC acted as your agent	12/20/10	03/27/12 Sold	22	\$ 56 732	\$ 49 551	\$ 1,248 12	\$ 1 090 11	(\$ 158 01)	LT
CATERPILLAR INC MorganStanley SmithBarney LLC acted as your agent in this transaction	06/16/10	03/23/12 Sold	25	63 822	107 881	1,595 57	2,696 99	1 101 42	LT
DEUTSCHE POST MorganStanley SmithBarney LLC acted as your agent in this transaction	03/19/09	03/30/12 Sold	12	10 699	19 206	128 39	230 46	102 07	LT
E ON AG SPONS ADR MorganStanley SmithBarney LLC acted as your agent in this transaction	01/02/08	03/08/12 Sold	12	70 40	22 45	844 80	269 39	(575 41)	LT
ENERGEN CORP MorganStanley SmithBarney LLC acted as your agent in this transaction	01/02/08	03/27/12 Sold	25	65 00	49 59	1,625 00	1,239 74	(385 26)	LT
KONICA MINOLTA HLDGS UNSPON ADR MorganStanley SmithBarney LLC acted as your agent	06/10/09	03/30/12 Sold	8	22 683	17 53	181 47	140 23	(41 24)	LT
MITSUBISHI UFJ FINANCIAL GROUP INC ADR MorganStanley SmithBarney LLC acted as your agent	08/09/10	03/16/12 Sold	38	5 059	5 22	192 24	198 36	6 12	LT
	04/08/11	03/16/12 Sold	14	4 608	5 22	64 51	73 08	8 57	ST
Total			52			\$ 256 75	\$ 271 44	\$ 14 89	

Ref 00016194 00132560

RICHARD & DEBORAH MC CONNELL Account number 461-73477-13 529

Realized gain or loss continued

Description	Original trade date	Closing trade date	Quantity	Purchase price	Sale price	Cost basis	Proceeds	Realized gain or (loss)	
NATIONAL FUEL GAS CO MorganStanley SmithBarney LLC acted as your agent in this transaction	07/21/09	03/27/12 Sold	20	\$ 39,357	\$ 49,095	\$ 787.14	\$ 981.90	\$ 194.76	LT
NESTLE S A SPONSORED ADR MorganStanley SmithBarney LLC acted as your agent in this transaction	01/02/08	03/16/12 Sold	3	45.88	62.132	137.64	186.39	48.75	LT
POLARIS INDS INC MorganStanley SmithBarney LLC acted as your agent in this transaction	10/25/11	03/16/12 Sold	40	59.105	66.625	2,364.22	2,664.96	300.74	ST
VINCI S A ADR MorganStanley SmithBarney LLC acted as your agent in this transaction	06/09/08	03/26/12 Sold	26	17.541	13.008	456.08	338.22	(117.86)	LT
	01/22/09	03/26/12 Sold	16	9.241	13.008	147.86	208.13	60.27	LT
Total			42			\$ 603.94	\$ 546.35	(\$ 57.59)	
Total Long Term this period								(\$ 302.44)	
Total Short Term this period								\$ 352.65	
Total realized gain or (loss) - this period						\$ 12,936.04	\$ 12,986.25	\$ 50.21	
Total Long Term - year-to-date								\$ 3,007.32	
Total Short Term - year-to-date								\$ 319.88	
Total realized gain or (loss) - year-to-date						\$ 44,180.54	\$ 47,507.74	\$ 3,327.20	

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Ref 00002872 00068808

RICHARD & DEBORAH MC CONNELL

Account number 461-73477-13 529

GAIN/LOSS DETAILS

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Realized gain or loss

Description	Original trade date	Closing trade date	Quantity	Purchase price	Sale price	Cost basis	Proceeds	Realized gain or (loss)	
APACHE CORP MorganStanley SmithBarney LLC acted as your agent in this transaction	05/17/10	04/25/12 Sold	11	\$ 93,666	\$ 92,706	\$ 1,030.33	\$ 1,019.75	(\$ 10.58)	LT
	05/18/10	04/25/12 Sold	13	94,964	92,706	1,234.54	1,205.15	(29.39)	LT
	05/25/10	04/25/12 Sold	2	86,501	92,706	173.00	185.41	12.41	LT
	10/08/10	04/25/12 Sold	10	100,188	92,706	1,001.89	927.04	(74.85)	LT
	01/28/11	04/25/12 Sold	3	113,948	92,706	341.85	278.11	(63.74)	LT
Total			39			\$ 3,781.61	\$ 3,615.46	(\$ 166.15)	
BANK NEW YORK MELLON CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	09/08/09	04/04/12 Sold	1	\$ 28,316	\$ 24,001	\$ 28.32	\$ 24.00	(\$ 4.32)	LT
	09/10/09	04/04/12 Sold	3	28,797	24,001	86.39	71.99	(14.40)	LT
Total			4			\$ 114.71	\$ 95.99	(\$ 18.72)	
HESS CORP MorganStanley SmithBarney LLC acted as your agent in this transaction	10/23/09	04/27/12 Sold	8	\$ 59,309	\$ 51,364	\$ 474.47	\$ 410.91	(\$ 63.56)	LT
	10/27/09	04/27/12 Sold	10	58,414	51,364	584.15	513.63	(70.52)	LT
	10/28/09	04/27/12 Sold	23	56,584	51,364	1,301.44	1,181.35	(120.09)	LT
	07/01/10	04/27/12 Sold	6	49,803	51,364	298.82	308.18	9.36	LT
	02/25/11	04/27/12 Sold	17	84,50	51,364	1,436.51	873.17	(563.34)	LT
Total			64			\$ 4,095.39	\$ 3,287.24	(\$ 808.15)	
JABIL CIRCUIT INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	11/21/11	04/18/12 Sold	112	\$ 20,489	\$ 22,704	\$ 2,294.82	\$ 2,542.81	\$ 247.99	ST



RICHARD & DEBORAH MC CONNELL

Account number 461-73477-13 529

Realized gain or loss *continued*

Description	Original trade date	Closing trade date	Quantity	Purchase price	Sale price	Cost basis	Proceeds	Realized gain or (loss)	
NINTENDO CO LTD ADR NEW MorganStanley SmithBarney LLC acted as your agent in this transaction	01/02/08	04/04/12 Sold	7	\$ 74.28	\$ 18.31	\$ 519.96	\$ 128.16	(\$ 391.80)	LT
NOMURA HOLDINGS INC ADR MorganStanley SmithBarney LLC acted as your agent in this transaction	03/25/11	04/09/12 Sold	87	5.44	4.167	473.30	362.56	(110.74)	LT
TARGET CORP MorganStanley SmithBarney LLC acted as your agent in this transaction	12/04/09	04/04/12 Sold	1	45.846	57.286	45.85	57.29	11.44	LT
	04/14/10	04/04/12 Sold	6	56.499	57.286	338.99	343.71	4.72	LT
Total			7			\$ 384.84	\$ 401.00	\$ 16.16	
TIME WARNER INC MorganStanley SmithBarney LLC acted as your agent in this transaction	09/18/08	04/04/12 Sold	42.6667	\$ 28.491	\$ 36.912	\$ 1,215.65	\$ 1,574.89	\$ 359.24	LT
	10/14/08	04/04/12 Sold	33.3333	22.382	36.912	746.08	1,230.38	484.30	LT
	06/03/09	04/04/12 Sold	8	22.32	36.912	178.56	295.29	116.73	LT
	12/28/09	04/04/12 Sold	5	29.198	36.912	145.99	184.55	38.56	LT
Total			89			\$ 2,286.28	\$ 3,285.11	\$ 998.83	
Total Long Term this period								(\$ 480.57)	
Total Short Term this period								\$ 247.89	
Total realized gain or (loss) - this period						\$ 13,850.91	\$ 13,718.33	(\$ 232.58)	
Total Long Term - year-to-date								\$ 2,526.75	
Total Short Term - year-to-date								\$ 567.87	
Total realized gain or (loss) - year-to-date						\$ 58,131.45	\$ 61,226.07	\$ 3,094.62	

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Activity

Select UMA Basic Securities Account
316-118113-529RICHARD & DEBORAH MC CONNELL
TTEE RICHARD MC CONNELL FAM TR

REALIZED GAIN/(LOSS) DETAIL

LONG-TERM GAIN/(LOSS)

Security Description	Date Acquired	Date Sold	Quantity	Sales Proceeds	Orig / Adj Total Cost	Realized Gain/(Loss)	Comments
ALTERA CP	03/12/10	05/10/12	61 000	\$2,028.04	\$1,522.29	\$505.75	
ARCHER DANIELS MIDLAND	01/11/10	05/11/12	12 000	395.39	370.48	24.91	
BANK OF NEW YORK MELLON CORP	09/10/09	05/14/12	27 000	582.54	777.54	(195.00)	
	09/11/09	05/14/12	45 000	970.89	1,315.49	(344.60)	
	10/13/09	05/14/12	3 000	64.73	85.48	(20.75)	
	10/14/09	05/14/12	3 000	64.73	82.97	(18.24)	
	10/26/10	05/14/12	17 000	366.78	423.27	(56.49)	
COOPER INDUSTRIES PLC CL A	09/16/09	05/22/12	6 000	420.59	227.51	193.08	
	09/18/09	05/22/12	20 000	1,401.96	754.50	647.46	
	09/18/09	05/23/12	5 000	350.17	188.63	161.54	
	09/21/09	05/23/12	15 000	1,050.50	562.71	487.79	
CVS CAREMARK CORP	01/02/08	05/18/12	16 000	713.16	631.20	81.96	
	01/02/08	05/18/12	4 000	178.28	157.80	20.48	
	01/02/08	05/18/12	1 000	44.57	39.45	5.12	
HELMERICH & PAYNE	02/22/08	05/10/12	12 000	570.58	509.73	60.85	
	02/22/08	05/10/12	7 000	332.84	297.34	35.50	
	01/11/10	05/10/12	18 000	855.88	832.09	23.79	
	01/11/10	05/10/12	2 000	95.10	92.45	2.65	
NATIONAL OILWELL VARCO INC	08/18/10	05/11/12	2 000	136.65	79.17	57.48	
	08/18/10	05/11/12	1 000	68.33	39.59	28.74	
	08/18/10	05/11/12	1 000	68.33	39.59	28.74	

CONTINUED

Activity

Select UMA Basic Securities Account
316-118113-529

RICHARD & DEBORAH MC CONNELL
TTEE RICHARD MC CONNELL FAM TR

INTERESTED PARTY COPY

REALIZED GAIN/(LOSS) DETAIL

LONG-TERM GAIN/(LOSS) (CONTINUED)

Security Description	Date Acquired	Date Sold	Quantity	Sales Proceeds	Orig / Adj Total Cost	Realized Gain/(Loss)	Comments
	08/20/10	05/11/12	12.000	819.92	454.37	365.55	
	08/20/10	05/11/12	6.000	409.96	227.18	182.78	
	08/24/10	05/11/12	8.000	546.62	307.11	239.51	
	08/24/10	05/11/12	4.000	273.31	153.55	119.76	
TERADATA CORP	03/04/11	05/14/12	3.000	208.99	149.39	59.60	
	03/07/11	05/14/12	6.000	417.98	300.78	117.20	
Long-Term This Period				\$13,436.82	\$10,621.66	\$2,815.16	
Long-Term Year to Date				\$13,436.82	\$10,621.66	\$2,815.16	

SHORT-TERM GAIN/(LOSS)

Security Description	Date Acquired	Date Sold	Quantity	Sales Proceeds	Orig / Adj Total Cost	Realized Gain/(Loss)	Comments
BANK OF NEW YORK MELLON CORP	07/21/11	05/14/12	17.000	366.78	440.56	(73.78)	
	08/23/11	05/14/12	12.000	258.90	232.48	26.42	
DANSKE BK A/S SPON ADR	09/30/11	05/16/12	55.000	383.37	393.80	(10.43)	
EXPEDIA INC NEW	08/17/11	05/10/12	20.000	816.51	564.99	251.52	
GLOBAL PAYMENT INC	01/25/12	05/15/12	50.000	2,144.25	2,516.06	(371.81)	
INGERSOLL-RAND PLC SHS	12/14/11	05/11/12	72.000	3,169.94	2,186.57	983.37	
NATIONAL OILWELL VARCO INC	05/12/11	05/11/12	6.000	409.96	411.81	(1.85)	
	05/12/11	05/11/12	3.000	204.98	205.90	(0.92)	
	08/09/11	05/11/12	4.000	273.31	250.78	22.53	
Short-Term This Period				\$8,028.00	\$7,202.95	\$825.05	
Short-Term Year to Date				\$8,028.00	\$7,202.95	\$825.05	

CLIENT STATEMENT | For the Period May 1-31, 2012

Morgan Stanley
Smith Barney

Activity

Select UMA Basic Securities Account
316-118113-529

RICHARD & DEBORAH MC CONNELL
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	Sales Proceeds	Orig / Adj Total Cost	Realized Gain/(Loss)
Net Realized Gain/(Loss) This Period	\$21,464.82	\$17,824.61	\$3,640.21
Net Realized Gain/(Loss) Year to Date	\$21,464.82	\$17,824.61	\$3,640.21

New Treasury regulations require that we report your adjusted cost basis and classify the gain or loss as either long-term or short-term on the sale of covered securities acquired on or after January 1, 2011. These regulations also require that we make basis adjustments due to wash sales, certain corporate actions and transfers by gift or inheritance, which will be reflected on your Form 1099-B. This section may not reflect all of the basis adjustments we are required to make for tax reporting purposes. The information in this section is provided for informational purposes only and should not be used in the preparation of your income tax returns. Please refer to the Disclosures section of this statement for additional information.



CLIENT STATEMENT | For the Period June 1-30, 2012

Activity

Select UMA Basic Securities Account
316-118113-529

RICHARD & DEBORAH MC CONNELL
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015945 MSGD T397 019497

REALIZED GAIN/(LOSS) DETAIL

LONG-TERM GAIN/(LOSS)

Security Description	Date Acquired	Date Sold	Quantity	Sales Proceeds	Orig / Adj Total Cost	Realized Gain/(Loss)	Comments
CVS CAREMARK CORP	01/02/08	06/19/12	14.000	\$644.67	\$552.30	\$92.37	
	01/02/08	06/19/12	9.000	414.42	355.05	59.37	
	10/05/09	06/19/12	2.000	92.10	70.08	22.02	
	10/05/09	06/19/12	1.000	46.05	35.04	11.01	
	11/05/09	06/19/12	4.000	184.18	118.18	66.00	
	11/05/09	06/27/12	4.000	182.71	118.19	64.52	
DELL INC	10/18/10	06/27/12	157.000	1,889.20	2,288.75	(399.55)	

CONTINUED

Activity

Select UMA Basic Securities Account
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REALIZED GAIN/(LOSS) DETAIL

LONG-TERM GAIN/(LOSS) (CONTINUED)

Security Description	Date Acquired	Date Sold	Quantity	Sales Proceeds	Orig / Adj Total Cost	Realized Gain/(Loss)	Comments
	04/08/11	06/27/12	26 000	312 86	379.28	(66 42)	
DOLLAR TREE INC	03/02/09	06/21/12	12 000	1,336 55	315 09	1,021 46	
DOVER CORP	03/04/11	06/28/12	40 000	2,051 53	2,623 15	(571 62)	
ENDO PHARMACEUTICALS HLDS INC	11/20/08	06/07/12	26 000	786 17	496 81	289 36	
	11/20/08	06/07/12	16 000	483 79	305 73	178 06	
	11/20/08	06/07/12	1 000	30 24	19 11	11 13	
	06/25/10	06/07/12	5 000	151 19	111 07	40 12	
	06/25/10	06/07/12	2 000	60 47	44 43	16 04	
	05/12/11	06/07/12	12 000	362 84	502 28	(139 44)	
	05/12/11	06/14/12	25 000	725 98	1,046 42	(320 44)	
	05/12/11	06/14/12	23 000	667 91	962 71	(294 80)	
ICICI BANK LTD	01/02/08	06/01/12	9 000	248 92	556 92	(308 00)	
	10/17/08	06/01/12	2 000	55 31	33 87	21 44	
ITOCHU CORP ADR	06/21/10	06/01/12	14 000	295 03	245 41	49 62	
LAM RESEARCH CORPORATION	12/20/10	06/06/12	0 875	33 29	25 35	7 94	
METLIFE INCORPORATED	08/25/10	06/13/12	31 000	917 00	1,117 24	(200 24)	
MJENCHENER RUECK-UNSPONS ADR	02/27/09	06/01/12	13 000	156 93	158 11	(1 18)	
	03/18/11	06/01/12	25 000	301 80	386 31	(84 51)	
PALL CORPORATION	07/21/09	06/14/12	29 000	1,547 83	817 56	730 27	
PE-SMART INC	10/27/10	06/07/12	27 000	1,778 10	997 83	780 27	
ROSS STORES INC	07/07/09	06/21/12	13 000	878 26	252 59	625 67	
TARGET CORPORATION	04/14/10	06/19/12	6 000	350 45	339 00	11 45	
TELEFONICA SA ADR	01/02/08	06/01/12	9 000	100 64	291 24	(190 60)	
TELEKOM AUSTRIA A G SPONS ADR	01/02/08	06/19/12	17 000	343 41	965 60	(622 19)	
UNION PACIFIC CORP	10/27/09	06/20/12	2 000	233 71	112 95	120 76	
	10/27/09	06/20/12	1 000	116 86	56 47	60 39	
VIVENDI SA UNSPON ADR	03/04/11	06/18/12		15 87	0 00	15 87	Cash in Lieu
Long-Term This Period				\$17,796.27	\$16,700.12	\$1,096.15	
Long-Term Year to Date				\$31,233.09	\$27,321.78	\$3,911.31	



Activity

Select UMA Basic Securities Account
316-118113-529

RICHARD & DEBORAH MC CONNELL
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REALIZED GAIN/(LOSS) DETAIL

SHORT-TERM GAIN/(LOSS)

Security Description	Date Acquired	Date Sold	Quantity	Sales Proceeds	Orig / Adj Total Cost	Realized Gain/(Loss)	Comments
CONSTANT CONTACT INC	12/21/11	06/14/12	52 000	889 29	1,205.30	(316 01)	
CORE LABORATORIES N V	06/23/11	06/14/12	12 000	1,439 45	1,271 48	167 97	
EXPEDIA INC NEW	08/17/11	06/21/12	9 000	436.06	254 25	181 81	
GARDNER DENVER INC	11/15/11	06/07/12	29 000	1,546 74	2 406 95	(860 21)	
MOMENTA PHARM INC	06/23/11	06/14/12	69 000	1,010 29	1,317 12	(306 83)	
NAVISTAR INTL CORP	07/28/11	06/18/12	20 000	563 44	1,026 54	(463 10)	
	07/28/11	06/20/12	23 000	647 74	1,180.52	(532 78)	
	08/19/11	06/20/12	7 000	197 14	263 26	(66 12)	
	08/24/11	06/20/12	18 000	506.92	696 43	(189 51)	
SKULLCANDY INC	12/21/11	06/14/12	98 000	1,256.39	1,288 70	(32 31)	
SOTHEBY'S CL A	09/29/11	06/14/12	36 000	1,099.68	1,157 24	(57 56)	
TELEFONICA SA ADR	06/15/12	06/15/12		22 12	0.00	22 12	1 Sale of Foreign Rights
Short-Term This Period				\$9,615.26	\$12,067.79	\$(2,452.53)	
Short-Term Year to Date				\$17,643.26	\$19,270.74	\$(1,627 48)	
Net Realized Gain/(Loss) This Period				\$27,411.53	\$28,767.91	\$(1,356.38)	
Net Realized Gain/(Loss) Year to Date				\$48,876.35	\$46,592.52	\$2,283.83	

New Treasury regulations require that we report your adjusted cost basis and classify the gain or loss as either long-term or short-term on the sale of covered securities acquired on or after January 1, 2011. These regulations also require that we make basis adjustments due to wash sales, certain corporate actions and transfers by gift or inheritance, which will be reflected on your Form 1099-B. This section may not reflect all of the basis adjustments we are required to make for tax reporting purposes. The information in this section is provided for informational purposes only and should not be used in the preparation of your income tax returns. Please refer to the Disclosures section of this statement for additional information.

1 - This information reflects your requested adjustments to the transaction details.

Activity

Select UMA Basic Securities Account
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RICHARD & DEBORAH MC CONNELL
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REALIZED GAIN/(LOSS) DETAIL

LONG-TERM GAIN/(LOSS)

Security Description	Date Acquired	Date Sold	Quantity	Sales Proceeds	Orig / Adj Total Cost	Realized Gain/(Loss)	Comments
CHINA MOBILE LTD	06/01/09	07/31/12	2 000	\$116.93	\$104.86	\$12.07	
DOLLAR TREE INC	03/02/09	07/10/12	44 000	2,338.12	577.66	1,760.46	
NESTLE SPON ADR REP REG SHR	01/02/08	07/20/12	8 000	478.86	367.04	111.82	
NINTENDO CO LTD ADR NEW	01/02/08	07/25/12	13 000	168.49	965.64	(797.15)	
	02/04/09	07/25/12	7 000	90.73	265.65	(174.92)	
	05/26/09	07/25/12	3 000	38.88	100.40	(61.52)	
	04/08/11	07/25/12	4,000	51.85	120.56	(68.71)	
SAP AG	01/02/08	07/13/12	1 000	59.01	50.68	8.33	
	06/09/08	07/13/12	4 000	236.03	213.17	22.86	
THE MOSAIC CO (HLDG CO) NEW	05/27/11	07/24/12	9 000	511.24	629.54	(118.30)	
Long-Term This Period				\$4,090.14	\$3,395.20	\$694.94	
Long-Term Year to Date				\$35,323.23	\$30,716.98	\$4,606.25	



CLIENT STATEMENT | For the Period July 1-31, 2012

Activity

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	Sales Proceeds	Orig / Adj Total Cost	Realized Gain/(Loss)
Net Realized Gain/(Loss) This Period	\$4,090.14	\$3,395.20	\$694.94
Net Realized Gain/(Loss) Year to Date	\$52,966.49	\$49,987.72	\$2,978.77

New Treasury regulations require that we report your adjusted cost basis and classify the gain or loss as either long-term or short-term on the sale of covered securities acquired on or after January 1, 2011. These regulations also require that we make basis adjustments due to wash sales, certain corporate actions and transfers by gift or inheritance, which will be reflected on your Form 1099-B. This section may not reflect all of the basis adjustments we are required to make for tax reporting purposes. The information in this section is provided for informational purposes only and should not be used in the preparation of your income tax returns. Please refer to the Disclosures section of this statement for additional information.



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Activity

REALIZED GAIN/(LOSS) DETAIL

LONG-TERM GAIN/(LOSS)

Security Description	Date Acquired	Date Sold	Quantity	Sales Proceeds	Orig / Adj Total Cost	Realized Gain/(Loss)	Comments
ABBOTT LABORATORIES	06/08/09	08/03/12	3 000	\$201.78	\$133.72	\$68.06	
	07/02/09	08/03/12	11 000	739.84	507.36	232.48	
BAXTER INTL INC	12/30/09	08/16/12	3 000	177.04	176.53	0.51	
	12/30/09	08/16/12	1 000	59.02	58.85	0.17	
	12/31/09	08/16/12	2 000	118.02	117.71	0.31	
CHEVRON CORP	04/24/09	08/01/12	4 000	442.69	267.92	174.77	
E.ON AG	01/02/08	08/01/12	19 000	402.63	1,337.60	(934.97)	
	04/08/11	08/01/12	5 000	105.95	161.50	(55.55)	
EATON CORPORATION	06/20/11	08/16/12	5 000	230.53	235.29	(4.76) W	
	06/21/11	08/16/12	3 000	138.32	146.22	(7.90) W	
	06/21/11	08/16/12	1 000	46.11	48.74	(2.63)	
GLAXOSMITHKLINE PLC ADS	01/02/08	08/29/12	8 000	366.75	400.40	(33.65)	
HALLIBURTON CO	11/08/10	08/16/12	6 000	211.62	199.80	11.82	

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Activity

Select UMA Basic Securities Account
316-118113-529

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REALIZED GAIN/(LOSS) DETAIL (CONTINUED)

LONG-TERM GAIN/(LOSS) (CONTINUED)

Security Description	Date Acquired	Date Sold	Quantity	Sales Proceeds	Orig / Adj Total Cost	Realized Gain/(Loss)	Comments
INTUIT INC	08/03/11	08/14/12	10 000	581 99	457 73	124 26	
LAM RESEARCH CORPORATION	12/20/10	08/16/12	43 000	1 513 76	1,246 03	267 73	
NATIONAL OILWELL VARCO INC	08/09/11	08/15/12	22 000	1 687 44	1,379 30	308 14	
	08/09/11	08/15/12	14 000	1 073 82	877 73	196 09	
NOVARTIS AG ADR	01/02/08	08/29/12	4 000	235 87	217 80	18 07	
ROLLS ROYCE HOLDINGS PLC	01/02/08	08/03/12	9 000	595 24	489 78	105 46	
SANDISK CORP	03/25/10	08/14/12	39 000	1 583 47	1,361 28	222 19	
	04/08/11	08/14/12	9 000	365 41	419 92	(54 51)	
SBM OFFSHORE NV ADR	04/08/09	08/06/12	13 000	162 54	163 91	(1 37)	
	04/08/09	08/07/12	12 000	153 01	151 30	1 71	
	04/08/11	08/07/12	7 000	89 26	205 24	(115 98)	
SONY CORP ADR 1974 NEW	01/02/08	08/29/12	11 000	129 39	591 21	(461 82)	
TAIWAN SMCNDCR MFG CO LTD ADR	01/02/08	08/30/12	7 000	100 13	66 32	33 81	
Long-Term This Period				\$11,511.63	\$11,419 19	\$92 44	
Long-Term Year to Date				\$46,834 86	\$42,136 17	\$4,698.69	

SHORT-TERM GAIN/(LOSS)

Security Description	Date Acquired	Date Sold	Quantity	Sales Proceeds	Orig / Adj Total Cost	Realized Gain/(Loss)	Comments
BANCO SANTANDER S A	08/08/12	08/08/12		14 94	0 00	14 94	1 Sale of Foreign Rights
CARNIVAL CP NEW PAIRED COM	02/15/12	08/29/12	12 000	421 37	364 58	56 79	
CREDIT SUISSE GROUP	08/14/12	08/14/12		3 38	0 00	3 38	1 Sale of Foreign Rights
DISCOVERY COMMUNICATIONS SER A	03/02/12	08/14/12	7 000	372 00	327 64	44 36	
LAM RESEARCH CORPORATION	03/16/12	08/16/12	29 000	1,020 91	1,259 92	(239 01)	
PRUDENTIAL FINANCIAL INC	11/09/11	08/16/12	4 000	216 96	208 46	8 50	
SYMANTEC CORP	01/30/12	08/16/12	36 000	648 29	611 96	36 33	
	01/30/12	08/16/12	32 000	576 26	543 97	32 29	
	01/30/12	08/16/12	2 000	36 01	34 00	2 01	
TELEFONICA SA ADR	05/18/12	06/15/12	74 000	22 12	24 42	(2 30)	2 Sale of Foreign Rights
Short-Term This Period				\$3,310.12	\$3,350 53	\$(40 41)	
Short-Term Year to Date				\$20,953 38	\$22,645.69	\$(1,692.31)	



Select UMA Basic Securities Account
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Activity

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	Sales Proceeds	Orig / Adj Total Cost	Realized Gain/(Loss)
Net Realized Gain/(Loss) This Period	\$14,821.75	\$14,769.72	\$52.03
Net Realized Gain/(Loss) Year to Date	\$67,788.24	\$64,781.86	\$3,006.38

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1 - This information reflects your requested adjustments to the transaction details.

2 - You, or a third party, have provided the transaction details for this position.

W - Wash sale rules apply to this realized tax lot. Disallowed loss will be reported on Form 1099-B for the current tax year.

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